

2020

COMPENDIUM MANAGEMENT RECOMMENDATIONS AND RESOLUTIONS ADOPTED BY ICCAT FOR THE CONSERVATION OF ATLANTIC TUNAS AND TUNA-LIKE SPECIES

SPECIES:

- **YFT (Yellowfin tuna)**
- **BET (Bigeye tuna)**
- **SWO (Swordfish)**
- **ALB (Albacore)**
- **BFT (Bluefin tuna)**
- **BIL (Billfishes)**
- **BYC (By-catch species)**

MONITORING AND COMPLIANCE:

- **GEN (General issues)**
- **SANC (Sanctions, trade-related measures)**
- **SDP (Statistical Document Programs)**

OTHER:

- **TOR (Terms of Reference)**
- **MISC (Miscellaneous)**

2020

COMPENDIUM MANAGEMENT RECOMMENDATIONS AND RESOLUTIONS ADOPTED BY ICCAT

Each year, the ICCAT Secretariat produces a “Compendium of the Management Recommendations and Resolutions adopted by ICCAT for the Conservation of Atlantic Tunas and Tuna-Like Species”. The Compendium generally includes the Recommendation and Resolutions that are currently in force (even if only part of a particular measure is still in effect), as well as those that while they may no longer be in force, but have a direct bearing on a current measure. To facilitate the use of this information, the measures are assigned a reference number. The two-digit year code corresponds to the year of adoption by the Commission) (e.g. 94-01, 97-07, 99-11, etc).

In 2003, the Secretariat made a thorough review of all past reports of Commission Meetings to compile a complete historical Compendium of all Recommendations, Resolutions and other major decisions adopted by ICCAT. This has been updated in 2020 to include the measures adopted in 2019 and the deletion of measures that have been superseded.

The Compendium is now published in two formats. The printed version of the Compendium contains only those decisions considered currently in force. An interactive version of the full ICCAT Compendium of management decisions is now available on the ICCAT web page that may be consulted on: <https://www.iccat.int/en/RecRes.asp> This version allows users to access Recommendations and Resolutions by category, by year, by status (in force or inactive) or by number.

The Compendium is classified according to major subjects as follows:

Species:

- TRO – BET (Bigeye tuna), YFT (Yellowfin tuna), SKJ (Skipjack tuna)
- SWO (Swordfish)
- ALB (Albacore)
- BFT (Bluefin tuna)
- BIL (Billfishes)
- BYC (By-catch species)

Monitoring and Compliance:

- GEN (General issues)
- SANC (Sanctions, trade-related measures)
- SDP (Statistical Document Programs)

Other:

- TOR (Terms of Reference)
- MISC (Miscellaneous)

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**RECOMMENDATION BY ICCAT CONCERNING THE IMPLEMENTATION OF AN
ATLANTIC OCEAN TROPICAL TUNA TAGGING PROGRAMME (AOTTP)**

(Entered into force **3 June 2015**)

RECALLING that the ICCAT recommended in 2010 the establishment of a large-scale research programme, based on tagging methodology to allow estimating the key-parameters of tropical tuna population dynamics, to reduce stock assessment uncertainties and to gauge the effectiveness of different fisheries management options and conservation and management measures;

ACKNOWLEDGING that in 2014 ICCAT launched a study on the feasibility of such a large-scale tagging programme, including an estimation of the budget necessary to its implementation;

FURTHER ACKNOWLEDGING that the results of this feasibility study were discussed during the skipjack stock assessment meeting held in Dakar in June 2014 and that it was concluded that an AOTTP would greatly help in resolving uncertainty about the stock dynamics of tropical species and provide important inputs into stock assessment that are currently lacking;

CONSIDERING that the SCRS also reviewed the results of the feasibility study and stated in its 2014 report that current uncertainties in stock structure, natural mortality, and growth have important implications for the stock assessment of yellowfin tuna and that the proposed AOTTP, if fully funded, should help resolve these uncertainties;

RECOGNISING that in order to improve stock assessments, to reduce the uncertainty in the estimation of the status of the stocks of tropical tuna in the Atlantic Ocean, and to gauge the effectiveness of different fisheries management options, key parameters on the population dynamic and the biology of these stocks need to be further investigated;

FURTHER CONSIDERING that, according to the 2014 SCRS report, for skipjack tuna it is difficult to estimate the MSY in conditions of recent growth of catches without having reliable indicators on the response of the stock to these increases. These indicators, i.e. CPUE series, fishing mortality estimates from tagging programmes or other indicators on the exploitation of this species, should be improved and the implementation of the AOTTP will largely contribute to this;

ACKNOWLEDGING that the implementation of similar large-scale programmes in the Indian Ocean during the years 2005-2009 and in the Pacific ocean during the years 1977-1981, 1989-1992 and 2006-2014 consistently contributed to improving the knowledge of the tropical tuna stocks and thus provided sound information in support of the decision making process;

ACKNOWLEDGING that on the basis of the ICCAT feasibility study the total cost, without contingencies, associated to the AOTTP implementation is estimated at €16.87 million for a duration of 5 years and that therefore, the ICCAT regular budget cannot be used for the implementation of the AOTTP;

NOTING that the contribution proposed by the EU can cover only up to 80% of the implementation costs in line with their domestic rules and that therefore extra-budgetary and/or in-kind contributions are necessary from ICCAT CPCs and others;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

1. An Atlantic Ocean Tropical Tuna Tagging Program (AOTTP) will be implemented for the main tropical tuna stocks (yellowfin tuna, bigeye tuna and skipjack tuna) as well as for neritic small tunas of high importance for coastal populations.
2. All CPCs and other potential donors are encouraged to provide the necessary funding or other support, in particular in form of in-kind contributions, in order to enable the conduct of this critical scientific endeavour.
3. In addition, the Executive Secretary of ICCAT will explore the possibility to use alternative sources of funding for the implementation of this program, such as the GEF Project to Enhance Tuna Management and Marine Conservation in the Areas Beyond National Jurisdiction (ABNJ).

**RECOMMENDATION BY ICCAT ON A MULTI-ANNUAL
CONSERVATION AND MANAGEMENT PROGRAMME FOR TROPICAL TUNAS**

(Entered into force **12 June 2017**)

CONSIDERING that the further implementation of a multi-annual programme for the medium-term will contribute to the conservation and sustainable management of the tropical tunas fishery;

RECOGNIZING the necessity to adopt monitoring and control measures to ensure implementation of conservation and management measures and to improve the scientific assessment of those stocks;

RECOGNIZING the necessity to adopt data collection and transmission mechanisms to allow improvement of the monitoring and the scientific assessment of the related fisheries and associated stocks;

NOTING that further to the SCRS assessment conducted in 2015, the Standing Committee on Research and Statistics (SCRS) concluded that the bigeye tuna stock is overfished and that overfishing is occurring;

CONSIDERING that the SCRS recommended taking measures to reduce the bigeye TAC to levels that would allow a recovery with a high degree of probability and within a short timeframe and to find effective measures to reduce FAD-related and other fishing mortality of small bigeye tunas;

RECOGNISING that, in view of the state of the stock, it would be appropriate to carry out the stock assessment of bigeye in 2018;

RECOGNIZING that the SCRS concluded that the current area/time closure has not been effective at reducing the mortality of juvenile bigeye tuna, and any reduction in yellowfin tuna mortality was minimal, largely due to the redistribution of effort into areas adjacent to the moratorium area;

RECOGNIZING the contribution that a reduction in the harvest of juvenile tunas in the Gulf of Guinea can contribute to the long-term sustainability of the stocks;

NOTING that Recommendation 14-01 brought the coverage of national observers for purse seiner fishing for tropical tunas during the area/time closure period from the minimum of 5% of the fishing effort established by Recommendation 16-14 to a 100% coverage of fishing;

CONSIDERING that the SCRS concluded that current level of scientific observers (5%) seems to be inappropriate to provide reasonable estimates of total by-catch and recommended increasing the minimum level to 20%.

FURTHER CONSIDERING that the SCRS recommended studying the issue further, in order to determine the level of coverage appropriate to meet management and scientific objectives;

RECOGNIZING that the SCRS noted that the current mandatory level of observer coverage of 5% may have not been implemented by many of the fleets and underlined the need for achieving those minimum coverages so as the SCRS could address the mandate given by the Commission;

RECOGNIZING that the SCRS also notes that some fleets are currently implementing voluntary observer programmes that cover 100% of the fishing trips and that it also acknowledged the efforts conducted by some fleets to increase the observer coverage to 100% of the trips;

RECALLING recommendations by the SCRS to address the lack of reliable data collection mechanisms, particularly in tropical tuna fisheries carried on in association with objects that could affect fish aggregation, including FADs;

FURTHER RECALLING that as regards skipjack tunas SCRS stated in its 2014 report that the increasing use of FADs since the early 1990s has changed the species composition of free swimming schools, and that association with FADs may also have an impact on the biology and on the ecology of yellowfin and skipjack tunas;

NOTING that, according to the 2014 SCRS advice, increasing harvests and fishing effort for skipjack could lead to involuntary consequences for other species that are caught in combination with skipjack in certain fisheries;

NOTING that in its 2013 report, SCRS recognized the effect of FADs on both sea-turtle and shark by-catch and the need to provide advice on the design of FADs that would lessen their impact on by-catch species. Therefore, information on dimension and material of the floating part and of the underwater hanging structure should be provided. More particularly the entangling or non-entangling feature of the underwater hanging structure should be reported;

FURTHER NOTING that the activities of supply vessels and the use of FADs are an integral part of the fishing effort exerted by the purse seine fleet;

RECALLING measures related to FAD management plans in other tuna RFMOs;

CONSIDERING that the multispecies characteristics of the tropical tuna fisheries makes it appropriate to extend to skipjack tuna the multi-annual management and conservation plan for yellowfin and bigeye tuna;

RECALLING that the FAO International Guidelines on by-catch management and reduction of discards strongly encourage RFMOs to recognise the importance of addressing by-catch and discards;

RECOGNISING that it is appropriate to better manage by-catch and reduce discard practices in ICCAT fisheries, also taking into account food security issues and the importance to improve data collection for scientific purposes;

TAKING INTO ACCOUNT the recommendations of the 2016 ICCAT ad-hoc Working Group on FADs, which were endorsed by the SCRS at its 2016 meeting;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

**PART I
GENERAL PROVISIONS**

Multi-annual Management and Conservation Programme

1. Contracting Parties and Cooperating non-Contracting Parties, Entities or Fishing Entities (CPCs) whose vessels fish bigeye and/or yellowfin tunas in the Convention area shall implement the Multi-annual Management and Conservation Programme initiated in 2012. As from 2015, such programme shall also apply to the eastern stock of skipjack tuna.

**PART II
CATCH LIMITS**

Catch limits for bigeye tuna

2. The annual Total Allowable Catch (TAC) for 2016 and subsequent years of the Multi-annual Programme is 65,000 t for bigeye tuna. The following shall apply:
 - a) If the total of catches exceeds the TAC in a given year, the excess amount shall be paid back by CPCs to which a catch limit has been granted for the species concerned. Excess quantities shall be deducted the following year on a *prorata* basis from the adjusted quotas/catch limits of the CPC concerned, as per paragraphs 9 and 10.
 - b) The TAC and catch limits for 2016 and subsequent years of the Multi-annual Programme shall be adjusted based on the latest scientific assessment available. Whatever the outcome, the relative shares used to establish the annual catch limits for the CPCs appearing in paragraph 3 shall remain unchanged.

3. The following catch limits shall be applied for 2016 and subsequent years of the Multi-annual Programme to the following CPCs:

<i>CPC</i>	<i>Annual catch limits for the period 2016-2018 (t)</i>
China	5,376
European Union	16,989
Ghana	4,250
Japan	17,696
Philippines	286
Korea	1,486
Chinese Taipei	11,679

4. Catch limits shall not apply to CPCs whose annual catch of bigeye tuna in the Convention area in 1999, as provided to the SCRS in 2000, is less than 2,100 t. However, the following shall apply:
- CPCs which are not developing coastal States shall endeavour to maintain their annual catch less than 1,575 t.
 - if the catch of bigeye tuna of any developing coastal CPC not listed in paragraph 3 above exceeds 3,500 t in any given year, a catch limit shall be established for that developing CPC for the following years. In such a case, the relevant CPC shall endeavour to adjust its fishing effort so as to be commensurate with their available fishing possibilities.
5. CPCs shall report quarterly the amount of bigeye caught by vessels flying their flag to the Secretariat by the end of the following quarter. When 80% of the catch limit or threshold for a CPC is exceeded, the Secretariat shall notify that to all CPCs.
6. If the total catch exceeds in any year the TAC in paragraph 2, the Commission shall review these measures.

Quota transfers of bigeye tuna

7. The following annual transfer of bigeye tuna shall be authorized in 2016-2018:
- from Japan to China: 1,000 t
 - from Japan to Ghana: 70 t
8. Notwithstanding the *Recommendation by ICCAT Regarding the Temporary Adjustment of Quotas* [Rec. 01-12], in between meetings of the Commission, a CPC with a catch limitation of bigeye tuna as per paragraph 3 may make a one-time transfer within a fishing year of up to 15% of its catch limit to other CPCs with catch limits, consistent with domestic obligation and conservation considerations. Any such transfer shall be notified to the Secretariat in advance and may not be used to cover over harvests. A CPC that receives a one-time catch limit transfer may not re-transfer that catch limit.

Underage or overage of catch of bigeye tuna

9. Underage or overage of an annual catch limit for CPCs listed in paragraph 3 for bigeye tuna may be added/to or shall be deducted from the annual catch limit as follows:

<i>Year of catch</i>	<i>Adjustment Year</i>
2015	2016 and/or 2017
2016	2017 and/or 2018
2017	2018 and/or 2019
2018	2019 and/or 2020

However,

- a) The maximum underage that a CPC may carry over in any given year shall not exceed 15% of its annual initial catch limit;
 - b) For Ghana, the overage catch of bigeye tuna in the period 2006 to 2010 shall be repaid by reducing the catch limit of Ghana for bigeye tuna by a yearly amount of 337 t for the period 2012 to 2021.
10. Notwithstanding paragraph 9 if any CPC exceeds its catch limit during any two consecutive years, the Commission will recommend appropriate measures, which may include, but are not limited to, reduction in the catch limit equal to a minimum of 125% of the excess harvest, and, if necessary, trade restrictive measures. Any trade measures under this paragraph will be import restrictions on the subject species and consistent with each CPC's international obligations. The trade measures will be of such duration and under such conditions as the Commission may determine.

TAC for yellowfin tuna

11. The annual TAC for 2012 and subsequent years of the Multi-annual Programme is 110,000 t for yellowfin tuna and shall remain in place until changed based on scientific advice.

If the total catch exceeds the TAC for yellowfin tuna, the Commission shall review the relevant conservation and management measures in place.

PART III CAPACITY MANAGEMENT MEASURES

Capacity limitation for bigeye tuna

12. A capacity limitation shall be applied for the duration of the Multi-annual Programme, in accordance with the following provisions:
- a) The capacity limitation shall apply to vessels 20 meters length overall (LOA) or greater fishing bigeye tuna in the Convention area.
 - b) CPCs which have been allocated a catch limit in accordance with paragraph 3 shall each year:
 - i. Adjust their fishing effort so as to be commensurate with their available fishing possibilities;
 - ii. Be restricted to the number of their vessels notified to ICCAT in 2005 as fishing for bigeye tuna. However, the maximum number of longline and purse seine vessels shall each year be subject to the following limits:

<i>CPC</i>	<i>Longliners</i>	<i>Purse seiners</i>
China	65	-
EU	269	34
Ghana	-	17
Japan	231	-
Philippines	5	-
Korea	14	-
Chinese Taipei	75	-

- c) Ghana shall be allowed to change the number of its vessels by gear type within its capacity limits communicated to ICCAT in 2005, on the basis of two baitboats for one purse seine vessel. Such change must be approved by the Commission. To that end, Ghana shall notify a comprehensive and detailed capacity management plan to the Commission at least 90 days before the Annual Meeting. The approval is notably subject to the assessment by the SCRS of the potential impact of such a plan on the level of catches.

- d) The capacity limitation shall not apply to CPCs whose annual catch of bigeye tuna in the Convention area in 1999, as provided to the SCRS in 2000, is less than 2,100 t.
- e) Curaçao shall be allowed to have up to 5 purse seiners.
- f) El Salvador shall be allowed to have up to 4 purse seiners.
- g) For CPCs for which a capacity limitation applies, vessels fishing tropical tunas in the Convention area may be replaced only by vessels of equivalent capacity or lesser vessels.

PART IV MANAGEMENT OF FADs

Area/Time closure in relation with the protection of juveniles

- 13. Fishing for, or supported activities to fish for bigeye, yellowfin and skipjack tunas in association with objects that could affect fish aggregation, including FADs, shall be prohibited during the period 1 January to 28 February in the following area:
 - Southern limit: parallel 4° / South latitude
 - Northern limit: parallel 5° / North latitude
 - Western limit: meridian 20° / West longitude
 - Eastern limit: the African coast
- 14. The prohibition referred to in paragraph 13 includes:
 - launching any floating objects, with or without buoys;
 - fishing around, under, or in association with artificial objects, including vessels;
 - fishing around, under, or in association with natural objects;
 - towing floating objects from inside to outside the area.
- 15. As soon as possible and at the latest by 2018, the SCRS shall evaluate the efficacy of the area/time closure referred to in paragraph 13 for the reduction of catches of juvenile bigeye and yellowfin tunas. In addition the SCRS shall advise the Commission on a possible alternative area/time-closure of fishing activities on FADs to reduce the catch of small bigeye and yellowfin tuna at various levels.

Limitation of FADs

- 16. CPCs shall ensure that for purse seiners flying their flag and fishing for bigeye, yellowfin or skipjack tunas on FADs the following provisional limits are not exceeded:
 - No more than 500 FADs with or without instrumental buoys are active at any one time in relation to each of its vessels through such measures as, for example, the verification of telecommunication bills.
- 17. The Commission shall review the provisional limits laid down in paragraph 16 at its 2017 Annual meeting following the advice of SCRS and the conclusions of the *Ad Hoc* Working Group on FADs.

FAD Management Plans

- 18. CPCs with purse seine and baitboat vessels fishing for bigeye, yellowfin and skipjack tunas in association with objects that could affect fish aggregation, including FADs, shall submit to the Executive Secretary Management Plans for the use of such aggregating devices by vessels flying their flag at least one week in advance to the 2016 meeting of the *Ad Hoc* Working Group on FADs and subsequently by 31 January each year.

19. The objective of the FAD Management Plans shall be to:

- i. improve the knowledge about FAD characteristics, buoy characteristics, FAD fishing, including fishing effort of purse seiners and associated support vessels, and related impacts on targeted and non-targeted species;
- ii. effectively manage the deployment and recovery of FADs, the activation of buoys and their potential loss;
- iii. reduce and limit the impacts of FADs and FAD fishing on the ecosystem, including, where appropriate, by acting on the different components of the fishing mortality (e.g. number of deployed FADs, including number of FAD's set by purse seiners, fishing capacity, number of support vessels).

20. The Plans shall be drawn up by following the Guidelines for Preparation for FAD Management Plans as provided in **Annex 6**.

FAD logbook and list of deployed FADs

21. CPCs shall ensure that all purse seine and baitboat fishing vessels and all support vessels (including supply vessels) flying their flag, and/or authorized by CPCs to fish in areas under their jurisdiction, when fishing in association with or deploying fish aggregating devices (FADs), including objects that could affect fish aggregation (e.g. carcasses, trunks) shall collect and report, for each deployment of a FAD, each visit on a FAD, whether followed or not by a set, or each loss of a FAD, the following information and data:

(a) Deployment of any FAD

- i. Position
- ii. Date
- iii. FAD type (anchored FAD, drifting artificial FAD)
- iv. FAD identifier (i.e., FAD Marking and buoy ID, type of buoy – e.g. simple buoy or associated with echo-sounder)
- v. FAD design characteristics (material of the floating part and of the underwater hanging structure and the entangling or non-entangling feature of the underwater hanging structure)

(b) Visit on any FAD

- i. Type of the visit (deployment of a FAD and/or buoy¹, retrieving FAD and/or buoy, strengthening/consolidation of FAD, intervention on electronic equipment, random encounter (without fishing) of a log or a FAD belonging to another vessel, visit (without fishing) of a FAD belonging to the vessel, fishing set on a FAD²)
- ii. Position
- iii. Date
- iv. FAD type (anchored FAD, drifting natural FAD, drifting artificial FAD)
- v. FAD identifier (i.e., FAD Marking and buoy ID or any information allowing to identify the owner)
- vi. If the visit is followed by a set, the results of the set in terms of catch and by-catch, whether retained or discarded dead or alive. If the visit is not followed by a set, note the reason (e.g. not enough fish, fish too small, etc.)

(c) Loss of any FAD

- i. Last registered position
- ii. Date of the last registered position
- iii. FAD identifier (i.e., FAD Marking and buoy ID)

¹ Deploying a buoy on a FAD includes three aspects: deploying a buoy on a foreign FAD, transferring a buoy (which changes the FAD's owner) and changing the buoy on the same FAD (which does not change the FAD's owner).

² A fishing set on a FAD includes two aspects: fishing after a visit to a vessel's own FAD (targeted) or fishing after a random encounter of a FAD (opportunistic).

For the purpose of the collection and the report of the information referred to above and where paper or electronic logbooks already in place do not allow it, CPCs shall either update their reporting system or establish FAD-logbooks. In establishing FAD logbooks, CPCs should consider using the template laid down in **Annex 2** as reporting format. When using paper logbooks, CPCs may seek, with the support of the Executive Secretary, for harmonized formats. In both cases, CPCs shall use the minimum standards recommended by SCRS in **Annex 3**.

22. CPCs shall also ensure that all vessels referred to in paragraph 21 keep updated on a monthly basis and per 1°x1° statistical rectangles a list of deployed FADs and buoys, containing at least the information as laid down in **Annex 4**.

Reporting obligations on FADs and on support vessels

23. CPCs shall ensure that the following information is submitted every year to the Executive Secretary in a format provided by the ICCAT Secretariat. This information shall be made available to the SCRS and to the *Ad Hoc* Working Group on FADs in a database developed by the the ICCAT Secretariat:
 - i. the number of FADs actually deployed on a monthly basis per 1°x1° statistical rectangles, by FAD type, indicating the presence or absence of a beacon/buoy or of an echo-sounder associated to the FAD and specifying the number of FADs deployed by associated support vessels, irrespective of their flag;
 - ii. the number and type of beacons/buoys (e.g. radio, sonar only, sonar with echo-sounder) deployed on a monthly basis per 1°x1° statistical rectangles;
 - iii. the average numbers of beacons/buoys activated and deactivated on a monthly basis that have been followed by each vessel;
 - iv. average numbers of lost FADs with active buoys on a monthly basis;
 - v. for each support vessel, the number of days spent at sea, per 1° grid area, month and flag State;
 - vi. purse seine and baitboat catches, efforts and number of sets (for purse seines) by fishing mode (floating-object associated schools and free school fisheries) in line with Task II data requirements (i.e. per 1°x1° statistical rectangles and per month);
 - vii. when the activities of purse seine are carried out in association with baitboat, report catches and effort in line Task I and Task II requirements as "purse seine associated to baitboats" (PS+BB).

Non-entangling and biodegradable FADs

24. In order to minimize the ecological impact of FADs, in particular the entanglement of sharks, turtles and other non-targeted species, and the release of synthetic persistent marine debris, CPCs shall:
 - i. replace by 2016 existing FADs with non-entangling FADs in line with the guidelines under **Annex 7** of this Recommendation.
 - ii. undertake research to gradually replace existing FADs with fully biodegradable and non-entangling FADs, with a view to phase out non-biodegradable FADs by 2018, if possible.

CPCs shall report on an annual basis on the steps undertaken to comply with these provisions in their FADs Management Plans.

PART V CONTROL MEASURES

Specific authorization to fish for tropical tunas

25. CPCs shall issue specific authorizations to vessels 20 meters LOA or greater flying their flag allowed to fish bigeye and/or yellowfin and/or skipjack tunas in the Convention area, and to vessels flying their flag used for any kind of support of this fishing activity (hereafter referred to as "authorized vessels").

ICCAT Record of authorized tropical tuna vessels

26. The Commission shall establish and maintain an ICCAT record of authorized tropical tuna vessels, including support vessels. Fishing vessels 20 meters LOA or greater not entered into this record are deemed not to be authorized to fish, retain on board, tranship, transport, transfer, process or land bigeye and/or yellowfin and/or skipjack tunas from the Convention area or to carry out any kind of support to those activities, including deploying and retrieving FADs and/or buoys.
27. A CPC may allow by-catch of tropical tunas by vessels not authorized to fish for tropical tunas pursuant to paragraph 25 and 26, if this CPC establishes a maximum onboard by-catch limit for such vessels and the by-catch in question is accounted for within the CPC's quota or catch limit. Each CPC shall provide in its Annual Report the maximum bycatch limit it allows for such vessels. That information shall be compiled by the ICCAT Secretariat and made available to CPCs.
28. CPCs shall notify the list of authorized vessels to the Executive Secretary in an electronic form and in accordance with the format set in the Guidelines for Submitting Data and Information Required by ICCAT.
29. CPCs shall, without delay, notify the Executive Secretary of any addition to, deletion from and/or modifications of the initial list. Periods of authorization for modifications or additions to the list shall not include dates more than 45 days prior to the date of submission of the changes to the Secretariat. The Secretariat shall remove from the ICCAT Record of Vessels any vessel for which the periods of authorization have expired.
30. The Executive Secretary shall, without delay, post the record of authorized vessels on the ICCAT website, including any additions, deletions and/or modifications so notified by CPCs.
31. Conditions and procedures referred to in the *Recommendation by ICCAT Concerning the Establishment of an ICCAT Record of Vessels 20 meters in Length Overall or Greater Authorized to Operate in the Convention Area* [Rec. 13-13]³ shall apply *mutatis mutandis* to the ICCAT record of authorized tropical tuna vessels.

Vessels actively fishing tropical tunas in a given year

32. Each CPC shall, by 31 July each year, notify to the Executive Secretary the list of authorized vessels flying their flag which have fished bigeye and/or yellowfin and/or skipjack tunas in the Convention area or have offered any kind of support to the fishing activity (support vessels) in the previous calendar year. For purse seines this list shall also include the support vessels that have supported the fishing activity, irrespective of their flag.

The Executive Secretary shall report each year these lists of vessels to the Compliance Committee and to the SCRS.

33. The provisions of paragraphs 25 to 32 do not apply to recreational vessels.

Recording of catch and fishing activities

34. Each CPC shall ensure that its vessels 20 meters LOA or greater fishing bigeye and/or yellowfin and/or skipjack tunas in the Convention area record their catch in accordance with the requirements set out in **Annex 1** and in the *Recommendation by ICCAT Concerning the Recording of Catch by Fishing Vessels in the ICCAT Convention Area* [Rec. 03-13].

³ As amended by Rec. 14-10.

Identification IUU activity

35. The Executive Secretary shall, without delay, verify that any vessel identified or reported in the context of this Multi-annual Programme is on the ICCAT record of authorized vessels and not out of compliance with the provisions of paragraphs 13 and 14. If a possible violation is detected, the Executive Secretary shall, without delay, notify the flag CPC. The flag CPC shall immediately investigate the situation and, if the vessel is fishing in relation to objects that could affect fish aggregation, including FADs, request the vessel to stop fishing and, if necessary, leave the area without delay. The flag CPC shall, without delay, report to the Executive Secretary the results of its investigation and the corresponding measures taken.
36. The Executive Secretary shall report to the Compliance Committee at each annual meeting of the Commission on any issue related to identification of unauthorized vessels, the implementation of the VMS, the observer provisions, and the results of the relevant investigation made as well as any relevant measures taken by the flag CPCs concerned.
37. The Executive Secretary shall propose to include any vessels identified in accordance with paragraph 36, or vessels for which the flag CPC has not carried out the required investigation and taken, if necessary, adequate measures in accordance with paragraph 35, on the provisional IUU list.

Observers and compliance with area/time closure

38. Each CPC shall:
 - a) Take appropriate action to ensure that all vessels flying its flag, including support vessels, when engaged in fishing activities during the area/time closure referred to in paragraph 13, have an observer on board in accordance with **Annex 5** and report the information collected by the observers each year by 31 July to the ICCAT Secretariat and to SCRS;
 - b) Take appropriate action against vessels flying their flag that do not comply with the area/time closure referred to in paragraph 13;
 - c) Submit an Annual Report on their implementation of the area/time closure to the Executive Secretary, who shall report to the Compliance Committee at each Annual Meeting.

Scientific Observers

39. For scientific observers on board vessels targeting bigeye, yellowfin and/or skipjack tunas in the area east of meridian 20°/West longitude and north of parallel 28°/ South latitude the following shall apply:
 - a) Scientific observers shall automatically be recognized by all CPCs. Such recognition shall allow the scientific observer to continue the collection of data throughout the EEZ visited by the vessel observed. The coastal CPCs concerned shall receive from the flag CPC which mandated the observer the scientific information collected by the observer and related to fishing activities on ICCAT species in their EEZ.
 - b) CPCs that do not accept that their national scientific observer may collect data in the EEZ of another CPC, or that do not recognize as valid the data collected in their EEZ by a scientific observer of another CPC, must inform the Executive Secretary, for immediate transmission to the SCRS and the Compliance Committee, of their refusal within three months after the entry into force of this Recommendation or their accession to ICCAT. By such refusal, the CPC concerned shall refrain to require the deployment of its national scientific observer on vessels of another CPC.
40. For purse seine and longline vessels flying their flag 20 meters length overall (LOA) or greater targeting bigeye, yellowfin and/or skipjack in the Convention area, CPCs are encouraged to increase the observer coverage stipulated in Recommendation 16-14, in line with the 2016 SCRS recommendations.
41. The ICCAT Secretariat shall compile the information collected under domestic observer programs, including on the observer coverage for each tropical tuna fishery, and make it available to the Commission before the 2017 Annual Meeting for further deliberation.

42. In 2017 the SCRS shall review its 2016 recommendations on observer coverage and advise the Commission on appropriate coverage levels for each tropical tuna fishery, taking in consideration the full suite of monitoring tools in the fishery.

Port Sampling Programme

43. The port sampling programme developed by the SCRS in 2012 aimed at collecting fishery data for bigeye, yellowfin, and skipjack tunas that are caught in the geographical area of the area/time closure referred to in paragraph 13 for surface fishery shall be continued for landing or transshipment ports. Data and information collected from this sampling programme shall be reported to ICCAT each year, describing, at a minimum, the following by country of landing and quarter: species composition, landings by species, length composition, and weights. Biological samples suitable for determining life history should be collected as practicable.

PART VI FINAL PROVISIONS

Availability of data to SCRS and to national scientists

44. CPCs shall ensure that:
- a) Both paper and electronic fishing logbooks referred to in paragraph 34 and the FAD-logbooks referred to in paragraph 21, where applicable, are promptly collected and made available to national scientists;
 - b) The Task II data include the information collected from the fishing or FAD logbooks, where applicable, and is submitted every year to the ICCAT Executive Secretary, to be made available to the SCRS.
45. CPCs should encourage their national scientists to undertake collaborative work with their national industry to analyse data related to FADs (e.g. logbooks, buoy data) and to present the outcomes of that analysis to the SCRS. CPCs should take steps to facilitate making the data available for such collaborative work, subject to relevant confidentiality constraints.
46. With the objective of providing information useful to estimate the fishing effort related to FAD-fishing each CPC should provide to its national scientists full access to:
- (a) VMS data of their fishing and support vessels and trajectories of FADs;
 - (b) Data recorded by echo-sounders;
 - (c) FAD logbooks and the information collected pursuant to paragraph 23;
47. CPCs shall undertake historical data mining on the use and number of deployed FADs with a view to possibly submit the relevant information by 31 January 2017 to the ICCAT Executive Secretary, who shall make them available to the *Ad Hoc* Working Group on FADs and to the SCRS.

SCRS activity and stock assessment

48. The SCRS shall conduct the next stock assessment of bigeye in 2018.
49. At its 2017 meeting the SCRS shall:
- (a) address to the extent possible the Recommendations made by the FAD Working Group in 2016 (**Annex 8**) and for the remaining ones develop a work plan to be presented to the Commission at its 2017 Annual meeting;
 - (b) provide performance indicators for skipjack, bigeye and yellowfin tuna as specified in **Annex 9**, with the perspective to develop management strategy evaluations for tropical tunas;

- (c) develop a table for consideration by the Commission that quantifies the expected impact on MSY, B_{MSY} , and relative stock status for both bigeye and yellowfin resulting from reductions of the individual proportional contributions of longline, FAD purse seine, free school purse seine, and baitboat fisheries to the total catch.

Confidentiality

50. All data submitted in accordance with this Recommendation shall be treated in a manner consistent with ICCAT's data confidentiality guidelines and solely for the purposes of this Recommendation and in accordance with the requirements and procedures developed by the Commission.

Fishing management plans

51. The Commission shall establish at its 2018 meeting conservation and management measures on the basis of the SCRS advice resulting from the new stock assessment on bigeye as well as the *Resolution by ICCAT on Criteria for the Allocation of Fishing Possibilities* [Res. 15-13]. In support of this effort, the Commission shall consider development/management plans of coastal developing CPCs and fishing/management plans of other CPCs submitted in 2017, so that adjustments can be made to the existing catch and capacity limits and other conservation measures in 2018, as appropriate. Those plans shall include comprehensive information about how the CPC manages capacity in the bigeye fishery. Each CPC shall submit to the Executive Secretary its 2018 development or fishing/management plan by 15 September 2017, in accordance with a template to be provided by the ICCAT Secretariat.

Reduction of discards

52. CPCs shall:

- submit to the SCRS information on by-catches and discards made by fishing vessels flying their flag fishing for tropical tunas;
- encourage the vessel owners, masters and crew fishing for tropical tunas under their flag to implement good practices to better manage by-catches and reduce discards;
- consider designing and adopting management measures and/or management plans to better manage by-catch and reduce discards.

53. The SCRS shall:

- evaluate the contribution of by-catches and discards to the overall catches in ICCAT tropical tuna fisheries, on a fishery by fishery basis;
- advise the Commission on possible measures allowing to reduce discards and to mitigate onboard post-harvest losses and by-catch in ICCAT tropical tuna fisheries.

54. When revising this Recommendation, the Commission shall consider the adoption of possible provisions for a better management of by-catches and reduction of discards in ICCAT tropical tuna fisheries.

Repeals and review

55. This Recommendation replaces Rec. [15-01] and shall be revised as appropriate.

Requirements for Catch Recording

Minimum specification for paper or electronic logbooks:

1. The logbook must be numbered by sheets
2. The logbook must be filled in every day (midnight) or before port arrival
3. One copy of the sheets must remain attached to the logbook
4. Logbooks must be kept on board to cover a period of one-trip operation

Minimum standard information for logbooks:

1. Master name and address
2. Dates and ports of departure, Dates and ports of arrival
3. Vessel name, registry number, ICCAT number and IMO number (if available)
4. Fishing gear:
 - (a) Type FAO code
 - (b) Dimension (length, mesh size, number of hooks...)
5. Operations at sea with one line (minimum) per day of trip, providing:
 - (a) Activity (fishing, steaming...)
 - (b) Position: Exact daily positions (in degree and minutes), recorded for each fishing operation or at noon when no fishing has been conducted during this day
 - (c) Record of catches
6. Species identification:
 - (a) By FAO code
 - (b) Round (RWT) weight in t per set
 - (c) Fishing mode (FAD, free school, etc.)
7. Master signature
8. Observer signature, if applicable
9. Means of weight measure: estimation, weighing on board and counting
10. The logbook is kept in equivalent live weight of fish and mentions the conversion factors used in the evaluation

Minimum information in case of landing, transshipments:

1. Dates and port of landing /transshipments
2. Products: number of fish and quantity in kg
3. Signature of the Master or Vessel Agent

FAD logbook

<i>FAD marking</i>	<i>Buoys ID</i>	<i>FAD type</i>	<i>Type of visit</i>	<i>Date</i>	<i>Time</i>	<i>Position</i>		<i>Estimated catches</i>			<i>By-catch</i>				<i>Observations</i>
						<i>Latitude</i>	<i>Longitude</i>	<i>SKJ</i>	<i>YFT</i>	<i>BET</i>	<i>Taxonomic group</i>	<i>Estimated catches</i>	<i>Unit</i>	<i>Specimen released alive</i>	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(7)	(8)	(8)	(8)	(9)	(10)	(11)	(12)	(13)
...
...

- (1,2) If FAD marking and associated beacon/buoy ID are absent or unreadable, report it in this section. However, if FAD marking and associated beacon/buoy ID are absent or unreadable, the FAD shall not be deployed
- (3) Anchored FAD, drifting natural FAD or drifting artificial FAD.
- (4) I.e., deployment, hauling, strengthening/consolidation, removing/retrieving, changing the beacon, loss and mention if the visit has been followed by a set.
- (5) dd/mm/yy.
- (6) hh:mm.
- (7) N/S/mm/dd or °E/W/mm/dd.
- (8) Estimated catches expressed in metric tons.
- (9) Use a line per taxonomic group.
- (10) Estimated catches expressed in weight or in number.
- (11) Unit used.
- (12) Expressed as number of specimen.
- (13) If no FAD marking neither associated beacon ID is available, report in this section all available information which may help to describe the FAD and to identify the owner of the FAD.

Table 1. Codes, names and examples of different types of floating object that should be collected in the fishing logbook as a minimum data requirement. Table from 2016 SCRS report (section 18.2 Table 7).

<i>Code</i>	<i>Name</i>	<i>Example</i>
DFAD ^[1] _{SEP}	Drifting FAD	Bamboo or metal raft
AFAD	Anchored FAD ^[1] _{SEP}	Very large buoy
FALOG	Artificial log resulting from related to human activity (and related to fishing activities)	Nets, wreck, ropes
HALOG	Artificial log resulting from human activity (not related to fishing activities)	Washing machine, oil tank
ANLOG	Natural log of animal origin	Carcasses, whale shark
VNLOG	Natural log of plant origin	Branches, trunk, palm leaf

Table 2. Names and description of the activities related to floating objects and buoys that should be collected in the fishing logbook as a minimum data requirement (codes are not listed here). Table from 2016 SCRS report (section 18.2 Table 8).

	<i>Name</i>	<i>Description</i>
FOB	Encounter	Random encounter (without fishing) of a log or a FAD belonging to another vessel (unknown position)
	Visit	Visit (without fishing) of a FOB (known position)
	Deployment	FAD deployed at sea
	Strengthening	Consolidation of a FOB
	Remove FAD	FAD retrieval
	Fishing	Fishing set on a FOB ¹
Buoy	Tagging	Deployment of a buoy on FOB ²
	Remove BUOY	Retrieval of the buoy equipping the FOB
	Loss	Loss of the buoy/End of transmission of the buoy

¹ A fishing set on a Fishing Object (FOB) includes two aspects: fishing after a visit to a vessel's own FOB (targeted) or fishing after a random encounter of a FOB (opportunistic).

² Deploying a buoy on a FOB includes three aspects: deploying a buoy on a foreign FOB, transferring a buoy (which changes the FOB owner) and changing the buoy on the same FOB (which does not change the FOB owner).

List of deployed FADs and buoys on a monthly basis

Month:

FAD Identifier		FAD & electronic equipment types		FAD				Observation
FAD Marking	Associated buoy ID	FAD Type	Type of the associated buoy and /or electronic devices					
				FAD floating part	FAD underwater hanging structure			
(1)	(1)	(2)	(3)	(4)	(5)			(6)
...
...

(1) If FAD marking and associated beacon/buoy ID are absent or unreadable, the FAD shall not be deployed.

(2) Anchored FAD, drifting natural FAD or drifting artificial FAD.

(3) E.g. GPS, sounder, etc. If no electronic device is associated to the FAD, note this absence of equipment.

(4) Mention the material of the structure and of the cover and if biodegradable.

(5) E.g. nets, ropes, palms, etc., and mention the entangling and/or biodegradable features of the material.

(6) Lighting specifications, radar reflectors and visible distances shall be reported in this section.

Observer Programme

1. The observers referred to in paragraph 38 of this Recommendation shall have the following qualifications to accomplish their tasks:
 - Sufficient experience to identify species and fishing gear;
 - Satisfactory knowledge of the ICCAT conservation and management measures assessed by a certificate provided by the CPCs and based on ICCAT training guidelines;
 - The ability to observe and record accurately;
 - The ability to collect biological samples;
 - A satisfactory knowledge of the language of the flag of the vessel observed.
2. The observers shall not be a crew member of the fishing vessel being observer and shall:
 - (a) Be nationals of one of the CPCs;
 - (b) Be capable of performing the duties set forth in point 3 below;
 - (c) Not have current financial or beneficial interests in the tropical tuna fisheries.
3. The observer tasks shall be in particular:
 - (a) To monitor the fishing vessels' compliance with the relevant conservation and management measures adopted by the Commission.

In particular the observers shall:

- i. Record and report upon the fishing activities carried out;
 - ii. Observe and estimate catches and verify entries made in the logbook;
 - iii. Sight and record vessels which may be fishing in contravention to ICCAT conservation and management measures;
 - iv. Verify the position of the vessel when engaged in catching activity;
 - v. Verify the number of instrumental buoys active at any one time;
 - vi. Carry out scientific work such as collecting Task II data when required by the Commission, based on the directives from the SCRS, observing and recording data on FAD properties in accordance with **Table 1** below.
- b) Report without delay, with due regard to the safety of the observer, any fishing activity associated with FADs made by the vessel in the period referred to in paragraph 13 of this Recommendation.
 - c) Establish general reports compiling the information collected in accordance with this paragraph and provide the master the opportunity to include therein any relevant information.

Obligations of the observer

4. Observers shall treat as confidential all information with respect to the fishing and transshipment operations of the fishing vessels and accept this requirement in writing as a condition of appointment as an observer.
5. Observers shall comply with requirements established in the laws and regulations of the flag State which exercises jurisdiction over the vessel to which the observer is assigned.
6. Observers shall respect the hierarchy and general rules of behaviour which apply to all vessel personnel, provided such rules do not interfere with the duties of the observer under this programme, and with the obligations of vessel personnel set forth in point 7 of this Annex.

Obligations of the flag States of fishing vessels

7. The responsibilities regarding observers of the flag States of the fishing vessels and their masters shall include the following, notably:
 - a) Observers shall be allowed to access to the vessel personnel and to the gear and equipment;
 - b) Upon request, observers shall also be allowed access to the following equipment, if present on the vessels to which they are assigned, in order to facilitate the carrying out of their duties set forth in point 3 of this Annex:
 - i) satellite navigation equipment;
 - ii) radar display viewing screens when in use;
 - iii) electronic means of communication, including FAD/buoys signals.
 - c) Observers shall be provided accommodations, including lodging, food and adequate sanitary facilities, equal to those of officers;
 - d) Observers shall be provided with adequate space on the bridge or pilot house for clerical work, as well as space on deck adequate for carrying out observer duties; and
 - e) The flag States shall ensure that masters, crew and vessel owners do not obstruct, intimidate, interfere with, influence, bribe or attempt to bribe an observer in the performance of his/her duties.

Table 1. FOB/FAD information added to observer onboard form to comply with RFMOs recommendations. Table from 2016 SCRS report (section 18.2 Table 9).

<i>Properties</i>	<i>DFAD</i>	<i>AFAD</i>	<i>HALOG</i>	<i>FALOG</i>	<i>ANLOG</i>	<i>VNLOG</i>
FOB built using biodegradable materials (true/false/undefined)	X	X	X	X		
FOB is non-entangling (true/false/undefined)	X	X	X	X		
Meshed material (true/false/undefined) in FOB	X	X		X		
Size of largest mesh (in millimeters)	X	X		X		
Distance between the surface and the deepest part of the FOB (in meters)	X	X	X	X		
Approximate surface area of the FOB	X	X	X	X		
Specifies the FOB's ID whenever present	X	X	X	X		
Fleet owning the tracking device/echo sounder buoy	X	X	X	X	X	X
Vessel owning the tracking device/echo sounder buoy	X	X	X	X	X	X
Anchorage type used for mooring (AFAD registry)		X				
Radar reflectors (presence or not) (AFAD registry)		X				
Lighting (presence or not) (AFAD registry)		X				
Visual range (in nautical miles) (AFAD registry)		X				
Materials used for the floating part of the FOB (list to be defined)	X	X	X	X		
Materials making up the FOB underwater structure (list to be defined)	X	X	X	X		
Tracking device TYPE+ID if possible, otherwise no or undefined.	X	X	X	X	X	X

Guidelines for Preparation of FAD Management Plans

The FAD Management Plan for a CPC purse seine and bait boat fleets must include the following:

1. Description
 - a) FAD types: AFAD = anchored; DFAD = drifting
 - b) Type of beacon/buoy
 - c) Maximum number of FAD to be deployed per purse seine and per FAD type and active at any one time per vessel
 - d) Minimum distance between AFADs
 - e) Incidental by-catch reduction and utilization policy
 - f) Consideration of interaction with other gear types
 - g) Statement or policy on “FAD ownership”
 - h) Use of support vessels, including from other flag CPCs
2. Institutional arrangements
 - a) Institutional responsibilities for the FAD Management plan
 - b) Application processes for FAD deployment approval
 - c) Obligations of vessel owners and masters in respect of FAD deployment and use
 - d) FAD replacement policy
 - e) Additional reporting obligations beyond this Recommendation
 - f) Conflict resolution policy in respect of FADs
 - g) Details of any closed areas or periods e.g. territorial waters, shipping lanes, proximity to artisanal fisheries, etc.
3. FAD construction specifications and requirements
 - a) FAD design characteristics (a description)
 - b) Lighting requirements
 - c) Radar reflectors
 - d) Visible distance
 - e) FAD markings and identifier
 - f) Radio buoys markings and identifier (requirement for serial numbers)
 - g) Echo-sounder buoys markings and identifier (requirement for serial numbers)
 - h) Satellite transceivers
 - i) Research undertaken on biodegradable FADs
 - j) Prevention of loss or abandonment of FADs
 - k) Management of FADs recovery.
4. Applicable period for the FAD Management Plan
5. Means for monitoring and reviewing the implementation of the FAD Management Plan

Guidelines for reducing the ecological impact of FADs in ICCAT fisheries

- 1) The surface structure of the FAD should not be covered or only covered with material implying minimum risk of entangling by-catch species.
- 2) The sub-surface components should be exclusively composed of non-entangling material (e.g. ropes or canvas).
- 3) When designing FADs the use of biodegradable materials should be prioritised.

Activities to be included in the work plan to be developed by SCRS

1. Review the available information on fishing capacity and provide advice on adapting the fishing capacity in all its components (number of FADs, number of fishing vessels and support vessels) to achieve the management objectives for tropical tuna species.
2. By taking into account as baseline the outputs of the EU CECOFAD research project (SCRS/2016/30) the SCRS shall:
 - (a) develop a set of definitions for floating objects and types of activities developed on them including “FAD sets” and “FAD fishing”. In particular, definitions and characteristics of non-entangling and bio-degradable FADs should be established;
 - (b) review and recommend additional changes, as appropriate, to the minimum standard reporting requirements on data to be collected in FAD fisheries through logbooks;
 - (c) establish guidelines addressed to vessel masters detailing how data and more particularly qualitative information would have to be reported.
3. Develop fisheries indicators describing catch compositions, size structures and catch average sizes of the different métiers contributing to the tropical tunas' fishing mortality and in particular of purse seine fleets fishing on floating objects.
4. Provide advice on possible modifications of fishing patterns affecting the catch-at-size composition and their impact on MSY and relative stock status.
5. In collaboration with the Secretariat, provide advice to establish a consolidated database of records of FAD activity across all purse seine fleets.

Indicative Performance indicators to support decision-making

<i>Performance metrics and associated statistics</i>	<i>Unit of measurement</i>	<i>Type of statistics</i>
1. Status		
1.1 Minimum biomass relative to B_{MSY}	B / B_{MSY}	Minimum over [x] years
1.2 Mean biomass relative to B_{MSY} ¹	B / B_{MSY}	Geometric mean over [x] years
1.3 Mean fishing mortality relative to F_{MSY}	F / F_{MSY}	Geometric mean over [x] years
1.4 Probability of being in the Kobe green quadrant	B, F	Proportion of years that $B \geq B_{MSY}$ & $F \leq F_{MSY}$
1.5 Probability of being in the Kobe red quadrant ²	B, F	Proportion of years that $B \leq B_{MSY}$ & $F \geq F_{MSY}$
2. Safety		
2.1 Probability that biomass is above B_{lim} ³		Proportion of years that $B > B_{lim}$
2.2 Probability of $B_{lim} < B < B_{thresh}$		Proportion of years that $B_{lim} < B < B_{thresh}$
3. Yield		
3.1 Mean catch – short term		Mean over 1-3 years
3.2 Mean catch – medium term		Mean over 4-10 years
3.3 Mean catch – long term		Mean over [x] years
4. Stability		
4.1 Mean absolute proportional change in catch	Catch (C)	Mean over [x] years of $(C_n - C_{n-1}) / C_{n-1}$
4.2 Variance in catch	Catch (C)	Variance over [x] years
4.3 Probability in shutdown	TAC	Proportion of years that TAC=0
4.4 Probability of TAC change over a certain level ⁴	TAC	Proportion of management cycles when the ration change ⁵ $(TAC_n - TAC_{n-1}) / TAC_{n-1} > X\%$.
4.5 Maximum amount of TAC change between management periods.	TAC	Maximum ratio of change ⁶

1. This indicator provides an indication of the expected CPUE of adult fish because CPUE is assumed to track biomass.

2. This indicator is only useful to distinguish the performance of strategies which fulfil the objective represented by 1.4.

3. This differs slightly from being equal to 1- Probability of a shutdown (4.3), because of the choice of having a management cycle of three years. In the next management cycle after B has been determined to be less than B_{lim} the TAC is fixed during three years to the level corresponding to F_{lim} , and the catch will stay at such minimum level for three years. The biomass, however, may react quickly to the lowering of F and increase rapidly so that one or more of the three years of the cycle will have $B > B_{lim}$.

4. Useful in the absence of TAC-related constraints in the harvest control rule.

5. Positive and negative changes to be reported separately.

6. Positive and negative changes to be reported separately.

**RECOMMENDATION BY ICCAT TO ESTABLISH AN AD HOC
WORKING GROUP ON FISH AGGREGATING DEVICES (FADs)**

(Entered into force **12 June 2017**)

RECOGNIZING the increasing use of FADs in ICCAT fisheries, notably for tropical tunas, and the impact this may have on the fishing mortality of juveniles of tunas, especially bigeye and yellowfin;

RECALLING recommendations by the Standing Committee on Research and Statistics (SCRS) to improve data collection for fisheries carried out in association with FADs, including floating objects that could affect fish aggregation, and to improve the ways to use this information in the process of stock assessments;

TAKING INTO ACCOUNT the reporting and monitoring, control, and surveillance measures for fishing activities carried out in association with FADs contained in Recommendation 15-01¹;

NOTING the need to assess the consequences of technological developments of FADs for future FAD-related management options;

RECOGNIZING that in response to an SCRS recommendation the Commission created in 2014 an ad hoc Working Group on FADs, composed of scientists, fishery managers, fishing industry administrators and other stakeholders, which was established by Recommendation 14-03, amended by Recommendation 15-02 and which held two meetings in 2015 and 2016;

TAKING INTO ACCOUNT the recommendations issued in 2016 by the ICCAT ad hoc Working Group on FADs and which were endorsed by the SCRS at its 2016 meeting;

CONSIDERING the need to improve the knowledge on FAD fisheries and to pursue discussions between managers, scientists and stakeholders on this important issue;

ACKNOWLEDGING the benefits of collaboration among the ICCAT ad hoc Working Group on FADs and other tuna RFMOs' FAD Working Groups to harmonise progress in addressing FAD issues that are common to all tuna RFMOs;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION OF
ATLANTIC TUNAS (ICCAT) RECOMMENDS AS FOLLOWS:**

1. An ad hoc Working Group is established with the following Terms of Reference:
 - a) Consider ways to reduce juvenile catches of bigeye and yellowfin tuna caught in FADs fishing;
 - b) Assess the use of FADs in tropical tuna fisheries in ICCAT, including by estimating the past and current number of and different types of buoys and FADs operating in ICCAT tropical tuna fisheries, and evaluate ways to improve the use of information related to FADs in the process of stock assessments, including to quantify the effort associated with this type of fishery;
 - c) In view of the identification of data gaps, review the information provided by CPCs pursuant to the FAD related provisions in the relevant ICCAT conservation and management measures;
 - d) Based on the best available information, examine:
 - i. the fishing capacity for all components of ICCAT tropical tuna fisheries, including the relative contribution of FAD fishing to overall fishing mortality by age or size category;
 - ii. assessed and projected changes, in bigeye, yellowfin and skipjack Biomass and MSY estimates, associated to different selectivity patterns and juveniles fishing mortality levels.

¹ Repealed and replaced by Rec. 16-01.

- e) Assess the developments in FAD-related technology, including with regard to:
 - Technological improvement in relation to fishing mortality.
 - FAD and buoys marking and identification as a tool for monitoring, tracking and control of FADs.
 - Reducing FADs' ecological impact through improved design, such as non-entangling FADs and biodegradable material.
 - f) Identify management options and common standards for FAD management, including the regulation of: 1) FAD sets; 2) deployment limits of FADs and buoys (by distinguishing total number of deployed buoys and the number of active ones); 3) characteristics of FADs, such as marking; 4) activities of purse seiners, baitboats and support vessels, in particular the link established in fishing operations between support vessels and individual fishing vessels, and evaluate their effect on ICCAT managed species and on the pelagic eco-systems, based on scientific advice and the precautionary approach. This should take into consideration all the fishing mortality components, the methods by which FAD fishing has increased a vessel's ability to catch fish, as well as socio-economic elements with the view to provide effective recommendations to the Commission for FAD management in tropical tuna fisheries.
 - g) Identify and assess options for and timing of recovery of FADs and/or mitigating FAD losses in order to ensure a proper management of their potential impact on different coastal and high-sea components of the marine environment.
 - h) Evaluate progress made based on the recommendations issued by the Working Group in 2016 and thereafter as appropriate.
2. The third meeting of this ad hoc Working Group shall take place in 2017 and thereafter as appropriate.
 3. The ad hoc Working Group shall report on its work with a view to recommend the adoption of appropriate measures at the relevant ICCAT Commission meeting.
 4. The ICCAT Commission, at its annual meetings, will review the progress and outcomes of the ad hoc Working Group, identify priority tasks, and assess future needs.
 5. The ad hoc Working Group will be chaired by the Chair of Panel 1 and the Chair of the SCRS. The Chairs of the ad hoc Working Group should coordinate to establish procedures to ensure a full and open exchange among all participants.
 6. The structure of the meetings will include an open forum/dialogue among scientists, fisheries managers, industry representatives and other interested stakeholders. Recommendations to the Commission shall be developed through sessions of the ad hoc Working Group, which should ensure a balanced presence and active participation of scientists and managers.
 7. The ICCAT Secretariat will work with the Secretariats of other tuna RFMOs in which FAD Working Groups have been established to promote the cooperation between these groups, including through the organization of a joint session in 2017 with the interested tuna RFMOs.
 8. This Recommendation repeals and replaces [Rec. 15-02].

**RECOMMENDATION BY ICCAT ON PROHIBITION ON DISCARDS
OF TROPICAL TUNAS CAUGHT BY PURSE SEINERS**

(Entered into force **11 June 2018**)

RECALLING the *FAO International Guidelines on by-catch management and reduction of discards* that aim to facilitate by-catch management and reduction of discards, in accordance with the *FAO Code of Conduct for responsible fishing*;

NOTING that the *Recommendation by ICCAT on a multi-annual conservation and management programme for tropical tunas* [Rec. 16-01] established a multi-annual conservation and management programme for tropical tunas in the ICCAT Convention area;

RECOGNISING that Recommendation 16-01 envisages the adoption of provisions for better by-catch management and reduction of discards in the ICCAT tropical tuna fisheries;

RECALLING that the second meeting of the *Ad Hoc Working Group on FADs* recommended development of an appropriate retention policy for tropical tunas to better manage by-catch and reduce discards in tropical tuna fisheries, in accordance with the *FAO guidelines*;

TAKING INTO ACCOUNT the recommendations made by the *SCRS* in 2017 on tropical tunas;

RECOGNISING that other tuna RFMOs have implemented similar conservation and management measures requiring purse seiners to implement full retention of tunas;

CONCERNED by the loss of data due to discards of tuna and other species in the ICCAT tropical tuna fisheries;

TAKING INTO ACCOUNT the considerable volume of tunas caught in the purse seine fishery targeting tropical tunas in the Atlantic Ocean;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

Objective

The objective of this recommendation is to achieve a substantial reduction in discards of tropical tunas by 2020.

Retention of tuna species

1. Contracting Parties and Cooperating Non-Contracting Parties, Entities or Fishing Entities (CPCs) whose purse seiners are authorised to fish for bigeye and/or yellowfin and/or skipjack tuna in the Convention area, pursuant to paragraph 25 of Recommendation 16-01, must require these vessels to retain on board then land or tranship to port all bigeye, skipjack and yellowfin tunas caught, except in the cases described in paragraph 2b.
2. The procedures for implementation of full retention requirements comprise:
 - a) No bigeye, skipjack and/or yellowfin tuna caught by a purse seiner may be discarded during the set once the net is completely closed and when more than half of the net has been retrieved. If there is a technical problem with the closing or retrieval procedure of the net such that this rule cannot be applied, the crew shall make every effort to release the tunas into the water as quickly as possible.

b) The following two exceptions apply to this rule:

- i. When the vessel master determines that the tunas caught (bigeye, skipjack or yellowfin tuna) are not fit for human consumption, the following definitions shall apply:
 - “unfit for human consumption” refers to fish that:
 - are meshed or crushed in the purse seine net; or
 - are damaged due to depredation; or
 - have died and decomposed in the net due to a gear failure that has prevented the normal activities of retrieval of the net and fishing and efforts to release the fish alive;
 - “unfit for human consumption” does not include fish that:
 - are considered undesirable in terms of size, marketability, or species composition; or
 - have decomposed or are contaminated as a result of an act or omission of the crew of the fishing vessel.
- ii. When the vessel master determines that the tunas (bigeye, skipjack or yellowfin tuna) have been caught during the last set of a trip and there is not enough storage capacity to store the tunas (bigeye, skipjack or yellowfin tuna) caught during this set, these fish may only be discarded if:
 - the master or the crew attempt to release the tuna alive (bigeye, skipjack or yellowfin tuna) as quickly as possible; and
 - no other fishing operation is conducted following the discarding, until such time as the tunas (bigeye, skipjack and yellowfin tuna) onboard the vessel are landed or transhipped.

The CPC shall report all discards observed.

3. CPCs shall encourage their vessels using other gear types (i.e., longline, baitboat and gillnets) to retain onboard and land or, to the extent possible and in compliance with Recommendation 16-15, tranship at port all bigeye, yellowfin and skipjack tuna caught except in the cases where ICCAT measures in force or national regulations prohibit their retention or encourage their release.

Implementation and review

4. In 2020, the SCRS shall assess the effectiveness of this Recommendation and submit recommendations to the Commission regarding potential improvements.
5. In 2020, the SCRS shall also undertake work to examine the benefits according to the objectives defined above of retaining non-targeted species catches and present its recommendations to the Commission. The work should take into account all species that are usually discarded on all major gears (i.e., purse-seines, longlines and gillnets), and should look at fisheries that take place both on the high seas and in waters under national jurisdiction and the feasibility of both retaining on-board and processing of the associated landings.

**RECOMMENDATION BY ICCAT TO REPLACE RECOMMENDATION 16-01 BY ICCAT ON
A MULTI-ANNUAL CONSERVATION AND MANAGEMENT PROGRAMME FOR TROPICAL TUNAS**

(Entered into force **20 June 2020**)

RECALLING the current multi-annual conservation and management programme for tropical tunas;

NOTING that the stocks of bigeye and yellowfin tuna are currently overfished, and that bigeye tuna is also subject to overfishing;

RECOGNISING that the TAC for bigeye tuna for 2017 was exceeded by more than 20% and that this level of catch is projected to reduce the probability to reach the Convention objectives by 2028 is less than 10%;

ACKNOWLEDGING that the TAC for yellowfin tuna was also exceeded in 2016 by 37% and by 26% in 2017;

TAKING INTO ACCOUNT that Recommendation 11-13 on the Principles for Decision Making on Conservation and Management Measures of ICCAT mandates that for stocks that are overfished and subject to overfishing (i.e., stocks in the red quadrant of the Kobe plot), the Commission shall immediately adopt management measures, taking into account, *inter alia*, the biology of the stock and SCRS advice, designed to result in a high probability of ending overfishing in as short a period as possible. In addition, the Commission shall adopt a plan to rebuild these stocks taking into account, *inter alia*, the biology of the stock and SCRS advice;

TAKING FURTHER INTO ACCOUNT that it is necessary to explore alternative and more effective systems or regimes for the management of tropical tunas and for this the SCRS' recommendation is required;

CONSIDERING that the SCRS continues to recommend that effective measures be found to reduce FAD-related and other fishing mortality of small yellowfin and bigeye tuna;

TAKING INTO ACCOUNT the recommendations made by the Panel on the Second ICCAT Performance Review regarding the carryover of underage of catches from one year to another;

FURTHER TAKING INTO ACCOUNT the recommendations made by the first meeting of the Joint Tuna RFMO FAD Working Group and the third meeting of ICCAT's *Ad Hoc* Working Group on FADs, on FAD management objectives and the availability of FAD management measures to reduce juvenile tuna mortality;

NOTING that the SCRS has advised that increased harvests on FADs as well as other fisheries as well as development of new fisheries could have had negative consequences for the productivity of bigeye and yellowfin tuna fisheries (e.g. reduced yield at MSY);

FURTHER NOTING that support vessels contribute to the increase in efficiency and capacity of purse seiner vessels using FADs and that the number of support vessels has increased significantly over the years;

RECALLING the significant body of international law that recognizes the rights and special requirements of developing States, including but not limited to, as applicable, Article 119 of UNCLOS and Article 25 and Part VII of UNFSA;

RECOGNISING the interests of developing coastal States to develop their fishing opportunities, and committing to achieve a more equitable distribution of fishing opportunities to developing coastal States over time;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

**PART I
GENERAL PROVISIONS**

Interim conservation and management measures

1. Without prejudice to the allocation of fishing rights and opportunities to be adopted in the future, for the years 2020 and 2021, the Contracting Parties and the Cooperating Non-Contracting Parties, Entities or Fishing Entities (hereinafter referred to as CPCs) with vessels that have been actively fishing for tropical tunas in the Atlantic will apply the following interim management measures with the objective of reducing current levels of fishing mortality of tropical tunas, in particular small bigeye and yellowfin, while the Commission obtains additional scientific advice to adopt a long-term multi-annual management and rebuilding programme.

Multi-annual Management, Conservation, and Rebuilding Programme

2. CPCs whose vessels have been actively fishing for tropical tunas in the Atlantic shall implement a 15-year rebuilding programme for bigeye tuna starting in 2020 and continuing through 2034, with the goal of achieving B_{MSY} with a probability of more than 50%. CPCs shall also implement management measures with the objectives of ensuring that the stocks of yellowfin and skipjack tuna continue to be exploited sustainably.

PART II CATCH LIMITS

Catch limits for bigeye tuna

3. The Total Allowable Catch (TAC) for bigeye tuna shall be 62,500 t in 2020 and 61,500 t in 2021. The TAC for 2022 and future years shall be considered in 2021 on the basis of SCRS advice.
4. As an interim measure for 2020, the following provisions shall apply:
 - a) CPCs with catch limits greater than 10,000 t in para. 3 of Rec. 16-01, shall apply a 21% reduction to those catch limits.
 - b) CPCs that are not captured by (a) that have a recent average catch¹ of greater than 3,500 t, shall apply a catch limit that is 17% less than their recent average catch or their catch limit in para. 3 of Rec. 16-01.
 - c) CPCs that have a recent average catch of between 1,000 and 3,500 t shall apply a catch limit that is 10% less than their recent average catch.
 - d) Those CPCs with recent average catch of less than 1,000 t are encouraged to maintain catch and effort at recent levels.
5. The provisions of paragraph 4 of this Recommendation shall not prejudice the rights and obligations under international law of those developing coastal CPCs in the Convention Area whose current fishing activity for bigeye tuna is limited or non-existent, but that have a real interest in fishing for the species, that may wish to develop their own fisheries targeting bigeye tuna in the future. CPCs shall implement robust monitoring, control and surveillance measures, as applicable in relation to their capacity and resources.

¹ Recent average catch for the purposes of paragraph 4 means the annual average catch for the 4 year period 2014-2017 or the average of real catches for the 5-year period 2014-2018 if in that period the catch was equal to zero in any of those years.

6. Small scale artisanal fishers shall be given special consideration to their specificities and needs.
7. The annual quotas and catch limits described in this Recommendation do not constitute long term rights and are without prejudice to any future process of allocation.
8. Korea may transfer up to 223 t of its bigeye tuna fishing possibilities to Chinese Taipei in 2020².
9. If the total catch exceeds in any year the relevant TAC specified in paragraph 3, the Commission shall review these measures.

Underage or overage of catch of bigeye tuna

10. Overage of an annual catch limit for CPCs listed in paragraph 4 for bigeye tuna shall be deducted from the annual catch limit of the following year:

<i>Year of catch</i>	<i>Adjustment Year</i>
2018	2020
2019	2021
2020	2022
2021	2023

11. Notwithstanding paragraph 10, if any CPC exceeds its annual catch limit:
 - a) In one year, then the amount deducted in the adjustment year shall be determined as 100% of the overage; and
 - b) During any two consecutive years, the Commission will recommend appropriate measures, which shall include reduction in the catch limit equal to 125% of the excess harvest.
12. For CPCs listed in Paragraph 3 of Rec. 16-01, underage or overage of an annual catch limit in 2019 shall be added to/or deducted from their 2021 annual catch limit, subject to 10% of initial quota restrictions noted in paragraphs 9a and 10 of Rec. 16-01.

Monitoring of catch

13. CPCs shall report quarterly to the Secretariat the amount of tropical tunas (by species) caught by vessels flying their flag, within 30 days of the end of the period during which the catches were made.
14. For purse seiners and large longline vessels (LOA 20m or greater), CPCs shall report on a monthly basis, increasing to weekly when 80% of their catch limits have been caught.
15. The Secretariat shall notify all CPCs once 80% of the TAC has been caught.
16. CPCs shall report to the ICCAT Secretariat the dates when their entire catch limit of bigeye tuna has been utilized. The ICCAT Secretariat shall promptly circulate this information to all CPCs.

TAC for yellowfin tuna

17. The annual TAC for 2020 and subsequent years of the Multi-annual Programme is 110,000 t for yellowfin tuna and shall remain in place until changed based on scientific advice.
18. Based on the stock assessment and SCRS advice, the Commission shall adopt additional conservation measures for yellowfin tuna at the 2020 annual meeting, which may include a revised TAC, closures or allocated catch limits.

² Japan may transfer up to 600 t of bigeye tuna fishing possibilities to China and up to 300 t of bigeye tuna fishing possibilities to the European Union.

19. If the total catch exceeds in any year the TAC in paragraph 17, the Commission shall consider additional management measures for yellowfin tuna. Any other measures shall recognise the obligations of international law and the rights of CPC developing coastal States.

Fishing Plans

20. CPCs should provide ICCAT with a fishing and capacity management plan on how they will implement any catch reductions necessary as a result of paragraph 4.
21. Any developing CPC intending to increase its participation in ICCAT fisheries for tropical tunas shall endeavor to prepare a statement of its development intentions for tropical tuna with the purpose of informing other CPCs of potential changes in the fishery over time. These statements should include details of proposed/potential fleet additions, including vessel size and gear type. The statements shall be submitted to the ICCAT Secretariat and be made available to all CPCs. Those CPCs may amend their statement as their situation and opportunities change.

PART III CAPACITY MANAGEMENT MEASURES

Capacity limitation for tropical tunas

22. A capacity limitation shall be applied for the duration of the Multi-annual Programme, in accordance with the following provisions:
- a) By 31 January each year, each CPC fishing with recent average catches of more than 1,000 t for tropical tuna shall produce an annual capacity/fishing plan that outlines how that CPC will ensure that its overall longline and purse seine fleet capacity will be managed to ensure that the CPC can meet its obligation to limit the catch of bigeye, and its yellowfin and skipjack catches, consistent with the catch limit established under paragraph 4.
 - b) Any CPCs with recent average catches of less than 1,000 t that have planned an expansion of capacity in 2020, will provide a declaration by 31 January 2020.
 - c) The Compliance Committee shall annually review CPCs' compliance with capacity management measures.
23. Any CPC having vessels that operate, part-time or full-time, in support of purse seiners shall report the names and characteristics of all of their vessels to the ICCAT Secretariat, including which of those vessels were active in 2019 in the ICCAT Convention area, and the names of the purse seiner(s) that received the support of each support vessel. This information shall be reported no later than 31 January 2020. The Secretariat shall prepare a report for the Commission to be able to consider the type of limitation that support vessels shall be subject to in the future, including a phasing-out plan, where required. Notwithstanding this, CPCs shall not increase the number of support vessels from the numbers recorded by the time of adoption of this measure.
24. For the purposes of this measure, a support vessel is defined as any vessel that carries out activities in support of purse seine vessels that increases the efficiency of their operations including, but not limited to deploying, servicing and retrieving FADs.

PART IV MANAGEMENT OF FADs

FAD management objectives

25. The general objectives for management of FADs and support vessels in the Convention area are defined as follows:

- a) To minimize potential impacts that high FAD density may have on purse seine fishing efficiency, while minimizing disproportionate impacts to the fishing opportunities of fleets that use other gear or other fishing strategies while also targeting tropical tunas;
- b) To minimize the impact of FAD fishing on the productivity of bigeye and yellowfin stocks that result from the capture of high numbers of juveniles that aggregate with skipjack on FADs;
- c) To minimize the impact of FAD fishing on non-target species, where appropriate, including entanglement of marine species, particularly those of conservation concern;
- d) To minimize the impact of FADs and FAD fishing on pelagic and coastal ecosystems, including by preventing the beaching, stranding or grounding of FADs in sensitive habitats or the alteration of pelagic habitat.

FAD closure

26. For the purpose of this Recommendation, the following definitions shall apply:

- i. Floating object (FOB): Any natural or artificial floating (i.e. surface or subsurface) object with no capability of moving on its own. FADs are those FOBs that are man-made and intentionally deployed and/or tracked. Logs are those FOBs that are accidentally lost from anthropic and natural sources.
 - ii. Fish-Aggregating device (FAD): Permanent, semi-permanent or temporary object, structure or device of any material, man-made or natural, which is deployed and/or tracked, and used to aggregate fish for subsequent capture. FADs can either be anchored (aFADs) or drifting (dFADs).
 - iii. FAD set: setting a fishing gear around a tuna school associated with a FAD.
 - iv. Operational buoy: Any instrumented buoy, previously activated, switched on and deployed at sea, which transmits position and any other available information such as eco-sounder estimates.
 - v. Activation: The act of enabling satellite communication services by the buoy supplier company at the request of the buoy owner. The owner then starts paying fees for communication services. The buoy can be transmitting or not, depending if it has been manually switched on.
27. In order to reduce the fishing mortality of juvenile bigeye and yellowfin tunas, purse seine and baitboat vessels fishing for, or vessels supporting activities to fish for, bigeye, yellowfin and skipjack tunas in association with FADs in the high seas or EEZs shall be prohibited during a two- and three-month period, split into 2020 and 2021, respectively, as indicated in paragraph 28 below:
28. 1 January to 28 February for 2020 and 1 January to 31 March in 2021, throughout the Convention area. This should be reviewed and, if necessary, revised based on advice by the SCRS taking into account monthly trends in free school and FAD-associated catches and the monthly variability in the proportion of juvenile tuna in catches. SCRS should provide this advice to the Commission in 2020.
29. In addition, each CPC shall ensure its vessels do not deploy drifting FADs during a period of 15 days prior to the start of the closure period.

FAD limitations

30. CPCs shall ensure that, for vessels flying their flag, the following limits shall apply on the number of FADs with operational buoys at any one time according to definitions given in paragraph 26. The number of FADs with operational buoys will be verified through the verification of telecommunication bills. Such verifications shall be conducted by the competent authorities of the CPCs:
- a) 2020: 350 FADs per vessel
 - b) 2021: 300 FADs per vessel

31. With a view to establishing FAD set limits to keep the catches of juvenile tropical tunas at sustainable levels, in 2021 SCRS should inform the Commission about the maximum number of FAD sets which should be established per vessel or per CPC. To support this analysis, CPCs with purse seine vessels shall urgently undertake to report to the SCRS by 31 July 2020 the required historical FAD set data. CPCs that do not report these data in accordance with this paragraph shall be prohibited from setting on FADs until such data have been received by the SCRS.

In addition, each CPC with purse seine fishing vessels is encouraged not to increase its total fishing effort on FADs from its 2018 level. CPCs shall report the difference between the 2018 level and the 2020 level to the 2021 Commission meeting.

32. CPCs may authorize their purse seine vessels to set on floating objects provided that the fishing vessel has either an observer or a functioning electronic monitoring system on board which is capable of verifying set type, species composition, and providing information on fishing activities to the SCRS.
33. Further analysis shall be conducted by the SCRS on the impact of support vessels on the catches of juvenile yellowfin and bigeye tuna to be considered in 2020.

FAD Management Plans

34. CPCs with purse seine and/or baitboat vessels fishing for bigeye, yellowfin and skipjack tunas in association with FADs, shall submit to the Executive Secretary Management Plans for the use of aggregating devices by vessels flying their flag by 31 January each year.
35. The objective of the FAD Management Plans shall be the following:
- i. improve the knowledge about FAD characteristics, buoy characteristics, FAD fishing, including fishing effort of purse seiners and associated support vessels, and related impacts on target and non-target species;
 - ii. effectively manage the deployment and recovery of FADs, the activation of buoys and their potential loss;
 - iii. reduce and limit the impacts of FADs and FAD fishing on the ecosystem, including, where appropriate, by acting on the different components of the fishing mortality (e.g. number of deployed FADs, including number of FADs set by purse seiners, fishing capacity, number of support vessels).
36. The Plans shall be drawn up by following the Guidelines for Preparation of FAD Management Plans as provided in **Annex 1**.

FAD logbook and list of deployed FADs

37. CPCs shall ensure that all purse seine and baitboat fishing vessels and all support vessels (including supply vessels) flying their flag, and/or authorized by CPCs to fish in areas under their jurisdiction, when fishing in association with or deploying FADs, collect and report, for each deployment of a FAD, each visit on a FAD, whether followed or not by a set, or each loss of a FAD, the following information and data:
- a) Deployment of any FAD
 - i. Position
 - ii. Date
 - iii. FAD type (anchored FAD, drifting artificial FAD)
 - iv. FAD identifier (i.e., FAD marking and buoy ID, type of buoy – e.g. simple buoy or associated with echo-sounder)
 - v. FAD design characteristics (material of the floating part and of the underwater hanging structure and the entangling or non-entangling feature of the underwater hanging structure)

- b) Visit on any FAD
 - i. Type of the visit (deployment of a FAD and/or buoy³, retrieving FAD and/or buoy, strengthening/consolidation of FAD, intervention on electronic equipment, random encounter (without fishing) of a log or a FAD belonging to another vessel, visit (without fishing) of a FAD belonging to the vessel, fishing set on a FAD⁴)
 - ii. Position
 - iii. Date
 - iv. FAD type (anchored FAD, drifting natural FAD, drifting artificial FAD)
 - v. Log description or FAD identifier (i.e., FAD Marking and buoy ID or any information allowing to identify the owner)
 - vi. Buoy ID
 - vii. If the visit is followed by a set, the results of the set in terms of catch and by-catch, whether retained or discarded dead or alive. If the visit is not followed by a set, note the reason (e.g. not enough fish, fish too small, etc.)
- c) Loss of any FAD
 - i. Last registered position
 - ii. Date of the last registered position
 - iii. FAD identifier (i.e., FAD Marking and buoy ID)

For the purpose of the collection and reporting of the information referred to above and where paper or electronic logbooks already in place do not allow it, CPCs shall either update their reporting system or establish FAD logbooks. In establishing FAD logbooks, CPCs should consider using the template laid down in **Annex 2** as reporting format. When using paper logbooks, CPCs may seek, with the support of the Executive Secretary, harmonized formats. In both cases, CPCs shall use the minimum standards recommended by SCRS in **Annex 3**.

- 38. CPCs shall also ensure that all vessels referred to in paragraph 30 keep updated on a monthly basis and per 1°x1° statistical rectangles a list of deployed FADs and buoys, containing at least the information as laid down in **Annex 4**.

Reporting obligations on FADs and on support vessels

- 39. CPCs shall ensure that the following information is submitted every year to the Executive Secretary in a format provided by the ICCAT Secretariat. This information shall be made available to the SCRS and to the Ad Hoc Working Group on FADs in a database developed by the ICCAT Secretariat:
 - i. the number of FADs actually deployed on a monthly basis per 1°x1° statistical rectangles, by FAD type, indicating the presence or absence of a beacon/buoy or of an echo-sounder associated to the FAD and specifying the number of FADs deployed by associated support vessels, irrespective of their flag;
 - ii. the number and type of beacons/buoys (e.g. radio, sonar only, sonar with echo-sounder) deployed on a monthly basis per 1°x1° statistical rectangles;
 - iii. the average numbers of beacons/buoys activated and deactivated on a monthly basis that have been followed by each vessel;
 - iv. average numbers of lost FADs with active buoys on a monthly basis;
 - v. for each support vessel, the number of days spent at sea, per 1° grid area, month and flag State;
 - vi. purse seine and baitboat catches, efforts and number of sets (for purse seines) by fishing mode (floating-object associated schools and free school fisheries) in line with Task II data requirements (i.e. per 1°x1° statistical rectangles and per month);
 - vii. when the activities of purse seine are carried out in association with baitboat, report catches and effort in line with Task I and Task II requirements as “purse seine associated to baitboats” (PS+BB).

³ Deploying a buoy on a FAD includes three aspects: deploying a buoy on a foreign FAD, transferring a buoy (which changes the FAD's owner) and changing the buoy on the same FAD (which does not change the FAD's owner).

⁴ A fishing set on a FAD includes two aspects: fishing after a visit to a vessel's own FAD (targeted) or fishing after a random encounter with a FAD (opportunistic).

Non-entangling and biodegradable FADs

40. In order to minimize the ecological impact of FADs, in particular the entanglement of sharks, turtles and other non-targeted species, and the release of synthetic persistent marine debris, CPCs shall:
 - i. Ensure that all FADs deployed are non-entangling in line with the guidelines under **Annex 5** of this Recommendation, in accordance with previous ICCAT Recommendations;
 - ii. Endeavour that as of January 2021 all FADs deployed are non-entangling, and constructed from biodegradable materials, including non-plastics, with the exception of materials used in the construction of FAD tracking buoys;
 - iii. Report on an annual basis on the steps undertaken to comply with these provisions in their FADs Management Plans.

PART V CONTROL MEASURES

Specific authorization to fish for tropical tunas

41. CPCs shall issue specific authorizations to vessels 20 meters LOA or greater flying their flag allowed to fish bigeye and/or yellowfin and/or skipjack tunas in the Convention area, and to vessels flying their flag used for any kind of support of this fishing activity (hereafter referred to as "authorized vessels").

ICCAT Record of authorized tropical tuna vessels

42. The Commission shall establish and maintain an ICCAT record of authorized tropical tuna vessels, including support vessels. Fishing vessels 20 meters LOA or greater not entered into this record are deemed not to be authorized to fish, retain on board, tranship, transport, transfer, process or land bigeye and/or yellowfin and/or skipjack tunas from the Convention area or to carry out any kind of support to those activities, including deploying and retrieving FADs and/or buoys.
43. A CPC may allow by-catch of tropical tunas by vessels not authorized to fish for tropical tunas pursuant to paragraph 41 and 42, if this CPC establishes a maximum onboard by-catch limit for such vessels and the by-catch in question is accounted for within the CPC's quota or catch limit. Each CPC shall provide in its Annual Report the maximum by-catch limit it allows for such vessels and information about how the CPC ensures compliance with the limit. That information shall be compiled by the ICCAT Secretariat and made available to CPCs.
44. CPCs shall notify the list of authorized vessels to the Executive Secretary in an electronic form and in accordance with the format set in the *Guidelines for Submitting Data and Information Required by ICCAT*.
45. CPCs shall, without delay, notify the Executive Secretary of any addition to, deletion from and/or modifications of the initial list. Periods of authorization for modifications or additions to the list shall not include dates more than 45 days prior to the date of submission of the changes to the Secretariat. The Secretariat shall remove from the ICCAT Record of Vessels any vessel for which the periods of authorization have expired.
46. The Executive Secretary shall, without delay, post the record of authorized vessels on the ICCAT website, including any additions, deletions and/or modifications so notified by CPCs.
47. Conditions and procedures referred to in the *Recommendation by ICCAT Concerning the Establishment of an ICCAT Record of Vessels 20 meters in Length Overall or Greater Authorized to Operate in the Convention Area* (Rec. 13-13) shall apply mutatis mutandis to the ICCAT record of authorized tropical tuna vessels.

Vessels actively fishing tropical tunas in a given year

48. Each CPC shall, by 31 July each year, notify to the Executive Secretary the list of authorized vessels flying their flag which have fished bigeye and/or yellowfin and/or skipjack tunas in the Convention area or have offered any kind of support to the fishing activity (support vessels) in the previous calendar year. For purse seines this list shall also include the support vessels that have supported the fishing activity, irrespective of their flag.

The Executive Secretary shall report each year these lists of vessels to the Compliance Committee and to the SCRS.

49. The provisions of paragraphs 41 to 47 do not apply to recreational vessels.

Recording of catch and fishing activities

50. Each CPC shall ensure that its vessels 20 meters LOA or greater fishing bigeye and/or yellowfin and/or skipjack tunas in the Convention area record their catch in accordance with the requirements set out in Annex 6 and in the *Recommendation by ICCAT Concerning the Recording of Catch by Fishing Vessels in the ICCAT Convention Area* (Rec. 03-13).

Identification IUU activity

51. The Executive Secretary shall, without delay, verify that any vessel identified or reported in the context of this Multi-annual Programme is on the ICCAT record of authorized vessels. If a possible violation is detected, the Executive Secretary shall, without delay, notify the flag CPC. The flag CPC shall immediately investigate the situation and, if the vessel is fishing in relation to objects that could affect fish aggregation, including FADs, during the period of closure request the vessel to stop fishing and, if necessary, leave the area. The flag CPC shall, without delay, report to the Executive Secretary the results of its investigation and the corresponding measures taken.
52. The Executive Secretary shall report to the Compliance Committee at each annual meeting of the Commission on any issue related to identification of unauthorized vessels, the implementation of the VMS, the observer provisions, and the results of the relevant investigation made as well as any relevant measures taken by the flag CPCs concerned.
53. The Executive Secretary shall propose to include any vessels identified in accordance with paragraph 52, or vessels for which the flag CPC has not carried out the required investigation and taken, if necessary, adequate measures in accordance with paragraph 51, on the provisional IUU list.

Observers

54. For observers on board vessels targeting bigeye, yellowfin and/or skipjack tunas in the area east of meridian 20°/West longitude and north of parallel 28°/ South latitude, the following shall apply:
- Observers shall automatically be recognized by all CPCs. Such recognition shall allow the scientific observer to continue the collection of information throughout the EEZ visited by the vessel observed. The coastal CPCs concerned shall receive from the flag CPC which mandated the observer the information collected by the observer and related to fishing activities on ICCAT species in their EEZ.
55. For longline vessels flying their flag 20 meters length overall (LOA) or greater targeting bigeye, yellowfin and/or skipjack in the Convention area, CPCs shall ensure a minimum of 10% observer coverage of fishing effort by 2022, through the presence of a human observer on board in accordance with **Annex 7** and/or an Electronic Monitoring system. For this purpose, the Working Group on Integrated Monitoring Measures (IMM WG), in cooperation with the SCRS, shall make a recommendation to the Commission for endorsement at its 2021 Annual meeting on the following:

- a) Minimum standards for an electronic monitoring system such as:
 - i) the minimum specifications of the recording equipment (e.g. resolution, recording time capacity), data storage type, data protection
 - ii) the number of cameras to be installed at which points on board
- b) What shall be recorded
- c) Data analysis standards, e.g., converting video footage into actionable data by the use of artificial intelligence
- d) Data to be analyzed, e.g., species, length, estimated weight, fishing operation details
- e) Reporting format to the Secretariat

In 2020 CPCs are encouraged to conduct trials on electronic monitoring and report the results back to the IMM and the SCRS in 2021 for their review.

CPCs shall report the information collected by the observers or the electronic monitoring system from the previous year by 30 April to the ICCAT Secretariat and to SCRS taking into account CPC confidentiality requirements.

- 56. CPCs shall submit all relevant data and administer scientific observer programs for tropical tunas in accordance with *Recommendation by ICCAT to Establish Minimum Standards for Fishing Vessel Scientific Observers* [Rec. 16-14]. In 2023, the SCRS shall provide advice on the improvements to observer programs including how coverage should be stratified across vessels, seasons and areas to achieve maximum effectiveness.
- 57. CPCs shall endeavour to further increase observer coverage rates for longline vessels, including through trials and implementation of electronic monitoring to supplement human observers. CPCs that trial electronic monitoring shall share technical specifications and standards with the Commission towards the development of agreed ICCAT standards.
- 58. For purse seine vessels flying their flag and targeting bigeye, yellowfin and/or skipjack in the Convention area, CPCs shall ensure 100% observer coverage of fishing effort, through the presence of an observer on board in accordance with **Annex 7** or through an approved electronic monitoring system. CPCs shall report the information collected by the observers from the previous year by 30 April to the ICCAT Secretariat and to SCRS.
- 59. Each year, the ICCAT Secretariat shall compile the information collected under observer programs, including on the observer coverage for each tropical tuna fishery, and make it available to the Commission before the annual meeting for further deliberation, taking into account CPC confidentiality requirements.
- 60. In 2020, IMM shall explore the possible scope and benefits of ICCAT adopting a regional Observer Program for tropical tuna fisheries taking into account the need for harmonization and coordination of national observer programs for tropical tuna fisheries.

Port Sampling Programme

- 61. The port sampling programme developed by the SCRS in 2012 shall be continued for landing or transshipment ports. Data and information collected from this sampling programme shall be reported to ICCAT each year, describing, at a minimum, the following by country of landing and quarter: species composition, landings by species, length composition, and weights. Biological samples suitable for determining life history should be collected as practicable.

PART VI
MANAGEMENT PROCEDURES/MANAGEMENT STRATEGY EVALUATION

Management Strategy Evaluation (MSE) and Candidate Harvest Control Rules

62. The SCRS shall refine the MSE process in line with the SCRS roadmap and continue testing the candidate management procedures. On this basis, the Commission shall review the candidate management procedures, including pre-agreed management actions to be taken under various stock conditions. These shall take into account the differential impacts of fishing operations (e.g. purse seine, longline and baitboat) on juvenile mortality and the yield at MSY.

PART VII
FINAL PROVISIONS

Availability of data to SCRS and to national scientists

63. CPCs shall ensure that:
- a) Both paper and electronic fishing logbooks and the FAD-logbooks referred to in paragraph 37, where applicable, are promptly collected and made available to national scientists;
 - b) The Task II data include the information collected from the fishing or FAD logbooks, where applicable, and is submitted every year to the ICCAT Executive Secretary, to be made available to the SCRS.
64. CPCs should encourage their national scientists to undertake collaborative work with their national industry to analyse data related to FADs (e.g. logbooks, buoy data) and to present the outcomes of that analysis to the SCRS. CPCs should take steps to facilitate making the data available for such collaborative work, subject to relevant confidentiality constraints.

Confidentiality

65. All data submitted in accordance with this Recommendation shall be treated in a manner consistent with ICCAT's data confidentiality guidelines and solely for the purposes of this Recommendation and in accordance with the requirements and procedures developed by the Commission.

Final Provisions

66. Actions required from the SCRS and the Secretariat:
- a) The SCRS shall explore the efficacy that full fishery closures along the lines of those proposed in draft recommendation by ICCAT to replace Recommendation 16-01 by ICCAT on a multi-annual conservation and management programme for tropical tunas⁵ might have to reduce the catches of tropical tunas to the agreed levels; and the potential of such scheme to reduce the catches of juvenile bigeye and yellowfin tunas, in line with recommendations from the SCRS;
 - b) The ICCAT Secretariat shall work with the SCRS in preparing an estimate of capacity in the Convention area, to include at least all the fishing units that are large-scale or operate outside the EEZ of the CPC they are registered in. All CPCs shall cooperate with this work, providing estimates of the number of fishing units fishing for tuna and tuna-like species under their flag, and the species or species groups each fishing unit targets (e.g. tropical tunas, temperate tunas, swordfish, other billfish, small tunas, sharks, etc.); this work shall be presented to the next meeting of the SCRS in 2020 and forwarded to the Commission for consideration;

⁵ Presented as document PA1_505A/2019 and available upon request.

- c) The ICCAT Secretariat shall identify a Consultant to carry out an evaluation of the monitoring, control and surveillance mechanisms in place in ICCAT CPCs. This work shall primarily focus on the evaluation of data collection and processing systems in each CPC, and the ability to produce estimates of catch and effort, and length frequency for all stocks under ICCAT management, with a focus on stocks for which input and/or output measures are in place; in preparing this work the Consultant shall evaluate how efficient the catch monitoring systems that each CPC has implemented are to achieve robust estimates of catches for the stocks subject to a TAC; the ICCAT Secretariat shall work with SCRS scientists to prepare a TOR for this work as soon as possible.
- 67. An intersessional meeting of Panel 1 will be held in 2020 to review existing measures and *inter alia* develop catch limits and associated catch verification mechanisms for 2021.
 - 68. This Recommendation replaces Rec. 16-01⁶ and 18-01 and shall be reviewed by the Commission in 2021.
 - 69. All CPCs commit to implement the present Recommendation on a voluntary basis as of 1 January 2020.

⁶ Recommendation 16-01 is preserved as necessary for the cross-references herein.

Guidelines for Preparation of FAD Management Plans

The FAD Management Plan for a CPC purse seine and baitboat fleets must include the following:

1. Description
 - a) FAD types: AFAD = anchored; DFAD = drifting
 - b) Type of beacon/buoy
 - c) Maximum number of FAD to be deployed per purse seine and per FAD type and active at any one time per vessel
 - d) Minimum distance between AFADs
 - e) Incidental by-catch reduction and utilization policy
 - f) Consideration of interaction with other gear types
 - g) Statement or policy on "FAD ownership"
 - h) Use of support vessels, including from other flag CPCs
2. Institutional arrangements
 - a) Institutional responsibilities for the FAD Management plan
 - b) Application processes for FAD deployment approval
 - c) Obligations of vessel owners and masters in respect of FAD deployment and use
 - d) FAD replacement policy
 - e) Additional reporting obligations beyond this Recommendation
 - f) Conflict resolution policy in respect of FADs
 - g) Details of any closed areas or periods e.g. territorial waters, shipping lanes, proximity to artisanal fisheries, etc.
3. FAD construction specifications and requirements
 - a) FAD design characteristics (a description)
 - b) Lighting requirements
 - c) Radar reflectors
 - d) Visible distance
 - e) FAD markings and identifier
 - f) Radio buoys markings and identifier (requirement for serial numbers)
 - g) Echo-sounder buoys markings and identifier (requirement for serial numbers)
 - h) Satellite transceivers
 - i) Research undertaken on biodegradable FADs
 - j) Prevention of loss or abandonment of FADs
 - k) Management of FADs recovery.
4. Applicable period for the FAD Management Plan
5. Means for monitoring and reviewing the implementation of the FAD Management Plan

FAD logbook

<i>FAD marking</i>	<i>Buoys ID</i>	<i>FAD type</i>	<i>Type of visit</i>	<i>Date</i>	<i>Time</i>	<i>Position</i>		<i>Estimated catches</i>			<i>By-catch</i>				<i>Observations</i>
						<i>Latitude</i>	<i>Longitude</i>	<i>SKJ</i>	<i>YFT</i>	<i>BET</i>	<i>Taxonomic group</i>	<i>Estimated catches</i>	<i>Unit</i>	<i>Specimen released alive</i>	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(7)	(8)	(8)	(8)	(9)	(10)	(11)	(12)	(13)
...
...

(1,2) If FAD marking and associated beacon/buoy ID are absent or unreadable, report it in this section. However, if FAD marking and associated beacon/buoy ID are absent or unreadable, the FAD shall not be deployed.

(3) Anchored FAD, drifting natural FAD or drifting artificial FAD.

(4) I.e., deployment, hauling, strengthening/consolidation, removing/retrieving, changing the beacon, loss and mention if the visit has been followed by a set.

(5) dd/mm/yy

(6) hh:mm

(7) N/S/(in degrees and minutes) or °E/W/(in degrees and minutes).

(8) Estimated catches expressed in metric tons.

(9) Use a line per taxonomic group.

(10) Estimated catches expressed in weight or in number.

(11) Unit used.

(12) Expressed as number of specimen.

(13) If no FAD marking or associated beacon ID is available, report all available information in this section which may help to describe the FAD and to identify the owner of the FAD.

Table 1. Codes, names and examples of different types of floating object that should be collected in the fishing logbook as a minimum data requirement. Table from 2016 SCRS report (section 18.2 Table 7).

<i>Code</i>	<i>Name</i>	<i>Example</i>
DFAD	Drifting FAD	Bamboo or metal raft
AFAD	Anchored FAD	Very large buoy
FALOG	Artificial log resulting from related to human activity (and related to fishing activities)	Nets, wreck, ropes
HALOG	Artificial log resulting from human activity (not related to fishing activities)	Washing machine, oil tank
ANLOG	Natural log of animal origin	Carcasses, whale shark
VNLOG	Natural log of plant origin	Branches, trunk, palm leaf

Table 2. Names and description of the activities related to floating objects and buoys that should be collected in the fishing logbook as a minimum data requirement (codes are not listed here). Table from 2016 SCRS report (section 18.2 Table 8).

	<i>Name</i>	<i>Description</i>
FO	Encounter	Random encounter (without fishing) of a log or a FAD belonging to another vessel (unknown position)
	Visit	Visit (without fishing) of a FOB (known position)
	Deployment	FAD deployed at sea
	Strengthening	Consolidation of a FOB
	Remove FAD	FAD retrieval
	Fishing	Fishing set on a FOB ¹
Buoy	Tagging	Deployment of a buoy on FOB ²
	Remove BUOY	Retrieval of the buoy equipping the FOB
	Loss	Loss of the buoy/End of transmission of the buoy

¹ A fishing set on a Fishing Object (FOB) includes two aspects: fishing after a visit to a vessel's own FOB (targeted) or fishing after a random encounter of a FOB (opportunistic).

² Deploying a buoy on a FOB includes three aspects: deploying a buoy on a foreign FOB, transferring a buoy (which changes the FOB owner) and changing the buoy on the same FOB (which does not change the FOB owner).

List of deployed FADs and buoys on a monthly basis

Month:

FAD Identifier		FAD & electronic equipment types		FAD				Observation
FAD Marking	Associated buoy ID	FAD Type	Type of the associated buoy and /or electronic devices					
				FAD floating part	FAD underwater hanging structure			
(1)	(1)	(2)	(3)	(4)	(5)			(6)
...
...

(1) If FAD marking and associated beacon/buoy ID are absent or unreadable, the FAD shall not be deployed.

(2) Anchored FAD, drifting natural FAD or drifting artificial FAD.

(3) E.g. GPS, sounder, etc. If no electronic device is associated to the FAD, note this absence of equipment.

(4) Mention the material of the structure and of the cover and if biodegradable.

(5) E.g. nets, ropes, palms, etc., and mention the entangling and/or biodegradable features of the material.

(6) Lighting specifications, radar reflectors and visible distances shall be reported in this section.

Guidelines for reducing the ecological impact of FADs in ICCAT fisheries

1. The surface structure of the FAD should not be covered or only covered with material implying minimum risk of entangling by-catch species.
2. The sub-surface components should be exclusively composed of non-entangling material (e.g. ropes or canvas).
3. When designing FADs the use of biodegradable materials should be prioritised.

Requirements for Catch Recording

Minimum specification for paper or electronic logbooks:

1. The logbook must be numbered by sheets
2. The logbook must be filled in every day (midnight) and before port arrival
3. One copy of the sheets must remain attached to the logbook
4. Logbooks must be kept on board to cover a period of one-trip operation

Minimum standard information for logbooks:

1. Master name and address
2. Dates and ports of departure, Dates and ports of arrival
3. Vessel name, registry number, ICCAT number and IMO number (if available)
4. Fishing gear:
 - (a) Type FAO code
 - (b) Dimension (length, mesh size, number of hooks...)
5. Operations at sea with one line (minimum) per day of trip, providing:
 - (a) Activity (fishing, steaming...)
 - (b) Position: Exact daily positions (in degree and minutes), recorded for each fishing operation or at noon when no fishing has been conducted during this day
 - (c) Record of catches
6. Species identification:
 - (a) By FAO code
 - (b) Round (RWT) weight in t per set
 - (c) Fishing mode (FAD, free school, etc.)
7. Master signature
8. Observer signature, if applicable
9. Means of weight measure: estimation, weighing on board and counting
10. The logbook is kept in equivalent live weight of fish and mentions the conversion factors used in the evaluation.

Minimum information in case of landing, transhipments:

1. Dates and port of landing/transhipments
2. Products: number of fish and quantity in kg
3. Signature of the Master or Vessel Agent

Observer Programme

1. The observers referred to in paragraph 54-60 of this Recommendation shall have the following qualifications to accomplish their tasks:
 - Sufficient experience to identify species and fishing gear;
 - Satisfactory knowledge of the ICCAT conservation and management measures assessed by a certificate provided by the CPCs and based on ICCAT training guidelines;
 - The ability to observe and record accurately;
 - The ability to collect biological samples;
 - A satisfactory knowledge of the language of the flag of the vessel observed.
2. The observers shall not be a crew member of the fishing vessel being observer and shall:
 - (a) Be nationals of one of the CPCs;
 - (b) Be capable of performing the duties set forth in point 3 below;
 - (c) Not have current financial or beneficial interests in the tropical tuna fisheries.
3. The observer tasks shall be in particular:
 - (a) To monitor the fishing vessels' compliance with the relevant conservation and management measures adopted by the Commission.

In particular the observers shall:

- i. Record and report upon the fishing activities carried out;
 - ii. Observe and estimate catches and verify entries made in the logbook;
 - iii. Sight and record vessels which may be fishing in contravention to ICCAT conservation and management measures;
 - iv. Verify the position of the vessel when engaged in catching activity;
 - v. Verify the number of instrumental buoys active at any one time;
 - vi. Carry out scientific work such as collecting Task II data when required by the Commission, based on the directives from the SCRS, observing and recording data on FAD properties in accordance with **Table 1** below.
- (b) Establish general reports compiling the information collected in accordance with this paragraph and provide the master the opportunity to include therein any relevant information.

Obligations of the observer

4. Observers shall treat as confidential all information with respect to the fishing and transshipment operations of the fishing vessels and accept this requirement in writing as a condition of appointment as an observer.
5. Observers shall comply with requirements established in the laws and regulations of the flag State which exercises jurisdiction over the vessel to which the observer is assigned.
6. Observers shall respect the hierarchy and general rules of behaviour which apply to all vessel personnel, provided such rules do not interfere with the duties of the observer under this programme, and with the obligations of vessel personnel set forth in point 7 of this Annex.

Obligations of the flag States of fishing vessels

7. The responsibilities regarding observers of the flag States of the fishing vessels and their masters shall include the following, notably:
 - a) Observers shall be allowed to access to the vessel personnel and to the gear and equipment;
 - b) Upon request, observers shall also be allowed access to the following equipment, if present on the vessels to which they are assigned, in order to facilitate the carrying out of their duties set forth in point 3 of this Annex:
 - i) satellite navigation equipment;
 - ii) radar display viewing screens when in use;
 - iii) electronic means of communication, including FAD/buoys signals.
 - c) Observers shall be provided accommodations, including lodging, food and adequate sanitary facilities, equal to those of officers;
 - d) Observers shall be provided with adequate space on the bridge or pilot house for clerical work, as well as space on deck adequate for carrying out observer duties; and
 - e) The flag States shall ensure that masters, crew and vessel owners do not obstruct, intimidate, interfere with, influence, bribe or attempt to bribe an observer in the performance of his/her duties.

Table 1. FOB/FAD information added to observer onboard form to comply with RFMOs recommendations. Table from 2016 SCRS report (section 18.2 Table 9).

<i>Properties</i>	<i>DFAD</i>	<i>AFAD</i>	<i>HALOG</i>	<i>FALOG</i>	<i>ANLOG</i>	<i>VNLOG</i>
FOB built using biodegradable materials (true/false/undefined)	X	X	X	X		
FOB is non-entangling (true/false/undefined)	X	X	X	X		
Meshed material (true/false/undefined) in FOB	X	X		X		
Size of largest mesh (in millimeters)	X	X		X		
Distance between the surface and the deepest part of the FOB (in meters)	X	X	X	X		
Approximate surface area of the FOB	X	X	X	X		
Specifies the FOB's ID whenever present	X	X	X	X		
Fleet owning the tracking device/echo sounder buoy	X	X	X	X	X	X
Vessel owning the tracking device/echo sounder buoy	X	X	X	X	X	X
Anchorage type used for mooring (AFAD registry)		X				
Radar reflectors (presence or not) (AFAD registry)		X				
Lighting (presence or not) (AFAD registry)		X				
Visual range (in nautical miles) (AFAD registry)		X				
Materials used for the floating part of the FOB (list to be defined)	X	X	X	X		
Materials making up the FOB underwater structure (list to be defined)	X	X	X	X		
Tracking device TYPE+ID if possible, otherwise no or undefined.	X	X	X	X	X	X

RECOMMENDATION BY ICCAT RELATING TO MEDITERRANEAN SWORDFISH

(Entered into force: **June 19, 2004**)

NOTING that the Commission's Standing Committee on Research and Statistics (SCRS) in its May 2003 Mediterranean Swordfish assessment has indicated the presence of a stable recruitment pattern and that the current exploitation pattern and level of exploitation are sustainable, as long as the stock does not decline;

RECOGNIZING that the SCRS recommended that the current levels of exploitation not be exceeded, under the current exploitation patterns;

CONSIDERING that the SCRS also indicated that the percentage of juveniles in the catches is relatively high and a reduction in their catches would improve the yield and spawning biomass per recruit.

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

- 1 In order to protect small swordfish, Contracting Parties, Cooperating non-Contracting Parties, Entities or Fishing Entities shall take the necessary measures to reduce the mortality of juvenile swordfish in the entire Mediterranean.
- 2 Contracting Parties, Cooperating non-Contracting Parties, Entities or Fishing Entities shall take the necessary technical measures for their longline fisheries in order to ensure compliance with the objective.
- 3 Contracting Parties, Cooperating non-Contracting Parties, Entities or Fishing Entities shall prohibit the use of driftnets for fisheries of large pelagics in the Mediterranean.

**RECOMMENDATION BY ICCAT REPLACING
THE RECOMMENDATION [13-04] AND ESTABLISHING A MULTI-ANNUAL
RECOVERY PLAN FOR MEDITERRANEAN SWORDFISH**

(Entered into force **12 June 2017**)

RECOGNIZING the outcome of the stock assessment conducted by SCRS in 2016, and in particular the overfished status of the stock over the last 30 years, as well as its current overfishing;

NOTING the high proportion of juveniles swordfish in the catches and its negative impact on the spawning biomass per recruit levels;

TAKING INTO ACCOUNT the recommendation by SCRS to substantially reduce catches, and to increase the monitoring of landings and discards;

ACKNOWLEDGING the recommendation by SCRS to take into account the impact of the albacore fishery on the level of catches of juvenile swordfish;

RECALLING the provisions of ICCAT Recommendation [11-13] and, for stocks overfished and subject to overfishing, the need to rebuild the stock and reduce fishing mortality;

ACKNOWLEDGING the socio economic dimension of the small scale Mediterranean fisheries and the need for a gradual approach and flexibility in managing these fisheries;

RECALLING the provisions of *Resolution by ICCAT on Criteria for the Allocation of Fishing Possibilities* [Res. 15-13] regarding the criteria for the allocation of fishing possibilities;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF THE ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

**Part I
General Provisions**

1. The Contracting Parties and Cooperating non-Contracting Parties, Entities or Fishing Entities (hereinafter referred to as CPCs), whose vessels have been actively fishing for swordfish (*Xyphias gladius*) in the Mediterranean shall implement a 15 year Recovery plan starting in 2017 and continuing through 2031, with the goal of achieving B_{MSY} with at least 60% probability.

**Part II
Conservation Measures**

Total Allowable Catch

2. For the year 2017, a Total Allowable Catch (TAC) shall be set at 10,500 t¹. This shall not be prejudging of the discussions to take place in the context of the Working Group referred to under paragraph 3 of this Recommendation.
3. An ICCAT Working Group shall be established in February 2017 in order to:
 - a) establish a fair and equitable allocation scheme of the TAC of Mediterranean swordfish.
 - b) establish a CPC quota for 2017 without prejudice to the allocation scheme aforementioned.
 - c) establish the mechanism to manage the TAC.

¹ On the basis of the levels of captures since 2010.

The Working Group shall, in the context of the establishment of the allocation key, use transparent and objective criteria, including those of an environmental, social and economic nature, and notably take into consideration *Resolution by ICCAT on Criteria for the allocation of fishing possibilities* [Res. 15-13].

4. Over the period 2018-2022, the TAC should be gradually reduced by 3% each year.
5. The approach specified under paragraphs 2 and 4 shall continue to apply until a mutually agreed TAC allocation is adopted through a supplementary Recommendation.

Capacity limitations

6. A capacity limitation shall be applied for the duration of the Recovery plan. In 2017 CPCs shall limit the number of their fishing vessels authorised to fish for Mediterranean swordfish to the average yearly number of their vessels that fished for, retained on board, transhipped, transported, or landed Mediterranean swordfish over the period 2013-2016. However, CPCs may decide to use the number of their vessels that fished for, retained on board, transhipped, transported, or landed Mediterranean swordfish in 2016, if this number is inferior to the average yearly number of vessels over the period 2013-2016. This limit shall be applied by gear type for catching vessels.
7. By derogation to paragraph 6, developing CPCs may submit a list of fishing vessels less than 7m length overall, before the 15 January 2017. From 2017 onwards, these vessels will be added to the limits referred to under paragraph 6.
8. For the years 2017, 2018 and 2019, CPCs may apply a tolerance of 5% to the capacity limit referred to under paragraph 6 of this Recommendation.
9. Developing CPCs should be allowed to submit a plan of fleet development in accordance with the fishing opportunities allocated to them in ICCAT.
10. Starting in 2018, CPCs shall submit their fishing plan to ICCAT by 15 March each year. Such plan shall include detailed information regarding the quota allocated by gear type, including to sport and recreational fisheries (if applicable) and by-catches.

Closed fishing season

11. Mediterranean swordfish shall not be caught (either as a targeted species or as by-catch), retained on board, transhipped or landed during either:
 - a) the period from 1 October to 30 November and during an additional period of one month between 15 February and 31 March,
 - b) or, alternatively, during the period from 1 January to 31 March each year.

The CPCs shall communicate to the Commission, by 15 January 2017, the details of the closure periods of their choice.

12. In order to protect juvenile swordfish, a closure period shall also apply to longline vessels targeting Mediterranean albacore (*Thunnus alalunga*) from the 1 October to 30 November each year.
13. CPCs shall monitor the effectiveness of the closure periods referred to under paragraphs 11 and 12, and shall submit to the Commission, at the latest two months before the Annual meeting of the Commission, all relevant information on appropriate controls and inspections to ensure compliance with these measures.

Minimum size

14. Only entire specimens of swordfish, without removal of any external part, or gilled and gutted specimens, can be retained on board, landed, transhipped and first transported after landing.

15. In order to protect small swordfish, CPCs shall take the necessary measures to prohibit catching, retaining on board, landing, transporting, storing, selling, displaying or offering for sale Mediterranean swordfish measuring less than 100 cm LJFL or, in alternative, weighing less than 11,4 kg of round weight or 10,2 kg of gilled and gutted weight.
16. Prior to the 2017 Annual meeting, SCRS shall provide the Commission with the confirmed average round weight and gilled and gutted weight, corresponding to the LJFL of 100cm.
17. Incidental catch of Mediterranean swordfish below the minimum size referred to under paragraph 15 shall not be kept on board the fishing vessel, transhipped, landed, sold, displayed or offered for sale.

However, the CPCs may grant tolerance to vessels which have incidentally captured small fish below the minimum size, with the condition that this incidental catch shall not exceed 5 % by weight or/and number of pieces per landing of the total swordfish catch of the said vessels

Technical characteristics of the fishing gear

18. The maximum number of hooks that can be set or taken on board of vessels targeting swordfish should be fixed at 2500 hooks. A second set of rigged hooks may be allowed on board for trips longer than 2 days provided that it is duly lashed and stowed in lower decks so that it may not readily be used.
19. Hook size should never be smaller than 7 cm of height for fishing targeting swordfish.
20. The length of the pelagic longlines will be of maximum 30 NM (55 km).

Sport and recreational fisheries

21. CPCs shall provide to the ICCAT Secretariat the lists of all sport and recreational vessels authorized to catch swordfish in the Mediterranean Sea, at least 15 days before the exercise of the activities. Vessels not introduced on this list shall not be authorized to catch Mediterranean swordfish. The format for submitting such list shall be simplified and include the following information:
 - Name of vessel, register number
 - ICCAT Record Number (if any)
 - Previous name (if any)
 - Vessel's length
 - Name and address of owner(s) and operator(s)
22. Only 'rod and line' vessels shall be authorised for the purpose of sport and recreational fishing for Mediterranean swordfish.
23. CPCs shall take the necessary measures to prohibit the catch and retention on board, transhipment or landing of more than one Mediterranean swordfish per vessel per day for sport and recreational fisheries.
24. The marketing of Mediterranean swordfish caught in sport and recreational fishing shall be prohibited.
25. Each CPC shall take measures to record catch data including round weight and length (LJFL) of each Mediterranean swordfish caught in the context of sport and recreational fishing and transmit them to the SCRS.
26. Each CPC shall take the necessary measures to ensure, to the greatest extent possible, the release of Mediterranean swordfish caught alive in the framework of sport and recreational fishing, especially juveniles. Any Mediterranean swordfish however landed should be done so whole or gilled and gutted, and either in a designated port referred to under paragraph 31 of this recommendation, or with a tag affixed to each piece. Each tag shall have unique country specific number and be tamper proof. A summary of the implementation of the tagging programme shall be submitted to ICCAT Secretariat by the CPC. The use of such tags shall only be authorized when the accumulated catch amounts are within the quota allocated to the CPC.

Part III

Control measures

ICCAT records of vessels authorized to catch Mediterranean swordfish

27. At the latest on the 15 January each year, CPCs shall provide to the ICCAT Secretariat the list of all catching vessels authorized to fish actively for swordfish. If needed, CPCs shall be able to modify this list during the year by providing an updated list to the ICCAT Secretariat.

CPCs shall provide this list according to the format set out in the Guidelines for Submitting Data and Information Required by ICCAT.

28. By 15 June 2017, CPCs shall provide to the ICCAT Secretariat the list of all catching vessels authorized to fish actively for Mediterranean albacore tuna (*Thunnus alalunga*). For the subsequent years the deadline is set at 15 March. CPCs shall provide this list according to the format set out in the Guidelines for Submitting Data and Information Required by ICCAT.
29. Procedures referred in the *Recommendation by ICCAT Concerning the Establishment of an ICCAT Record of Vessels over 20 Meters in Length Overall or Greater Authorized to Operate in the Convention Area* [Rec. 13-13]¹ shall apply *mutatis mutandis*.

By-catch

30. CPCs may allow by-catch of Mediterranean swordfish by vessels not authorised to fish actively Mediterranean swordfish, as referred to under paragraph 27 of this recommendation, if the CPCs establish a maximum by-catch limit per vessel and per fishing operation and that the by-catch in question are deducted from the CPC's TAC. Each CPC shall provide, in its fishing plan referred to under paragraph 10 of this recommendation, the maximum by-catch limit it allows for its vessels.

Designated ports

31. Fishing vessels shall only land Mediterranean swordfish catches, including by-catches and fish caught in the context of sport and recreational fisheries but not tagged as referred to under paragraph 26, in designated ports of CPCs. To this end, each CPC shall designate ports in which landing Mediterranean swordfish is authorized and communicate a list of these ports to the ICCAT Secretariat by 1 March each year. For a port to be determined as designated port, the port State shall specify permitted landing times and places. On the basis of this information the ICCAT Secretariat shall maintain a list of designated ports on the ICCAT website.
32. Prior to entry into port, the fishing vessels or their representative shall provide the relevant authorities of the port with the following:
- a) estimated time of arrival;
 - b) estimate of quantity of Mediterranean swordfish retained on board;
 - c) the information on the geographic area where the catch was taken.

Port State authorities shall keep a record of all prior notices for the current year.

33. CPC shall establish the minimum length overall of the vessels concerned by paragraphs 31 and 32.

Controls of landings

34. Each CPC shall take the necessary measures to control landings of Mediterranean swordfish, and notify these measures to ICCAT when submitting its fishing plan as referred to under paragraph 10 of this recommendation.

¹ As amended by Rec. 14-10.

Recording and Communication of catches

35. Each CPC shall ensure that during their period of authorisation, referred to under paragraph 27 of this recommendation, its catching vessels more than 15m fishing actively for Mediterranean swordfish communicate, by electronic or other means to their competent authorities, weekly information, including the date, time, location (latitude and longitude) and the weight and number of Mediterranean swordfish taken in the plan area. Such communication shall only be required when catches are reported over the period considered.
36. Each CPC shall take the necessary measures to ensure that all catches by vessels flying its flag are recorded and communicated without delay to the competent authority.
37. CPCs shall report quarterly the amount of Mediterranean swordfish caught by vessels flying their flag to the Secretariat within 30 days of the end of the period during which the catches were made.

Transshipment

38. Transshipment operations at sea of Mediterranean swordfish shall be prohibited.

Part IV

ICCAT Scheme of Joint International Inspection in International Waters

39. In the framework of the Multi-annual Recovery Plan for Mediterranean swordfish, each CPC agrees, in accordance with Article IX, paragraph 3, of the ICCAT Convention, to apply the ICCAT Scheme of Joint International Inspection adopted during its Fourth Regular Meeting, held in November 1975 in Madrid, as modified in **Annex 1**.
40. The Scheme referred to in paragraph 39 of this Recommendation shall apply in international waters until ICCAT adopts a monitoring, control and surveillance scheme which will include an ICCAT scheme for joint international inspection, based on the results of the Integrated Monitoring Measures Working Group, established by the *Resolution by ICCAT for Integrated Monitoring Measures* [Res. 00-20].
41. When at any time, more than 50 catching vessels of anyone CPC are engaged in Mediterranean swordfish directed fishing activities, the CPC shall, during that time have an inspection vessel in the Convention area, or shall cooperate with another CPC to jointly operate an inspection vessel.

Part V

Scientific information

42. CPCs shall ensure the maintenance or development of adequate scientific information for highly migratory pelagic species in the Mediterranean. In particular, CPCs shall take the necessary measures and actions to better estimate:
 - Region specific size and age at maturity;
 - Habitat use for comparison of the availability of swordfish to the various fisheries, including comparisons between traditional and mesopelagic longlines;
 - The impact of the mesopelagic longline fisheries in terms of catch composition, CPUE series, size distribution of the catches; and
 - Monthly estimation of spawner and recruit proportion in the catches.
43. By 31 July each year, CPCs shall communicate specific information for the fishing vessels that were authorized to carry out pelagic longline fisheries and harpoons in the Mediterranean during the preceding year:
 - a) Specific information on the fishing vessel:
 - Name of the vessel (if no name, the registry number without country initials should be indicated);
 - Registry number;
 - ICCAT list number;

CPCs shall communicate this list electronically to the ICCAT Secretariat according to the format set out in the Guidelines for Submitting Data and Information Required by ICCAT.

- b) Specific information related to fishing activities, based on sampling or for the whole fleet:
- Fishing period(s) and total annual number of fishing days of the vessel, by target species and area;
 - Geographical areas, by ICCAT statistical rectangles, for the fishing activities carried out by the vessel, by target species and area;
 - Type of vessel, by target species and area;
 - Number of hooks used by the vessel, by target species and area;
 - Number of longline units used by the vessel, by target species and area;
 - Overall length of all longline units for the vessel, by target species and area.
- c) Specific data on the catches, in the smallest time-area possible:
- Size and, if possible, age distributions of the catches,
 - Catches and catch composition per vessel and,
 - Fishing effort (average fishing days per vessel, average number of hooks per vessel, average longline units per vessel, average overall length of longline per vessel).

These data shall be provided to SCRS in the format required by ICCAT.

Scientific observers

44. Each CPC shall ensure that national scientific observers are deployed on at least 5% of its pelagic longline vessels over 15 m length overall targeting Mediterranean swordfish. Each CPC shall design and implement a methodology to collect the information on the activities of the longline vessels below and up to 15 m length overall. Consistent with ICCAT Rec. [16-14] and any amendment thereto each CPC shall report this information to SCRS.

In addition to the requirement of ICCAT Rec. [16-14], scientific observers shall in particular assess and report on the level of discards of undersized swordfish.

Review

45. The SCRS shall provide in 2019 an updated assessment of the state of the stock on the basis of the most recent data available. It shall assess the effectiveness of this Recovery plan and provide advice on possible amendments of the various measures. SCRS shall advise the Commission on the appropriate characteristics of the fishing gear, the closure period for the sport and recreational fishery, as well as the minimum size to be implemented for Mediterranean swordfish.
46. Based on such scientific advice, by the end of 2019 the ICCAT shall adopt changes of the management framework for swordfish, including the revision of the catch limits and alternative management scenarios, in case this is necessary to comply with the management objectives.

Repeals

47. This Recommendation replaces the *Recommendation by ICCAT for Management Measures for Mediterranean Swordfish in the Framework of ICCAT* [Rec. 13-04].

ICCAT Scheme of Joint International Inspection

Pursuant to paragraph 3 of Article IX of the Convention, the ICCAT Commission recommends the establishment of the following arrangements for international control outside the waters under national jurisdiction for the purpose of ensuring the application of the Convention and the measures in force thereunder:

I. Serious violations

1. For the purposes of these procedures, a serious violation means the following violations of the provisions of the ICCAT conservation and management measures adopted by the Commission:
 - (a) fishing without a license, permit or authorization issued by the flag CPC;
 - (b) failure to maintain sufficient records of catch and catch-related data in accordance with the Commission's reporting requirements or significant misreporting of such catch and/or catch-related data;
 - (c) fishing in a closed area;
 - (d) fishing during a closed season;
 - (e) intentional taking or retention of species in contravention of any applicable conservation and management measure adopted by the ICCAT;
 - (f) significant violation of catch limits or quotas in force pursuant to the ICCAT rules;
 - (g) using prohibited fishing gear;
 - (h) falsifying or intentionally concealing the markings, identity or registration of a fishing vessel;
 - (i) concealing, tampering with or disposing of evidence relating to investigation of a violation;
 - (j) multiple violations which taken together constitute a serious disregard of measures in force pursuant to the ICCAT;
 - (k) assault, resist, intimidate, sexually harass, interfere with, or unduly obstruct or delay an authorized inspector or observer;
 - (l) intentionally tampering with or disabling the vessel monitoring system;
 - (m) such other violations as may be determined by the ICCAT, once these are included and circulated in a revised version of these procedures;
 - (n) interference with the satellite monitoring system and/or operation of a vessel without a VMS system;
 - (o) transshipment at sea
2. In the case of any boarding and inspection of a fishing vessel during which the authorized inspectors observe an activity or condition that would constitute a serious violation, as defined in paragraph 1, the authorities of the flag State of the inspection vessel shall immediately notify the flag State of the fishing vessel, directly as well as through the ICCAT Secretariat. In such situations, the inspector should, also inform any inspection ship of the flag State of the fishing vessel known to be in the vicinity.
3. ICCAT inspectors should register the inspections undertaken and the infringements detected (if any) in the fishing vessel logbook.
4. The flag State CPC shall ensure that, following the inspection referred to in paragraph 2 of this Annex, the fishing vessel concerned ceases all fishing activities. The flag State CPC shall require the fishing vessel to proceed within 72 hours to a port designated by it, where an investigation shall be initiated.
5. In the case where an inspection has detected an activity or condition that would constitute a serious violation, the vessel should be reviewed under the procedures described in the Recommendation by ICCAT Further Amending Recommendation 09-10 Establishing a List of Vessels Presumed to Have Carried Out Illegal, Unreported and Unregulated Fishing Activities in the ICCAT Convention Area [Rec. 11-18]², taking into account any response actions and other follow up.



² Repealed and replaced by Rec. 18-08.

II. Conduct of inspections

6. Inspections shall be carried out by inspectors designated by the Contracting Governments. The names of the authorized government agencies and individual inspectors designated for that purpose by their respective governments shall be notified to the ICCAT Commission;
7. Ships carrying out international boarding and inspection duties in accordance with this Annex shall fly a special flag or pennant approved by the ICCAT Commission and issued by the ICCAT Secretariat. The names of the ships so used shall be notified to the ICCAT Secretariat as soon as practical in advance of the commencement of inspection activities. The ICCAT Secretariat shall make information regarding designated inspection vessels available to all CPCs, including by posting on its password-protected website;
8. Inspectors shall carry appropriate identity documentation issued by the authorities of the flag State, which shall be in the form shown in paragraph 21 of this Annex;
9. Subject to the arrangements agreed under paragraph 16 of this Annex, a vessel flagged to a Contracting Government and fishing for tuna or tuna-like fishes in the Convention area outside waters under national jurisdiction shall stop when given the appropriate signal in the International Code of Signals by a ship flying the ICCAT pennant described in paragraph 7 and carrying an inspector unless the vessel is actually carrying out fishing operations, in which case it shall stop immediately once it has finished such operations. The master of the vessel shall permit the inspection party, as specified in paragraph 10 of this Annex, to board it and must provide a boarding ladder. The master shall enable the inspection party to make such examination of equipment, catch or gear and any relevant documents as an inspector deems necessary to verify compliance with the ICCAT Commission's recommendations in force in relation to the flag State of the vessel being inspected. Further, an inspector may ask for any explanations that he or she deems necessary;
10. The size of the inspection party shall be determined by the commanding officer of the inspection vessel taking into account relevant circumstances. The inspection party should be as small as possible to accomplish the duties set out in this Annex safely and securely.
11. Upon boarding the vessel, inspectors shall produce the identity documentation described in paragraph 8 of this Annex. Inspectors shall observe generally accepted international regulations, procedures and practices relating to the safety of the vessel being inspected and its crew, and shall minimize interference with fishing activities or stowage of product and, to the extent practicable, avoid action which would adversely affect the quality of the catch on board; Inspectors shall limit their enquiries to the ascertainment of the observance of the ICCAT Commission's recommendations in force in relation to the flag State of the vessel concerned. In making the inspection, inspectors may ask the master of the fishing vessel for any assistance he may require. Inspectors shall draw up a report of the inspection in a form approved by the ICCAT Commission. Inspectors shall sign the report in the presence of the master of the vessel who shall be entitled to add or have added to the report any observations which he or she may think suitable and must sign such observations.
12. Copies of the report shall be given to the master of the vessel and to the government of the inspection party, which shall transmit copies to the appropriate authorities of the flag State of the inspected vessel and to the ICCAT Commission. Where any infringement of ICCAT recommendations is discovered, the inspector should, where possible, also inform any inspection ship of the flag State of the fishing vessel known to be in the vicinity;
13. Resistance to inspectors or failure to comply with their directions shall be treated by the flag State of the inspected vessel in a manner similar to such conduct committed with respect to a national inspector;
14. Inspectors shall carry out their duties under these arrangements in accordance with the rules set out in this recommendation, but they shall remain under the operational control of their national authorities and shall be responsible to them;

15. Contracting Governments shall consider and act on inspection reports, sighting information sheets as per Recommendation [94-09³] and statements resulting from documentary inspections of foreign inspectors under these arrangements on a similar basis in accordance with their national legislation to the reports of national inspectors. The provisions of this paragraph shall not impose any obligation on a Contracting Government to give the report of a foreign inspector a higher evidential value than it would possess in the inspector's own country. Contracting Governments shall collaborate in order to facilitate judicial or other proceedings arising from a report of an inspector under these arrangements;
16. a) Contracting Governments shall inform the ICCAT Commission by 1 January each year of their provisional plans for conducting inspection activities under this recommendation in that calendar year and the Commission may make suggestions to Contracting Governments for the coordination of national operations in this field including the number of inspectors and ships carrying inspectors;
- b) the arrangements set out in this recommendation and the plans for participation shall apply between Contracting Governments unless otherwise agreed between them, and such agreement shall be notified to the ICCAT Commission. Provided, however, that implementation of the scheme shall be suspended between any two Contracting Governments if either of them has notified the ICCAT Commission to that effect, pending completion of such an agreement;
17. a) the fishing gear shall be inspected in accordance with the regulations in force for the subarea for which the inspection takes place. Inspectors will state the subarea for which the inspection took place, and a description of any violations found, in the inspection report;
- b) inspectors shall have the authority to inspect all fishing gear in use or on board;
18. Inspectors shall affix an identification mark approved by the ICCAT Commission to any fishing gear inspected which appears to be in contravention of the ICCAT Commission's recommendations in force in relation to the flag State of the vessel concerned and shall record this fact in his/her report;
19. The inspector may photograph the gears, equipment, documentation and any other element he/she considers necessary in such a way as to reveal those features which in their opinion are not in conformity with the regulation in force, in which case the subjects photographed should be listed in the report and copies of the photographs should be attached to the copy of the report to the flag State;
20. Inspectors shall, as necessary, inspect all catch on board to determine compliance with ICCAT recommendations.
21. The model Identity Card for inspectors is as follows:

Dimensions: Width 10.4cm, Height 7cm

<div style="display: flex; align-items: center;">  <div style="text-align: center;"> <p>INTERNATIONAL COMMISSION FOR THE CONSERVATION OF ATLANTIC TUNA ICCAT</p> <p>INSPECTOR IDENTITY CARD</p> </div> </div> <div style="border: 1px solid black; width: 120px; height: 110px; margin-top: 20px;"></div> <div style="margin-top: 10px;"> <p>Contracting Party:</p> <p>Inspector Name:</p> <p>Card No.:</p> </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <p>Issue Date:</p> <p>Validity five years</p> </div>	<div style="display: flex; align-items: center;">  <div style="text-align: center;"> <p>ICCAT</p> </div> </div> <p style="margin-top: 20px;">The holder of this document is an ICCAT inspector duly appointed under the terms of the ICCAT Scheme of Joint International Inspection and has the authority to act under the provision of the ICCAT Control and Enforcement measures</p> <div style="display: flex; justify-content: space-between; margin-top: 20px;"> <div style="width: 45%; border-top: 1px solid black;"></div> <div style="width: 45%; border-top: 1px solid black;"></div> </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <p>CPC Authority</p> <p>Inspector</p> </div>
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³ Repealed and replaced by Rec. 19-09.

**RECOMMENDATION BY ICCAT AMENDING THE RECOMMENDATION FOR THE CONSERVATION OF
NORTH ATLANTIC SWORDFISH, REC. 16-03**

(Entered into force **11 June 2018**)

RECALLING the *Supplemental Recommendation by ICCAT to Amend the Rebuilding Program for North Atlantic Swordfish* [Rec. 06-02], and the *Recommendations by ICCAT for the Conservation of North Atlantic Swordfish* [Recs. 10-02, Rec. 11-02, and Rec. 16-03];

FURTHER RECALLING the *Recommendation by ICCAT on the Principles of Decision Making for ICCAT Conservation and Management Measures* [Rec. 11-13] and the *Recommendation by ICCAT on the Development of Harvest Control Rules and of Management Strategy Evaluation* [Rec. 15-07];

CONSIDERING that following both the 2013 and 2017 stock assessment, the SCRS indicated that the stock was not overfished and that overfishing was not occurring, as initially determined in a 2009 stock assessment;

RECOGNIZING that based on the 2017 stock assessment, the SCRS advised that a TAC of 13,700 t has only a 36% probability of maintaining the North Atlantic swordfish stock in a rebuilt condition by 2028, whereas a TAC of 13,200 t would increase this probability to 50%, consistent with Recommendation 16-03;

FURTHER RECOGNIZING that the total allocation of fishing opportunities for North Atlantic swordfish is superior to the TAC;

ACKNOWLEDGING that following the 2017 stock assessment the SCRS indicated that the biomass for North Atlantic swordfish is close to B_{MSY} ;

RECALLING the *Recommendation by ICCAT regarding compliance in the bluefin tuna and North Atlantic swordfish fisheries* [Rec. 96-14];

TAKING INTO ACCOUNT the concerns expressed by the Panel of the second ICCAT performance review regarding the possibility to transfer high underage from year to year and that this practice is inconsistent with sound management of the stock;

TAKING NOTE OF the *Resolution by ICCAT on Criteria for the Allocation of Fishing Possibilities* [Res. 15-13];

SEEKING to ensure that the total catch does not exceed the annual Total Allowable Catch;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

1. The Contracting Parties, and Cooperating non-Contracting Parties, Entities or Fishing Entities (CPCs) whose vessels have been actively fishing for swordfish in the North Atlantic shall take the following measures to ensure the conservation of North Atlantic swordfish with the goal of maintaining B_{MSY} , with greater than 50% probability.
2. TAC and catch limits
 - a) The total allowable catch (TAC) shall be 13,200 t for North Atlantic swordfish for the years 2018, 2019, 2020 and 2021:
 - b) The annual catch limits as shown in the table below shall be applied for the years 2018, 2019, 2020 and 2021:

	<i>Catch limit**</i> <i>13,200 (t)</i>
European Union ***	6,718*
United States***	3,907*
Canada	1,348*
Japan***	842*
Morocco	850
Mexico	200
Brazil	50
Barbados	45
Venezuela	85
Trinidad & Tobago	125
United Kingdom (OTs)	35
France (St. Pierre et Miquelon)	40
China	100
Senegal	250
Korea***	50
Belize***	130
Côte d'Ivoire	50
St. Vincent & the Grenadines	75
Vanuatu	25
Chinese Taipei	270

* Catch limits of these four CPCs are based upon quota allocation shown in 3.c) of the 2006 *Supplemental Recommendation by ICCAT to Amend the Rebuilding Program for North Atlantic Swordfish* [Rec. 06-02].

** The following transfers of annual catch limits shall be authorized:

From Japan to Morocco: 100 t
From Japan to Canada: 35 t
From EU to France (St. Pierre et Miquelon): 40 t
From Venezuela to France (St. Pierre et Miquelon): 12.75 t
From Senegal to Canada: 125 t
From Trinidad & Tobago to Belize: 75 t
From Chinese Taipei to Canada: 35 t
From Brazil, Japan, and Senegal, to Mauritania: 25 t each for a total of 75 t for 2018, 2019, 2020 and 2021, on the condition that Mauritania submit its development plan per paragraph 5 of this Recommendation. If a development plan is not submitted, these transfers are considered null. Future decisions regarding access to the North Atlantic swordfish fishery by Mauritania shall be contingent upon submission of its development plan.

These transfers do not change the relative shares of CPCs as reflected in the above catch limits.

*** Japan shall be allowed to count up to 400 t of its swordfish catch taken from the South Atlantic management area against its uncaught North Atlantic swordfish catch limits.

The European Union shall be allowed to count up to 200 t of its swordfish catch taken from the South Atlantic management area against its uncaught North Atlantic swordfish catch limits.

The US shall be allowed to count up to 200 t of its swordfish catch taken from the area between 5°N and 5°S, against its uncaught North Atlantic swordfish catch limit.

Belize shall be allowed to count up to 75 t of its swordfish catch taken from the area between 5°N and 5°S, against its uncaught North Atlantic swordfish catch limit.

Korea shall be allowed to count up to 25 t of swordfish catch taken from the South Atlantic management area in 2018, 2019, 2020 and 2021, against its uncaught North Atlantic catch limit.

- c) If the annual catch exceeds the TAC of 13,200 t, CPCs that have exceeded their individual catch limits shall pay back their overharvest in accordance with paragraph 3 of this recommendation. Any amount of the overharvest remaining after such adjustment shall be deducted from the annual catch limit of each CPC in the year following the excess, on a prorata basis of the catch limits in Table 2 (b) above.

3. Any unused portion or excess of the annual adjusted quota may be added to/shall be deducted from, according to the case, the respective quota/catch limit during or before the adjustment year, as follows:

<i>Catch year</i>	<i>Adjustment year</i>
2016	2018
2017	2019
2018	2020
2019	2021
2020	2022
2021	2023

However, the maximum underage that a Party may carryover in any given year shall not exceed 15% of its initial catch limit (as specified in paragraph 2.b) above and excluding quota transfers) for those CPCs holding catch limits more than 500 t, and 40% for other CPCs.

4. If Japan's landings exceed its catch limits in any year, the overage shall be deducted in subsequent years so that total landings for Japan shall not exceed its total catch limits for the four-year period commencing in 2018. When annual landings by Japan are less than its catch limits, the underage may be added to the subsequent years' catch limits, so that total landings by Japan do not exceed its total for the same four-year period. Any underages or overages from the 2018-2021 management period shall be applied to the four-year management period specified herein.
5. The Commission shall establish at its 2021 meeting conservation and management measures for North Atlantic swordfish on the basis of the SCRS advice resulting from the latest stock assessment as well as the *Resolution by ICCAT on Criteria for the Allocation of Fishing Possibilities* [Res. 15-13]. In support of this effort, the Commission shall consider development/management plans of coastal developing CPCs and fishing/management plans of other CPCs so that adjustments can be made to the existing catch limits and other conservation measures, as appropriate. In the event of the modification of its fishing/management plan, each CPC shall submit the updated version of its fishing/management plan to the Commission by September 15.
6. When assessing stock status and providing management recommendations to the Commission, the SCRS shall consider the interim limit reference (LRP) of $0.4 \cdot B_{MSY}$ or any more robust LRP established through further analysis.
7. In line with the provisions of *Recommendation by ICCAT on the Development of Harvest Control Rules and of Management Strategy Evaluation* [Rec. 15-07], paragraph 3, the SCRS and the Commission shall continue its dialogue to allow for the development of harvest control rules (HCRs) for consideration in any subsequent recommendations. Further, while the HCRs are being developed, should the biomass approach the level which triggered the establishment of the previous rebuilding plan [Rec. 99-02], then the Commission shall adopt a rebuilding plan, with harvest levels, as recommended by the SCRS, that will meet the Commission's objectives of maintaining or rebuilding stocks to B_{MSY} within the defined time period.
8. All CPCs catching swordfish in the North Atlantic shall endeavor to provide annually the best available data to the SCRS, including catch, catch at size, location and month of capture on the smallest scale possible, as determined by the SCRS. The data submitted shall be for broadest range of age classes possible, consistent with minimum size restrictions, and by sex when possible. The data shall also include discards (both dead and alive) and effort statistics, even when no analytical stock assessment is scheduled. The SCRS shall review these data annually.
9. In order to protect small swordfish, CPCs shall take the necessary measures to prohibit the taking of and landing of swordfish weighing less than 25 kg live weight, or in the alternative, 125 cm lower jaw fork length (LJFL); however, the CPCs may grant tolerances to boats which have incidentally captured small fish, with the condition that this incidental catch shall not exceed 15 percent of the number of swordfish per landing of the total swordfish catch of said boats.

10. Notwithstanding the provisions of paragraph 9, any CPC may choose, as an alternative to the minimum size of 25 kg/ 125 cm LJFL, to take the necessary measures to prohibit the taking by its vessels in the Atlantic Ocean, as well as the landing and sale in its jurisdiction, of swordfish (and swordfish parts), less than 119 cm LJFL, or in the alternative 15 kg, provided that, if this alternative is chosen, no tolerance of swordfish smaller than 119 LJFL, or in the alternative 15 kg, shall be allowed. For swordfish that have been dressed, a cleithrum to keel (CK) measurement of 63 cm can also be applied. A Party that chooses this alternative minimum size shall require appropriate record keeping of discards. The SCRS should continue to monitor and analyze the effects of this measure on the mortality of immature swordfish.
11. Notwithstanding the provisions of Article VIII, paragraph 2, of the Convention, with respect to the annual individual catch limits established above, the CPCs whose vessels have been actively fishing for North Atlantic swordfish shall implement this recommendation as soon as possible in accordance with the regulatory procedures of each CPC.
12. Notwithstanding the *Recommendation by ICCAT Regarding the Temporary Adjustment of Quotas* [Rec. 01-12], in between meetings of the Commission, a CPC with a TAC allocation of North Atlantic swordfish, as per paragraph 2.b), may make a one-time transfer within a fishing year of up to 15% of its TAC allocation to other CPCs with TAC allocations, consistent with domestic obligations and conservation considerations. Any such transfer may not be used to cover overharvests. A CPC that receives a one-time catch limit transfer may not retransfer that catch limit.
13. CPCs shall issue specific authorizations to vessels 20 meters LOA or greater flying their flag that are authorized to fish for North Atlantic swordfish in the Convention area. Each CPC shall indicate which of such vessels it has so authorized on its vessel list submitted pursuant to the *Recommendation by ICCAT Concerning the Establishment of an ICCAT Record of Vessels 20 meters in Length Overall or Greater Authorized to Operate in the Convention Area* [Rec. 13-13¹]. Such vessels not entered into this record or entered without the required indication that fishing for North Atlantic swordfish is authorized are deemed not to be authorized to fish for, retain on board, transship, transport, transfer, process or land North Atlantic swordfish.
14. CPCs may allow bycatch of North Atlantic swordfish by vessels not authorized to fish for North Atlantic swordfish pursuant to paragraph 13, if the CPC establishes a maximum onboard bycatch limit for such vessels and the bycatch in question is accounted for within the CPC's quota or catch limit. Each CPC shall provide in its Annual Report the maximum bycatch limit it allows for such vessels. That information shall be compiled by the ICCAT Secretariat and made available to CPCs.
15. This Recommendation replaces the *Recommendation by ICCAT for the Conservation of North Atlantic Swordfish* [Rec. 16-03].

¹ As amended by Rec. 14-10.

**RECOMMENDATION BY ICCAT AMENDING THE RECOMMENDATION FOR
THE CONSERVATION OF SOUTH ATLANTIC SWORDFISH, REC. 16-04**

(Entered into force **11 June 2018**)

CONSIDERING that the Standing Committee on Research and Statistics (SCRS) indicates that substantial unquantified uncertainties affect this stock, in particular due to lack or inconsistencies of available data;

CONSCIOUS that the SCRS underlined that due to the existing uncertainties there is no room to increase the existing TAC;

RECOGNIZING that this multi-annual approach for the management of South Atlantic swordfish reflects the thrust of the *Resolution by ICCAT on Criteria for the Allocation of Fishing Possibilities* [Res. 15-13], adopted by the Commission in 2015, for the period concerned;

RECOGNISING that it would be appropriate, as already applicable to other stocks under the purview of ICCAT, to establish an ICCAT register of vessels authorized to fish South Atlantic swordfish;

ACKNOWLEDGING that based on the 2017 stock assessment, the SCRS advised that the current TAC of 15,000 t has only a 26% probability of rebuilding the South Atlantic swordfish stock to within MSY reference levels by 2028, whereas a TAC of 14,000 t would have a 50% probability of rebuilding the stock;

ACKNOWLEDGING that following the 2017 stock assessment the SCRS confirmed that the stock of South Atlantic swordfish is overfished;

TAKING INTO ACCOUNT the concerns expressed by the Panel of the second ICCAT performance review regarding the possibility to transfer high underage from year to year and that this practice is inconsistent with sound management of the stocks;

SEEKING to ensure that the total catch does not exceed the annual Total Allowable Catch;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

TAC and catch limits

1. For 2018, 2019, 2020 and 2021, the Total Allowable Catch (TAC) and the catch limits shall be as follows:

	<i>Catch Limit (Unit: t)</i>
TAC ⁽¹⁾	14,000
Brazil ⁽²⁾	3,940
European Union	4,824
South Africa	1,001
Namibia	1,168
Uruguay	1,252
United States ⁽³⁾	100
Cote d'Ivoire	125
China	313
Chinese Taipei ⁽³⁾	459
United Kingdom	25
Japan ⁽³⁾	901
Angola	100
Ghana	100
St. Tomé & Príncipe	100
Senegal	417
Korea	50
Belize	125

- (1) The total catch for the four-year management period of 2018-2021 shall not exceed 56,000 t (14,000 t x4). If the yearly total catch of any of the four years exceeds 14,000 t; the TAC(s) for the following year(s) shall be adjusted to ensure that the four-year total will not exceed 56,000 t. In general, these adjustments shall be carried out through prorate reduction of the quota for each Contracting Party and Cooperating non-Contracting Party, Entity and Fishing Entity (CPC).
- (2) Brazil may harvest up to 200 t of its annual catch limit within the area between 5 degrees North latitude and 15 degrees North latitude.
- (3) Japan's, U.S.A's and Chinese Taipei's underage in 2016 may be carried over to 2018 up to 600 t, 100 t and 300 t, respectively, in addition to their quotas specified in this table. Those CPCs may also carry over unused portions during 2017-2021 but such carried over amounts each year shall not exceed the amounts specified here.

Transfers shall be authorized in accordance with paragraph 5.

Underage or overage of catch

2. Any unused portion or excess of the annual quota/catch limit may be added to/shall be deducted from, according to the case, the respective quota/catch limit during or before the adjustment year, in the following way for South Atlantic swordfish:

<i>Catch Year</i>	<i>Adjustment Year</i>
2017	2019
2018	2020
2019	2021
2020	2022
2021	2023

However, the maximum underage that a party may carryover in any given year shall not exceed 20% of the quota of the previous year.

Transfers

3. Japan shall be allowed to count up to 400 t of its swordfish catch taken from the part of the North Atlantic management area that is east of 35 degrees W and south of 15 degrees N, against its uncaught South Atlantic swordfish quota.
4. The European Union shall be allowed to count up to 200 t of its swordfish catch taken from the North Atlantic management area against its uncaught South Atlantic swordfish quota.
5. The 50 t quota transfers from South Africa, Japan and United States to Namibia (total: 150 t), the 25 t quota transfers from United States to Côte d'Ivoire, the 25 t quota transfer from United States and the 50 t quota transfers from Brazil and Uruguay to Belize (total: 125 t), and the 50 t quota transfer from Brazil to Equatorial Guinea shall be authorized. The quota transfers shall be reviewed annually in response to a request from an involved CPC.

Minimum size

6. In order to protect small swordfish, CPCs shall take the necessary measures to prohibit the taking of and landing of swordfish in the entire Atlantic Ocean weighing less than 25 kg live weight, or in the alternative, 125 cm lower jaw fork length (LJFL); however, the CPCs may grant tolerances to boats which have incidentally captured small fish, with the condition that this incidental catch shall not exceed 15 percent of the number of swordfish per landing of the total swordfish catch of said boats.
7. Notwithstanding the provisions of paragraph 5, any CPC may choose, as an alternative to the minimum size of 25 kg/125 cm LJFL, to take the necessary measures to prohibit the taking by its vessels in the Atlantic Ocean, as well as the landing and sale in its jurisdiction, of swordfish (and swordfish parts), less than 119 cm LJFL, or in the alternative 15 kg, provided that, if this alternative is chosen, no tolerance of swordfish smaller than 119 LJFL, or in the alternative 15 kg, shall be allowed. For swordfish that have been dressed, a cleithrum to keel (CK) measurement of 63 cm can also be applied. A Party that chooses this alternative minimum size shall require appropriate record keeping of discards. The SCRS should continue to monitor and analyze the effects of this measure on the mortality of immature swordfish.

ICCAT Record of vessels authorized to fish South Atlantic swordfish

8. CPCs shall issue specific authorizations to vessels 20 meters LOA or greater flying their flag that are authorized to fish for South Atlantic swordfish in the Convention area. Each CPC shall indicate which of such vessels it has so authorized on its vessel list submitted pursuant to the *Recommendation by ICCAT Concerning the Establishment of an ICCAT Record of Vessels 20 meters in Length Overall or Greater Authorized to Operate in the Convention Area* [Rec. 13-13¹]. Such vessels not entered into this record or entered without the required indication that fishing for South Atlantic swordfish is authorized are deemed not to be authorized to fish for, retain on board, transship, transport, transfer, process or land South Atlantic swordfish.
9. CPCs may allow bycatch of South Atlantic swordfish by vessels not authorized to fish for South Atlantic swordfish pursuant to paragraph 8, if the CPC establishes a maximum on board bycatch limit for such vessels and that the bycatch in question is accounted for within the CPC's quota or catch limit. Each CPC shall provide in its Annual Report the maximum bycatch limit it allows for such vessels. That information shall be compiled by the ICCAT Secretariat and made available to CPCs.

Availability of data to SCRS

10. CPCs shall endeavor to recover any missing catch data for years up to 2015, including reliable Task I and Task II data. CPCs will make available the above data to the SCRS as soon as possible. From 2017 onwards, CPCs shall ensure accurate and timely data submission to the SCRS.
11. All CPCs catching swordfish in the South Atlantic shall endeavor to provide annually the best available data to the SCRS, including catch, catch at size, location and month of capture on the smallest scale possible, as determined by the SCRS. The data submitted shall be for broadest range of age classes possible, consistent with minimum size restrictions, and by sex when possible. The data shall also include discards (both dead and alive) and effort statistics, even when no analytical stock assessment is scheduled. The SCRS shall review these data annually.
12. When assessing stock status and providing management recommendations to the Commission in 2021, the SCRS shall consider the interim limit reference (LRP) of $0.4 \cdot B_{MSY}$ or any more robust LRP established through further analysis.

Final provisions

13. None of the arrangements in this Recommendation shall be deemed to prejudice a future arrangement relating to South Atlantic swordfish.
14. The *Recommendation by ICCAT for the Conservation of South Atlantic Swordfish* [Rec. 16-04] is repealed and replaced by this Recommendation.

¹ As amended by Rec. 14-10.

**RECOMMENDATION BY ICCAT AMENDING THE RECOMMENDATION 17-02
BY ICCAT FOR THE CONSERVATION OF NORTH ATLANTIC SWORDFISH**

(Entered into force **20 June 2020**)

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

1. The footnote ** relating to paragraph 2 (b) of *Recommendation by ICCAT amending the Recommendation for the conservation of North Atlantic swordfish, Rec. 16-03* (Rec. 17-02) is amended as follows:
 - a) The first line of the footnote is replaced by the following text:

"From Japan to Morocco: 100 t for each of 2018, 2019 and 2021; and 150 t for 2020."
 - b) The following text is added at the end of the footnote:

"From Chinese Taipei to Morocco: 20 t for 2020"

"From Trinidad and Tobago to Morocco: 25 t for 2020"

**RESOLUTION BY ICCAT ON DEVELOPMENT OF INITIAL MANAGEMENT
OBJECTIVES FOR NORTH ATLANTIC SWORDFISH**

(Transmitted to Contracting Parties 20 December 2019)

RECALLING that one of the main goals of the SCRS Science Strategic Plan 2015-2020 is to evaluate precautionary management reference points and robust harvest control rules (HCR) through management strategy evaluations (MSE);

ANTICIPATING the transition to using management procedures, which the Commission has recommended for swordfish and other priority stocks to manage fisheries more effectively in the face of identified uncertainties, consistent with the Convention and the *Recommendation by ICCAT on the Principles of Decision Making for ICCAT Conservation and Management Measures* (Rec. 11-13);

ACKNOWLEDGING the Kobe Strategy Matrix as a harmonized format for RFMO science bodies to convey advice and that current management objectives for North Atlantic swordfish predate the Kobe Process, omitting benchmarks for fishing mortality (Rec. 17-02);

CONSIDERING that the Commission intends to complete an MSE for North Atlantic swordfish by 2022;

UNDERSTANDING that conceptual objectives are high-level aspirational objectives that verbalize a desired generic goal without including any specifics on a measurable target or timeframe for achievement, while operational objectives are more refined and more specific about measurable targets and the associated likelihood of achieving those targets over determined timeframes. Operational objectives are the key foundational component of any MSE;

SEEKING to advance the development of management procedures, as agreed by the Commission pursuant to the *Recommendation by ICCAT on the Development of Harvest Control Rules and of Management Strategy Evaluation* (Rec. 15-07);

NOTING that dead discards of swordfish may occur due to compliance with minimum size limits, the MSE process could be an opportunity to confirm initial SCRS advice that size limits in North Atlantic swordfish fisheries may not be achieving their purposes;

FURTHER NOTING ICCAT's need to commit to developing final operational management objectives for North Atlantic swordfish in advance of their presentation to the Commission in 2021;

THE INTERNATIONAL COMMISSION FOR
THE CONSERVATION OF ATLANTIC TUNAS (ICCAT) RESOLVES THAT:

1. Management objectives should be established for North Atlantic swordfish. Operational objectives are to be based on the Convention's objective: to maintain populations at or above levels that will support maximum sustainable catch (usually referred to as MSY).
2. Panel 4 should, preferably during a 2021 intersessional meeting, use these conceptual objectives to develop initial operational management objectives for North Atlantic swordfish. A final set of operational management objectives would be proposed to the Commission for adoption in 2021. To facilitate this development, the following candidate management objectives should be considered:
 - a. Stock Status
 - The stock should have a greater than []% probability of occurring in the green quadrant of the Kobe matrix;
 - b. Safety
 - There should be a less than []% probability of the stock falling below B_{LIM}^1 ;

¹ Recommendation 17-02, paragraph 6, identifies $0.4 \cdot B_{MSY}$ as the interim limit reference point to be used when assessing stock status and providing management recommendations to the Commission.

- c. Yield
 - Maximize overall catch levels; and,
 - d. Stability
 - Any increase or decrease in TAC between management periods should be less than [__] %.
3. In the development of the operating models, the Commission would like the SCRS to allow for the evaluation of minimum size limits as strategies to achieve management objectives.
 4. In developing initial operational management objectives, the candidate management objectives in paragraph 2 may be rejected, modified, or supplemented, as appropriate. Further, Panel 4 will need to consider the inclusion of timeframes.
 5. Panel 4 will provide its recommendations for initial management objectives to the SCRS Swordfish Species Group for review and consider any SCRS input before forwarding objectives to the Commission for consideration at its 2021 annual meeting.
 6. This resolution will be repealed upon adoption of final operational management objectives for North Atlantic swordfish by the Commission.

**RECOMMENDATION BY ICCAT ON A MULTI-ANNUAL
CONSERVATION AND MANAGEMENT PROGRAMME FOR NORTH ATLANTIC ALBACORE**

(Entered into force **12 June 2017**)

RECALLING the Recommendation by ICCAT Concerning the Limitation of Fishing Capacity on Northern Albacore [Rec. 98-08], the Recommendation by ICCAT concerning Management Measures for Northern Albacore [Rec. 99-05], the Supplemental Recommendation by ICCAT concerning the North Atlantic Albacore Rebuilding Programme [Rec. 13-05] and the Recommendation by ICCAT to establish harvest control rules for the North Atlantic Albacore stock [Rec. 15-04];

RECOGNISING that the set of measures laid down in those Recommendations provide together for a multi-annual conservation and management programme for North Atlantic albacore;

ACKNOWLEDGING that it would be appropriate to streamline the existing measures concerning North Atlantic albacore and combine them into one Recommendation;

NOTING that the objective of the Convention is to maintain populations at levels that will support maximum sustainable catch (usually referred to as MSY);

CONSIDERING that the 2016 Standing Committee on Research and Statistics (SCRS) stock assessment concluded that the relative abundance of North Atlantic albacore has continued to increase over the last decades and is likely somewhere in the green area of the Kobe plot, and as a result the stock is not overfished and overfishing is not occurring;

FURTHER CONSIDERING that the 2016 SCRS was unable to advise on the risks associated to an increase of the TAC and currently does not recommend an increase of the TAC;

WELCOMING the SCRS proposal to establish a coordinated, multi-year research program in order to advance knowledge of the stock and provide more accurate scientific advice to the Commission;

RECALLING the importance that all fleets participating in the northern albacore fishery submit the required data (catch, effort and catch-at-size) on their fisheries for transmission to the SCRS;

RECOGNISING that it would be appropriate, as already applicable to other stocks under the purview of ICCAT, to establish an ICCAT register of vessels authorized to fish North Atlantic albacore;

CONSIDERING that the Standing Working Group to Enhance Dialogue between Fisheries Scientists and Managers (SWGSM) has proposed, among other case studies, North Atlantic albacore as a suitable candidate to examine harvest control rules;

NOTING the progress achieved so far by the SCRS in the work for testing harvest control rules and conducting management strategy evaluations for North Atlantic albacore, and seeking to advance this work;

FURTHER NOTING that the SCRS intends to complete a full Management Strategy Evaluation for North Atlantic albacore in 2017;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

PART I
GENERAL PROVISIONS

Multi-annual Management and Conservation Programme

1. Contracting Parties and Cooperating non-Contracting Parties, Entities or Fishing Entities (CPCs) whose vessels fish North Atlantic albacore in the Convention area shall implement this Multi-annual Management and Conservation Programme.
2. The management objective for the Northern Atlantic albacore stock is:
 - a) to maintain the stock in the green zone of the Kobe plot, with at least a 60% probability, while maximizing long-term yield from the fishery, and
 - b) where the spawning stock biomass (SSB) has been assessed by the SCRS as below the level capable of producing MSY (SSB_{MSY}), to rebuild SSB to or above SSB_{MSY} , with at least a 60% probability, and within as short time as possible, while maximizing average catch and minimizing inter-annual fluctuations in TAC levels.

PART II
CATCH LIMITS

TAC and catch limits

3. An annual Total Allowable Catch (TAC) of 28,000 t for North Atlantic Albacore is established for 2017 and 2018. An annual TAC of 30,000 t may be established for 2019 and 2020 subject to a decision of the Commission based on the updated advice of the SCRS in 2018. If the Commission adopts a harvest control rule pursuant to paragraph 14 during the period covered by this measure, the TAC shall be re-established according to those rules.
4. The annual TAC shall be allocated among the ICCAT Contracting Parties, Cooperating non-Contracting Parties, Entities or Fishing Entities (hereafter referred to as CPCs) according to the following:

<i>CPC</i>	<i>Quota (t) for the period 2017-2018¹</i>	<i>Quota (t) for the period 2019-2020²</i>
European Union**	21,551.3	23,090.7
Chinese Taipei **	3,271.7*	3,505.4
United States**	527	564.6
Venezuela	250	267.9

¹ Quotas for 2018 may be altered contingent upon any decisions made under paragraph 3.

² If the TAC is increased to 30,000 t based on a decision of the Commission, these figures shall be applied to these CPCs.

* Chinese Taipei will transfer 100 t from its quota to St. Vincent and the Grenadines and 200 t from its quota to Belize in 2017 and 2018.

** The European Union, the United States and Chinese Taipei are authorized to transfer in 2017 to Venezuela 60 t, 150 t and 114 t respectively of their unused portion of their 2015 quotas.

5. CPCs other than those mentioned in paragraph 4 shall limit their annual catches to 200 t in 2017-2018 and to 215 t in 2019-2020.
6. By derogation to paragraphs 4 and 5, Japan shall endeavor to limit its total North Atlantic albacore annual catches to a maximum of 4% in weight of its total bigeye tuna longline catch in the Atlantic Ocean.

Underage or overage of catch

7. Any unused portion or excess of a CPC's annual quota/catch limit may be added to/shall be deducted from, according to the case, the respective quota/catch limit during or before the adjustment year, in the following way:

<i>Year of Catch</i>	<i>Adjustment Year</i>
2015	2017
2016	2018
2017	2019
2018	2020
2019	2021
2020	2022

However, the maximum underage that a Party may carry-over in any given year shall not exceed 25% of its initial catch quota.

If, in any year, the combined landings of CPCs exceed the TAC, the Commission will re-evaluate this Recommendation at its next Commission meeting and recommend further conservation measures, as appropriate.

PART III CAPACITY MANAGEMENT MEASURES

8. CPCs fishing for North Atlantic albacore shall limit the fishing capacity of their vessels, exclusive of recreational vessels, fishing for this stock from 1999 onwards, through a limitation of the number vessels to the average number in the period 1993-1995.
9. The provisions of paragraph 8 do not apply to CPCs whose average catches are less than 200 t.

PART IV CONTROL MEASURES

Specific authorization to fish for North Atlantic albacore and ICCAT record of vessels

10. CPCs shall issue specific authorizations to vessels 20 meters LOA or greater flying their flag that are authorized to fish North Atlantic albacore in the Convention area. Each CPC shall indicate which of such vessels it has so authorized on its vessel list submitted pursuant to the *Recommendation by ICCAT Concerning the Establishment of an ICCAT Record of Vessels 20 meters in Length Overall or Greater Authorized to Operate in the Convention Area* [Rec. 13-13¹]. Such vessels not entered into this record or entered without the required indication that fishing North Atlantic albacore is authorized are deemed not to be authorized to fish for, retain on board, tranship, transport, transfer, process or land North Atlantic albacore.
11. CPCs may allow by-catch of North Atlantic albacore by vessels not authorized to fish for North Atlantic albacore pursuant to paragraph 10, if the CPC establishes a maximum onboard by-catch limit for such vessels and the by-catch in question is accounted for within the CPC's quota or catch limit. Each CPC shall provide in its Annual Report the maximum by-catch limit it allows for such vessels. That information shall be compiled by the ICCAT Secretariat and made available to CPCs.

¹ As amended by Rec. 14-10.

PART V
HARVEST CONTROL RULES AND MANAGEMENT STRATEGY EVALUATION

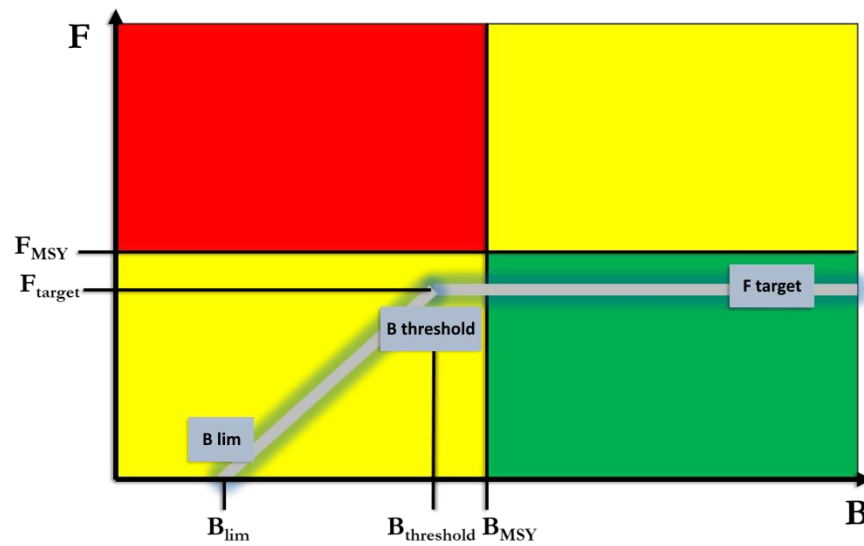
12. In 2017, the SCRS shall refine the testing of candidate reference points (e.g., $SSB_{THRESHOLD}$, SSB_{LIM} and F_{TARGET}) and associated harvest control rules (HCRs)¹ that would support the management objective expressed in paragraph 2 above. The SCRS shall also provide statistics to support decision-making in accordance with the performance indicators in **Annex 2**.
13. The result of the analyses described in paragraph 12 will be discussed in a dialogue between scientists and managers to be organised in 2017, either during a meeting of the SWGSM or as an inter-sessional meeting of Panel 2.
14. Based on the SCRS inputs and advice provided pursuant to paragraph 12 above and the dialogue process indicated in paragraph 13, the Commission shall then endeavour in 2017 to adopt HCRs for the North Atlantic albacore, including pre-agreed management actions to be taken under various stock conditions. The application of HCR/MSE is an iterative process. For this specific purpose, the management actions below will be considered by the Commission and updated as necessary:
 - (a) If the average spawning stock biomass (SSB) level is less than SSB_{LIM} (*i.e.*, $SSB < SSB_{LIM}$), the Commission shall adopt severe management actions immediately to reduce the fishing mortality rate, including measures that suspend the fishery and initiate a scientific monitoring quota to be able to evaluate stock status. This scientific monitoring quota shall be set at the lowest possible level to be effective. The Commission shall not consider re-opening the fishery until the average SSB level exceeds SSB_{LIM} with a high probability. Further, before reopening the fishery, the Commission shall develop a rebuilding programme in order to ensure that the stock returns to the green zone of the Kobe plot.
 - (b) If the average SSB level is equal to or less than $SSB_{THRESHOLD}$ and equal to or above SSB_{LIM} (*i.e.*, $SSB_{LIM} \leq SSB \leq SSB_{THRESHOLD}$) and
 - i. F is at or below the level specified in the HCR, the Commission shall assure that that applied management measures will maintain F at or below the level specified in the HCR until the average SSB is above $SSB_{THRESHOLD}$;
 - ii. F is above the level specified in the HCR, the Commission shall take steps to reduce F as specified in the HCR to ensure F is at a level that will rebuild SSB to SSB_{MSY} or above that level.
 - (c) If the average SSB is above $SSB_{THRESHOLD}$ but F exceeds F_{TARGET} (*i.e.*, $SSB > SSB_{THRESHOLD}$ and $F > F_{TARGET}$), the Commission shall immediately take steps to reduce F to F_{TARGET} .
 - (d) Once the average SSB level reaches or exceeds $SSB_{THRESHOLD}$ and F is less or equal than F_{TARGET} (*i.e.*, $SSB > SSB_{THRESHOLD}$ and $F \leq F_{TARGET}$), the Commission shall assure that applied management measures will maintain F at or below F_{TARGET} and in case F is increased to F_{TARGET} this is done with a gradual and moderate increase.
15. The HCRs referred to in paragraph 14 should be evaluated by SCRS through the management strategy evaluation process, including in light of new assessments of the stock. The Commission shall review the results of these evaluations and make adjustments to the HCRs as needed. If necessary, the Commission shall request SCRS to evaluate the adjusted HCRs and make further adjustments based on the feedback from SCRS. This iterative process shall continue and the Commission shall from time to time review and amend the HCRs taking into account the scientific advice.

¹ **Annex 1** provides a generic form of the HCR recommended by SCRS in 2010 that would be consistent with UNFSA.

PART VI
FINAL PROVISIONS

16. The Commission welcomes the initiation of a multi-year North Atlantic Albacore Tuna Research Program, as proposed by the SCRS in 2016 and described in its Albacore Work Plan, and encourages CPCs to consider ways that they can contribute to this work.
17. This Recommendation replaces the *Supplemental Recommendation by ICCAT concerning the North Atlantic Albacore Rebuilding Programme* [Rec. 13-05], the *Recommendation by ICCAT concerning the limitation for fishing capacity on Northern Albacore* [Rec. 98-08], the *Recommendation by ICCAT concerning management measures for Northern Albacore* [Rec. 99-05] and the *Recommendation by ICCAT to establish harvest control rules for the North Albacore stock* [Rec. 15-04] and shall be revised by 2018.

Generic form of the HCR recommended by SCRS in 2010
that would be consistent with UNFSA (Report of the 2010 WGSAM)



**Indicative outline of the performance metrics to be
provided by SCRS to support decision-making**

<i>PERFORMANCE INDICATORS AND ASSOCIATED STATISTICS</i>	<i>UNIT OF MEASUREMENT</i>	<i>TYPE OF METRICS</i>
1 Status		
1.1 Minimum spawner biomass relative to B_{MSY}	B / B_{MSY}	Minimum over [x] years
1.2 Mean spawner biomass relative to B_{MSY} ¹	B / B_{MSY}	Geometric mean over [x] years
1.3 Mean fishing mortality relative to F_{MSY}	F / F_{MSY}	Geometric mean over [x] years
1.4 Probability of being in the Kobe green quadrant	B, F	Proportion of years that $B \geq B_{MSY}$ & $F \leq F_{MSY}$
1.5 Probability of being in the Kobe red quadrant ²	B, F	Proportion of years that $B \leq B_{MSY}$ & $F \geq F_{MSY}$
2 Safety		
2.1 Probability that spawner biomass is above $B_{lim} (0.4B_{MSY})$ ³	B / B_{MSY}	Proportion of years that $B > B_{lim}$
2.2 Probability of $B_{lim} < B < B_{thresh}$	B / B_{MSY}	Proportion of years that $B_{lim} < B < B_{thresh}$
3 Yield		
3.1 Mean catch – short term	Catch	Mean over 1-3 years
3.2 Mean catch – medium term	Catch	Mean over 5-10 years
3.3 Mean catch – long term	Catch	Mean in 15 and 30 years
4 Stability		
4.1 Mean absolute proportional change in catch	Catch (C)	Mean over [x] years of $(C_n - C_{n-1}) / C_{n-1}$
4.2 Variance in catch	Catch (C)	Variance over [x] years
4.3 Probability of shutdown	TAC	Proportion of years that TAC=0
4.4 Probability of TAC change over a certain level ⁴	TAC	Proportion of management cycles when the ratio of change ⁵ $(TAC_n - TAC_{n-1}) / TAC_{n-1} > X\%$
4.5 Maximum amount of TAC change between management periods	TAC	Maximum ratio of change ⁶

¹ This indicator provides an indication of the expected CPUE of adult fish because CPUE is assumed to track biomass.

² This indicator is only useful to distinguish the performance of strategies which fulfil the objective represented by 1.4

³ This differs slightly from being equal to 1- Probability of a shutdown (4.3), because of the choice of having a management cycle of 3 years. In the next management cycle after B has been determined to be less than B_{lim} the TAC is fixed during three years to the level corresponding to F_{lim} , and the catch will stay at such minimum level for three years. The biomass, however, may react quickly to the lowering of F and increase rapidly so that one or more of the three years of the cycle will have $B > B_{lim}$.

⁴ Useful in the absence of TAC-related constraints in the harvest control rule.

⁵ Positive and negative changes to be reported separately

⁶ Positive and negative changes to be reported separately.

**RECOMMENDATION BY ICCAT ON THE SOUTHERN
ALBACORE CATCH LIMITS FOR THE PERIOD 2017 TO 2020**

NOTING the conclusions of the 2016 SCRS Report, that the southern albacore stock is, most probably, not overfished and overfishing is not occurring;

NOTING ALSO that the SCRS concluded that projections at a level consistent with the 2016 TAC (24,000 t) showed that probabilities of being in the green quadrant of the Kobe plot across all scenarios would increase to 63% by 2020;

ACKNOWLEDGING that total annual declared catches have been considerably lower than MSY.

RECOGNISING the objective of the Convention is to maintain populations at levels that will support maximum sustainable catch (usually referred to MSY);

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

1. The annual Total Allowable Catch (TAC) for albacore caught in the Atlantic Ocean south of 5°N shall be 24,000 t for the period 2017 to 2020.
2. Notwithstanding the provisions of paragraph 1, should the total reported albacore catches in 2016, as reported to the 2017 ICCAT meeting, exceed 24,000 t, the TAC for 2018 shall be reduced by the full amount of the 2016 catch in excess of 24,000 t.
3. The annual catch limits for southern Atlantic albacore shall be as follows:

	<i>Catch limits (t)*</i>
Angola	50
Belize	250
Brazil	2 160
China	200
Chinese Taipei	9 400
Cote d'Ivoire	100
Curacao	50
European Union	1 470
Japan	1 355
Korea	140
Namibia	3 600
South Africa	4 400
St Vincent and Grenadines	140
UK St Helena	100
Uruguay	440
Vanuatu	100

* The following annual transfers of catch limits shall be authorized:

From Brazil to Japan: 100 t in 2017-2020

From Uruguay to Japan: 100 t in 2017-2018

From South Africa to Japan: 100 t in 2019-2020

All other CPCs not listed above shall limit their catches to 25 t.

4. Any unused portion or excess of the individual annual catch limits may be added to/shall be deducted from, according to the case, the respective catch limit during or before the adjustment year, in the following way for southern Atlantic albacore:

- a) Underages of the annual quota may be added to the respective quota for each CPC, to the maximum limit of 25% of their original quota, in the following way:

<i>Year of catch</i>	<i>Adjustment year</i>
2016	2018
2017	2019
2018	2020
2019	2021
2020	2022

- b) By the time of the Commission Meeting, those CPCs with underages in the previous year shall inform the amount of their underage they intend to use in the following year. The total underage from the TAC from one given year, minus the underages to be used by those CPCs wishing to do so, may be shared among those CPCs wishing to complement their quota, irrespective to their underages, to the limit of 25% of their original quota.
- c) In the case the total amount of underages requested by all CPCs exceeds the total amount made available under this mechanism, the amount of underages shall be shared pro rata among those CPCs requesting complementation of their quotas, in the proportion of their original quotas.
- d) In respect of the 2016 catches and TAC, underages may only be used to the extent of the available underage of total TAC.
- e) The carry-over of underages is only applicable to those CPCs specifically referred to in paragraph 3.
- f) In respect of South Africa, Brazil and Uruguay, should any of these aforementioned CPCs reach their individual catch limits by 31 December, and any other aforementioned CPCs have underage available within the same year, then any or all of the aforementioned CPCs with underage available shall automatically transfer, up to a maximum of 1000 t collectively, in proportion to their respective original quotas to any of the aforementioned which has reached its catch limit for that year, on condition that such transfer of underage does not prejudice the transferring CPCs respective maximum underage allowance as set out in paragraph 4 (b). Such transfers shall be reported in CPC Compliance Reporting Tables.
5. Should a given CPC exceed its quota, the over-catch must be deducted from its original quota by 100% of the total exceeded amount in accordance with the schedule in paragraph 4 and that CPC will be prohibited of requesting any underages made available under the present mechanism in the following year.
6. All CPCs specifically referred to in paragraph 3 may transfer a portion of their quota to another CPC subject to both CPCs agreeing and providing prior notification to the ICCAT Secretariat in terms of the quantity to be transferred. The Secretariat shall disseminate this notification to all CPCs.
7. Those CPCs that are catching southern Atlantic albacore, shall immediately improve their catch reporting systems to ensure the reporting of accurate and validated southern Atlantic albacore catch and effort data to ICCAT in full accordance with the ICCAT requirements for provision of Task I and Task II catch, effort and size data. In addition, port states CPCs in the south Atlantic shall report the results of their port inspections to the Secretariat in accordance with [Rec. 12-07¹].

The Secretariat shall forward the reports to the flag CPC.

8. The next stock assessment of southern Atlantic albacore shall be conducted in 2020. Scientists of entities actively fishing for southern Atlantic albacore are strongly encouraged to analyse their fisheries data and to participate in the 2020 assessment.

¹ Repealed and Replaced by Rec. 18-09.

9. All aspects of the southern Atlantic albacore catch limit and sharing arrangement shall be reviewed and revised at the 2020 ICCAT Commission meeting, taking account of the results of the updated southern Atlantic albacore stock assessment to be conducted in 2020. This review and revision shall also address any over-harvests made in excess of the 2017 to 2020 TAC.
10. CPCs shall issue specific authorizations to vessels 20 meters LOA or greater flying their flag that are authorized to fish southern Atlantic albacore in the Convention area. Each CPC shall indicate which of such vessels it has so authorized on its vessel list submitted pursuant to the *Recommendation by ICCAT Concerning the Establishment of an ICCAT Record of Vessels 20 meters in Length Overall or Greater Authorized to Operate in the Convention Area* (Rec. 13-13²). Such vessels not entered into this record or entered without the required indication that fishing southern Atlantic albacore is authorized are deemed not to be authorized to fish for, retain on board, tranship, transport, transfer, process or land southern Atlantic albacore.
11. CPCs may allow bycatch of southern Atlantic albacore by vessels not authorized to fish southern Atlantic albacore pursuant to paragraph 10, if the CPC establishes a maximum onboard bycatch limit for such vessels and the bycatch is accounted for within the CPC's catch limit. Each CPC shall provide in its Annual Report the maximum bycatch limit it allows for such vessels. That information shall be compiled by the ICCAT Secretariat and made available to CPCs.
12. This Recommendation replaces, in its entirety, the 2013 *Recommendation by ICCAT on the southern Atlantic albacore Catch Limit for 2014 to 2016* [Rec. 13-06].

² As amended by Rec. 14-10.

**RECOMMENDATION BY ICCAT ON A HARVEST CONTROL RULE
FOR NORTH ATLANTIC ALBACORE SUPPLEMENTING THE MULTIANNUAL
CONSERVATION AND MANAGEMENT PROGRAMME, REC. 16-06**

(Entered into force **11 June 2018**)

RECALLING the Recommendation by ICCAT on a multi-annual conservation and management programme for North Atlantic Albacore [Rec. 16-06] and, namely, the request to the SCRS to refine the testing of candidate reference points and associated harvest control rules (HCRs) to support the management objectives for North Atlantic albacore established therein;

CONSIDERING that the 2016 Standing Committee on Research and Statistics (SCRS) stock assessment concluded that the relative abundance of North Atlantic albacore has continued to increase over the last years and is most likely located in the green area of the Kobe plot, and as a result the stock is not overfished and overfishing is not occurring;

RECOGNIZING that the simulations conducted in 2017 using Management Strategy Evaluations (MSE) allow the SCRS to provide advice that is robust to a wide range of uncertainties, including those affecting the 2016 assessment and that, although further work in reviewing and improving the MSE is advisable, none of the concerns is sufficient to preclude the interim implementation of any of the HCRs proposed by the SCRS to establish short-term 3-year constant annual TACs;

FURTHER RECALLING that the Standing Working Group to Enhance Dialogue between Fisheries Scientists and Managers (SWGSM) recommended that an external review of the North Atlantic Albacore MSE should be considered by the Commission, ideally in 2018;

ACKNOWLEDGING the SCRS work in 2017 to test, through MSE simulations, a large set of HCRs out of which, as advised by the SWGSM, a reduced number of robust HCRs was finally considered. All the selected HCRs are predicted to meet the objectives to be in the green area of the Kobe plot with a probability higher than 60%. Moreover, 96% of the Operating Models have shown biomass above B_{MSY} with at least 60% probability between 2020-2045;

NOTING that the HCRs with the highest target fishing mortalities ($F_{TAR}=F_{MSY}$) were associated with lower probabilities, although higher than 60%, of being in the Kobe green quadrant, higher probabilities of the stock being between B_{LIM} and B_{THRESH} with only slightly higher long-term yields;

FURTHER NOTING the desire for stability in the fishery;

CONSIDERING that the SCRS tested a minimum fishing mortality (F_{MIN}) that needs to be established in order to ensure a scientific monitoring of the status of the stock should the stock status fall below safe biological limits;

TAKING INTO ACCOUNT that if the Commission adopts an HCR then the TAC established via Rec. 16-06 shall be re-established according to the adopted HCR;

CONSIDERING that the SCRS' intention to further explore and to consolidate the MSE framework in the future is without prejudice to the interim adoption of an HCR subject to possible future advice of the SCRS;

NOTING the importance of identifying exceptional circumstances that would result in suspending or modifying the application of the HCR;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

**PART I
GENERAL PROVISIONS**

Management objectives

1. The management objectives of the multiannual management and conservation programme for North Atlantic albacore are those set out in paragraph 2 of Rec. 16-06.

**PART II
BIOLOGICAL REFERENCE POINTS AND HARVEST CONTROL RULES**

2. For the purpose of the multiannual management and conservation programme for the North Atlantic albacore, the following interim reference points¹ are established:

c) $B_{THRESH} = B_{MSY}$

d) $B_{LIM} = 0.4 * B_{MSY}$

e) $F_{TAR} = 0.8 * F_{MSY}$

f) $F_{MIN} = 0.1 * F_{MSY}$

3. The North Atlantic albacore stock assessment shall be conducted every three (3) years, with the next stock assessment to occur in 2020.
4. The harvest control rule (HCR) sets a 3-year constant annual total allowable catch (TAC) using the following three values estimated from each stock assessment. For each value the median values as reported in the summary table of the SCRS report shall be used:

a) The estimate of current stock biomass (B_{CURR}) with respect to B_{MSY} .

b) The estimate of the stock biomass at Maximum Sustainable Yield (B_{MSY}).

c) The estimate of the fishing mortality at MSY (F_{MSY}).

5. The HCR shall have the form shown in **Annex 1** and the following control parameters set as per below:

a) The biomass threshold level (B_{THRESH}) is equal to the biomass able to deliver the maximum sustainable yield ($B_{THRESH} = B_{MSY}$).

b) A fishing mortality target corresponding to 80% of F_{MSY} ($F_{TAR} = 0.8 * F_{MSY}$) will be applied when the stock status is at, or above, the threshold level (B_{THRESH}).

c) If the current biomass (B_{CURR}) is estimated to be below the threshold level (B_{THRESH}) and higher than B_{LIM} , then fishing mortality will be reduced linearly for the next multiannual management period (F_{NEXT}) on the following basis:

$$F_{NEXT} = a + b * \frac{B_{CURR}}{B_{MSY}} = -0.367 + 1.167 \frac{B_{CURR}}{B_{MSY}}$$

$$\text{where } a = \left[\frac{F_{TAR}}{F_{MSY}} \right] - \left[\frac{\frac{F_{TAR}}{F_{MSY}} - \frac{F_{MIN}}{F_{MSY}}}{\frac{B_{THRESH}}{B_{MSY}} - \frac{B_{LIM}}{B_{MSY}}} \right] * \frac{B_{THRESH}}{B_{MSY}} = -0.367$$

$$b = \left[\frac{\frac{F_{TAR}}{F_{MSY}} - \frac{F_{MIN}}{F_{MSY}}}{\frac{B_{THRESH}}{B_{MSY}} - \frac{B_{LIM}}{B_{MSY}}} \right] = 1.167$$

¹ For the purposes of this Recommendation, the definitions of Harvest Control Rules and Reference Points adopted in ICCAT Recommendation 15-07 will apply.

- d) If the current biomass (B_{CURR}) is estimated to be at, or below, B_{LIM} , then the fishing mortality shall be set at F_{MIN} with a view to ensure a level of catch for scientific monitoring.
 - e) The Maximum catch limits (Cmax) recommended are 50,000 t to avoid adverse effects of potentially inaccurate stock assessments.
 - f) The maximum change in the catch limit (Dmax) shall not exceed 20% of the previous recommended catch limit when $B_{CURR} \geq B_{THRESH}$.
6. The HCR described in paragraph 5 (a-d) produces a relationship between stock status and fishing mortality as shown in the graph of **Annex 1**. The table of **Annex 2** reports the values of relative fishing mortality to be applied (F_{NEXT}/F_{MSY}) for specific values of relative biomass (B_{CURR}/B_{MSY}).

PART III CATCH LIMITS

TAC and catch limits

7. The 3-year constant annual TAC shall be set as follows:

- a) if the current biomass (B_{CURR}) is estimated to be at, or above, the threshold biomass (i.e., $B_{CURR} \geq B_{MSY}$), then the catch limit shall be set at

$$1. \quad TAC = F_{TAR} * B_{CURR}$$

- b) if the current biomass (B_{CURR}) is estimated to be below the threshold biomass (i.e., $B_{CURR} < B_{MSY}$) but greater than B_{LIM} (i.e., $B_{CURR} > 0.4 * B_{MSY}$), then the catch limit shall be set at

$$1. \quad TAC = F_{NEXT} * B_{CURR}$$

where a series of indicative values for F_{NEXT} are reported in the table of **Annex 2** or can be calculated through the formula reported in paragraph 5.c above.

- c) if the current biomass (B_{CURR}) is estimated to be at, or below, the B_{LIM} (i.e., $B_{CURR} \leq 0.4 * B_{MSY}$), then the catch limit shall be set at

$$1. \quad TAC = F_{MIN} * B_{CURR}$$

with a view to ensure a level of catch for scientific monitoring.

- d) the catch limit resulting from the above calculations will be below the maximum catch limit (Cmax) as reported in paragraph 5e above and shall not increase or decrease by more than 20% from the previous catch limit except when $B_{CURR} < B_{THRESH}$ or unless otherwise required pursuant to an agreed management response when exceptional circumstances are determined to have occurred by the SCRS.
 - e) in the case of 7c, the catch limit could be set at a level lower than $F_{MIN} * B_{CURR}$ if the SCRS considers it sufficient to ensure a level of catch proper for scientific monitoring.
8. Pursuant to paragraphs 4, 5 and 7, a 3-year constant annual TAC of 33,600 t is established for the period 2018-2020. Consistent with the TAC allocations set out in Rec. 16-06, this TAC is allocated among the CPCs as follows:

<i>CPC</i>	<i>Quota (t) for the period 2018-2020</i>
European Union	25,861.6
Chinese Taipei	3,926.0
United States	632.4
Venezuela	300.0

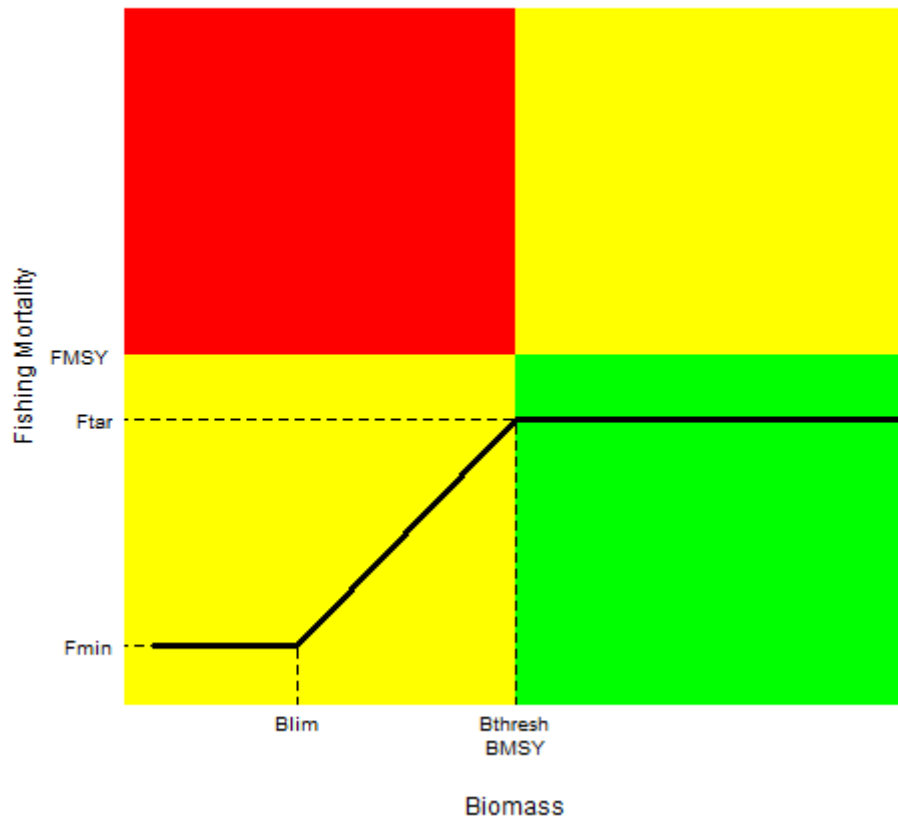
9. Provisions established by paragraph 8 above are without prejudice to the transfers stipulated by paragraph 4 of Rec. 16-06.
10. Provisions established by paragraph 8 above are without prejudice to the annual catch limit stipulated by paragraph 5 of Rec. 16-06.
11. Provisions established by paragraph 8 above are without prejudice to the derogation stipulated by paragraph 6 of Rec. 16-06.

PART IV FINAL PROVISIONS

Review and exceptional circumstances

12. The SCRS is requested to develop in 2018 criteria for the identification of exceptional circumstances, taking into account, *inter alia*, the need for an appropriate balance between specificity versus flexibility in defining exceptional circumstances, and the appropriate level of robustness to ensure that exceptional circumstances are triggered only when necessary.
13. The Commission, through the Standing Working Group of Scientists and Managers, shall develop guidance on a range of appropriate management responses should those exceptional circumstances be found to occur.
14. If exceptional circumstances occur (such as stock trajectories out of the ranges tested by the MSE, extreme environmental regime shift, inability to update the stock status, etc.), the Commission shall review and consider possible revision of the HCR. The SCRS is requested to incorporate these exceptional circumstances in future developments of the MSE framework in order to provide further advice to the Commission.
15. The SCRS shall initiate a peer-review, in time for the 2018 Commission meeting, of the northern albacore MSE, including the operating models, management procedures, calculations of the performance indicators and code. Based on this review and potential refinement of the MSE to be described in a single consolidated report, the Commission may consider additional refinements of the interim HCR in 2018.
16. During 2018-2020, the SCRS shall continue the development of the MSE framework by conducting additional diagnostic checks, exploring additional management procedures including the carry over, and identifying the Operating Models (OMs) that might not be meeting the objectives under a certain HCR. The SCRS shall also indicate the percent of OMs that meet the management objective under each HCR. The SCRS is specifically requested to test, *inter alia*, some variants of the HCR adopted in this recommendation, such as:
 - a) Setting a lower TAC limit
 - b) Applying the restriction of 20% maximum TAC change when the current biomass (B_{CURR}) is estimated to be below the threshold level (B_{THRESH}) and higher than B_{LIM}
 - c) Applying the restriction of 20% maximum TAC reduction or 25% maximum TAC increase when the current biomass (B_{CURR}) is estimated to be below the threshold level (B_{THRESH}) and higher than B_{LIM}
17. The Commission shall review the interim HCR in 2020 with a view to adopting a long-term management procedure.
18. This Recommendation amends paragraphs 3 and 4 of Rec. 16-06 and does not set a precedent for future implementation of HCRs. The Commission shall consolidate this Recommendation and Recommendation 16-06 into a single Recommendation at its 2018 Commission meeting.

Graphic form of the Harvest Control Rule



**Values of relative biomass and corresponding relative fishing mortality
based on a sliding linear relationship between B_{LIM} and B_{THRESH} as produced by the HCR**

B_{CURR}/B_{MSY}	F_{NEXT}/F_{MSY}
1 or above	0.80
0.98	0.78
0.96	0.75
0.94	0.73
0.92	0.71
0.90	0.68
0.88	0.66
0.86	0.64
0.84	0.61
0.82	0.59
0.80	0.57
0.78	0.54
0.76	0.52
0.74	0.50
0.72	0.47
0.70	0.45
0.68	0.43
0.66	0.40
0.64	0.38
0.62	0.36
0.60	0.33
0.58	0.31
0.56	0.29
0.54	0.26
0.52	0.24
0.50	0.22
0.48	0.19
0.46	0.17
0.44	0.15
0.42	0.12
0.40	0.10

**RECOMMENDATION BY ICCAT ESTABLISHING MANAGEMENT MEASURES
FOR THE STOCK OF MEDITERRANEAN ALBACORE**

(Entered into force **11 June 2018**)

ACKNOWLEDGING that following the stock assessment for Mediterranean albacore in 2017, the Standing Committee on Research and Statistics (SCRS) noted in its advice that there is high uncertainty regarding the recent abundance trends;

HIGHLIGHTING that, according to the latest scientific advice, and consistent with the precautionary approach, the SCRS recommends to prevent an increase of the fishing effort and to maintain catches below MSY at least until abundance trends can be verified;

CONSIDERING that to prevent an increase of fishing effort and of the catches it is important to ensure that the fishing capacity does not increase;

ACKNOWLEDGING the provisions of ICCAT Recommendation 16-05 introducing a closure period for the longline fishery targeting Mediterranean albacore (*Thunnus alalunga*), with the aim of protecting juveniles of Mediterranean swordfish (*Xiphias gladius*);

THE INTERNATIONAL COMMISSION FOR THE
CONSERVATION OF ATLANTIC TUNA (ICCAT) RECOMMENDS THAT:

1. The Contracting Parties and Cooperating non-Contracting Parties, Entities or Fishing Entities (hereinafter referred to as CPCs), whose vessels are actively fishing for albacore (*Thunnus alalunga*) in the Mediterranean shall implement management measures for Mediterranean albacore starting in 2018 with the objective of preventing an increase of the fishing effort and of the catch level until the SCRS can deliver more accurate advice.
2. Each CPC shall limit the number of their fishing vessels authorised to fish for Mediterranean albacore to the number of vessels that were authorized in 2017 under article 28 of Recommendation 16-05. CPCs may apply a tolerance of 10% to this capacity limit.
3. Each year, fishing for Mediterranean albacore shall not be permitted from 1 October to 30 November inclusive, as long as the closure period defined in paragraph 12 of ICCAT Recommendation 16-05 remains in force.

RECOMMENDATION BY ICCAT ON BLUEFIN TUNA FARMING

(Entered into force: **June 13, 2007**)

TAKING INTO ACCOUNT the increasing development of bluefin tuna farming activities, especially in the Mediterranean;

RECALLING the conclusions of 6th Ad Hoc GFCM/ICCAT Joint Working Group Meeting on Stocks of Large Pelagic Fishes in the Mediterranean Sea relative to the effects of the bluefin tuna farming and on the solutions that could be studied to regulate this activity;

CONSIDERING the advice of the 2001 Standing Committee on Research and Statistics (SCRS) on effects of bluefin tuna farming in the Mediterranean on the collection of data and consequently on stock assessment procedures;

DESIRING to gradually implement effective management measures that permit the development of bluefin tuna farming in a responsible and sustainable manner in relation to the management of bluefin tuna;

NOTING the potential advantages of the use of underwater video monitoring in estimating the number of fish,

CONSIDERING the on-going work to establish a Bluefin Tuna Catch Documentation Programme,

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

1. Contracting Parties, Cooperating non-Contracting Parties, Entities or Fishing Entities (hereafter referred to as CPCs) whose flag vessels fish or transfer quantities of bluefin tuna to cages for farming shall undertake the necessary measures:
 - a) to require that the captains of vessels (including tugs and towing vessels) carrying out transfer operations of bluefin tuna for caging maintain vessel logs and report the quantities transferred and the number of fish as well as the date, place of harvest and name of the vessel and of the company responsible for the caging. This detailed information shall be entered into a register which shall contain details of all the transshipments carried out during the fishing season. This register shall be kept onboard and be accessible at any time for control purposes.
 - b) to require the reporting of the total amount of the transfers of bluefin tuna including loss in quantity and number during the transportation to the cages by farm for fattening and farming, carried out by their flag vessels.
 - c) to set up and maintain a list of their flag vessels that fish for, provide or transport bluefin tuna for farming purposes (name of the vessel, flag, license number, gear type), i.e., fishing boat, transport vessel, vessels with pools, etc.
 - d) to equip these tugs and towing vessels with an operational satellite tracking and monitoring system (VMS).
2. The CPCs under whose jurisdiction the farms for bluefin tuna are located in the Convention area shall adopt the necessary measures to:
 - a) assign an identifiable different number to each cage of its farming facility.
 - b) ensure that a caging declaration is submitted to the farming CPCs by the operator for further submission to the Commission in accordance with the ICCAT format in the attached **Annex**, on each fishing or transport vessel that participated in the transfer of tuna to cages for fattening, including the quantities of bluefin tuna destined for farming. This declaration shall include information relative to the validation numbers and dates of the bluefin tuna statistical document(s), the quantities (in t) of fish transferred to the cages, the number of fish, loss during transportation, the date, the place, the location of the catch, the name of the vessel, fishing methods used, as well as its flag and license number;

- c) ensure that the tuna farms and the national scientific institutes obtain data as specified in the following paragraph on the size composition of the fish caught as well as the date, time and area of catch and the fishing method used, in order to improve statistics for stock assessment purposes;

To this end, establish a sampling program for the estimation of the numbers-at-size of the bluefin tuna caught which requires notably that size sampling (length or weight) at cages must be done on one sample (=100 specimens) for every 100 t of live fish, or on a 10% sample of the total number of the caged fish. Size samples will be collected during harvesting¹ at the farm and on the dead fish during transport, following the ICCAT methodology for reporting Task II. The sampling should be conducted during any harvesting, covering all cages. Data must be transmitted to ICCAT, by 31 July for the sampling conducted the previous year.

- d) ensure the reporting of the quantities of bluefin tuna placed in cages and of estimates of the growth and mortality while in captivity and of the amounts sold (in t);
- e) set up and maintain a registry of the farming facilities under their jurisdiction;
- f) each CPC referred to in this paragraph shall nominate a single authority responsible for coordinating the collection and verification of information on caging activities and for reporting to and cooperating with the CPC whose flag vessels have fished the caged tuna.
This single authority shall submit, to the CPCs whose flag vessels have fished the caged tuna, a copy of each caging declaration referred to in paragraph 2a and of its supporting Bluefin Tuna Statistical Document, within one week after the completion of the transfer operation of bluefin tuna into cages.
3. CPCs mentioned in paragraphs 1 and 2 shall take the appropriate measures to verify the accuracy of the information received and shall cooperate to ensure that quantities caged are consistent with the reported catches (logbook) amount of each fishing vessel.
4. The CPCs that export farmed bluefin tuna products shall ensure that these products be accompanied by the ICCAT Bluefin Tuna Statistical Document and, where appropriate, that these products be identified as "farmed" with cage number of 2 a) and ICCAT FFB Record Number on the ICCAT Bluefin Tuna Statistical Document.
5. The CPCs shall transmit, each year, to the Executive Secretary, prior to 31 August:
- the total amount of the transfer of bluefin tuna by farm 1 b).
 - the list of flag vessels provided for in paragraph 1c),
 - the results of the program referred to in paragraph 2 c),
 - the quantities of bluefin tuna placed in cage and estimate of the growth and mortality by farm 2 d),
 - the quantities of bluefin tuna caged during the previous year,
 - the quantities by sourcing of origin marketed during the previous year.
6. The CPCs mentioned in this recommendation as well as the Contracting Parties that import bluefin tuna shall cooperate, particularly through the exchange of information.
7. The Commission shall request non-Contracting Parties that farm bluefin tuna in the Convention area to cooperate in the implementation of this recommendation.
8. Based on the information referred to in paragraph 4 on the Bluefin Tuna Statistical Document reports and the Task I data, the Commission shall review the effectiveness of these measures.
9. a) The Commission shall establish and maintain an ICCAT record of farming facilities authorized to operate for farming of bluefin tuna caught in the Convention area (hereafter referred to as FFBs). For the purposes of this recommendation, FFBs not entered into the record are deemed not to be authorized to operate for farming of bluefin tuna caught in the Convention area.
- b) Each CPC under whose jurisdiction FFBs are located shall submit electronically, where possible, to the ICCAT Executive Secretary by 31 August 2004 the list of its FFBs that are authorized to operate for farming of bluefin tuna. This list shall include the following information:

¹ For fish farmed more than one year, other additional sampling methods should be established.

- name of the FFB, register number,
 - names and addresses of owner (s) and operator (s),
 - location,
 - farming capacity (in t)
- c) Each CPC shall notify the Executive Secretary, after the establishment of the ICCAT record of FFBs, of any addition to, any deletion from and/or any modification of the ICCAT record of FFBs at any time such changes occur.
- d) The ICCAT Executive Secretary shall maintain the ICCAT record of FFBs, and take any measure to ensure publicity of the record through electronic means, including placing it on the ICCAT website, in a manner consistent with confidentiality requirements noted by CPCs.
- e) The CPCs under whose jurisdiction FFBs are located shall take the necessary measures to ensure that their FFBs comply with the relevant ICCAT measures.
- f) To ensure the effectiveness of ICCAT conservation and management measures pertaining to bluefin tuna:
- i) CPCs under whose jurisdiction FFBs are located shall validate Bluefin Tuna Statistical Documents only for the farms on the ICCAT record of FFBs,
 - ii) CPCs shall require farmed bluefin tuna, when imported into their territory to be accompanied by the Bluefin Tuna Statistical Document.
 - iii) CPCs importing farmed bluefin tuna and the States that authorize the FFB shall cooperate to ensure that the Bluefin Tuna Statistical Documents are not forged or do not contain misinformation.
- g) Each CPC shall take the necessary measures, under their applicable legislation, to prohibit the imports and sale of bluefin tuna into and from farms not registered in the ICCAT record of farming facilities authorised to operate as well as those that do not respect the sampling requirements foreseen in paragraph 2c and/or do not participate in the sampling programme referred to in paragraph 2c.
- 10.a) The Commission shall establish and maintain an ICCAT record of vessels that fish for, provide or transport bluefin for farming, i.e., fishing boats, transport vessels, vessels with pools, etc. For the purpose of this recommendation the vessels not entered into the record are deemed not to be authorized to fish for, provide or transport bluefin tuna for farming.
- b) Each CPC shall submit, electronically where possible, to the ICCAT Executive Secretary by 31 August 2006 the list of the vessels that are authorized to operate for farming of bluefin tuna. This list shall include the following information:
- name of the vessel, registry number
 - previous flag (if any)
 - previous name (if any)
 - previous details of deletion for other registers (if any)
 - international radio call sign (if any)
 - type of vessels, length and gross registered tonnage (GRT)
 - name and address of owner(s) and operator(s)
 - gear used
 - time period authorised for fishing and/or providing or transporting bluefin tuna for farming.
- c) Each CPC shall promptly notify, after the establishment of the initial ICCAT record, the ICCAT Executive Secretary of any addition to, any deletion from and/or any modification of the ICCAT record and any time such changes occur.
- d) The ICCAT Executive Secretary shall maintain the ICCAT record and take any measure to ensure publicity of the record and through electronic means, including placing it on the ICCAT website in a manner consistent with confidentiality requirement noted by CPCs.

11. Each CPC shall take the necessary measures so that the FFBs do not receive bluefin tuna from vessels that are not included in the ICCAT record (fishing vessels, transport vessels, vessels with pools, etc.
12. The SCRS shall undertake trials to identify growth rates including weight gains during the fattening or caging period.
13. This Recommendation replaces the *Recommendation by ICCAT to Amend the Recommendation on Bluefin Tuna Farming* [Rec. 05-04].

ICCAT DECLARATION ON CAGING

Vessel name	Flag	Registration Number Identifiable cage number	Date of catch	Place of catch Longitude Latitude	Bluefin Tuna Statistical Document validation number	Bluefin Tuna Statistical Document date	Date of caging	Quantity placed in cage (t)	Number of fish placed in cage for fattening	Size composition	Fattening facility *

*Facility authorized to operate for fattening of bluefin tuna caught in the Convention area.

**RESOLUTION BY ICCAT ON FISHING
BLUEFIN TUNA IN THE ATLANTIC OCEAN**

(Transmitted to Contracting Parties: **14 December 2006**)

ACKNOWLEDGING continuing concern about the possible adverse effect of a large shift of fishing effort in the Atlantic on future bluefin tuna conservation programs,

NOTING the SCRS' concern about issues of mixing identified in previous SCRS documents,

NOTING there is strong evidence of mixing in the entire Atlantic, including Central area,

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RESOLVES THAT:

Contracting Parties, Cooperating non-Contracting Parties, Entities or Fishing Entities (CPCs) should not increase their catch by large-scale tuna longline vessels from the 1999/2000 level in the area north of 10°N, and between 30°W and 45°W.

**RESOLUTION BY ICCAT CONCERNING
ATLANTIC BLUEFIN TUNA SCIENTIFIC RESEARCH ON STOCK ORIGIN AND MIXING**

(Transmitted to Contracting Parties: **18 December 2008**)

RECALLING the 2001 *Resolution by ICCAT regarding the SCRS Mixing Report on Atlantic Bluefin Tuna* [Res. 01-09] calling on Contracting Parties, Cooperating non-Contracting Parties, Entities, and Fishing Entities (hereinafter referred to as “CPCs”) to conduct scientific research throughout the Atlantic and Mediterranean that would contribute to the better understanding of bluefin tuna movement patterns;

CONSIDERING that the uncertainty associated with the rates of stock mixing in the different fisheries throughout the Atlantic highlights the need for sound management, based on science, in both the west Atlantic and the east Atlantic and Mediterranean;

RECOGNIZING that the Standing Committee on Research and Statistics (SCRS) has noted the need to integrate recent and anticipated advances in otolith microconstituent analyses, age determination, archival tagging and genetics into the assessment and management evaluation processes;

FURTHER RECOGNIZING that the SCRS has advised in its 2008 report that otolith microconstituent data can be very useful to determine stock origin with relatively high accuracy, and thus could be a key factor to improve the ability to conduct mixing analyses; that representative samples need to be collected from all major fisheries, in all areas; and that added value would be obtained if genetic samples were also collected from the same fish, which could potentially result in more accurate and less expensive tests for stock origin;

ACKNOWLEDGING the importance of also identifying existing collections of otoliths collected in historical time periods (e.g., the 1970s and 1980s) in order to understand how the stock origin proportions in the catch may have changed and improve mixing analyses;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RESOLVES THAT:**

1. The CPCs, whether operating in the eastern Atlantic and Mediterranean or western Atlantic fishery, should collect otoliths for microconstituent analysis and tissue samples for genetic studies and cooperate in research, including comprehensive archival and conventional tagging studies, that will help resolve issues associated with population structure, spawning site fidelity, and spatial dynamics (including stock mixing). Collection of biological samples should be representative of the fishery and consistent with SCRS guidance and protocols.
2. In support of this work, a CPC with a bluefin tuna quota allocation should consider making a portion of its bluefin tuna quota available for research consistent with domestic obligations, conservation considerations, and a bona fide research plan.
3. CPCs, whether operating in the eastern Atlantic and Mediterranean or western Atlantic fishery, are also encouraged to identify to the SCRS any existing collections of otoliths and other biological samples from historical periods in order to improve mixing analyses.
4. CPCs should encourage their scientists to contact industry and trade association groups in order to obtain representative samples from the various fisheries.

**RECOMMENDATION BY ICCAT CONCERNING THE ATLANTIC-WIDE
RESEARCH PROGRAMME FOR BLUEFIN TUNA (GBYP)**

(Entered into force: **7 June 2012**)

RECALLING the Commission decision in 2008 to adopt the Atlantic-wide Research Programme for the Bluefin Tuna (GBYP), endorsing the proposal made by the Standing Committee on Research and Statistics (SCRS).

RECALLING the Commission decision in 2009 to initiate the Atlantic-wide Research Programme for Bluefin Tuna (GBYP), endorsing the reviewed and updated SCRS proposal.

RECALLING also the *Resolution by ICCAT Concerning Atlantic Bluefin Tuna Scientific Research on Stock Origin and Mixing* (Res. 08-06).

RECOGNIZING that the research results obtained by GBYP in the initial two phases of the programme provided a large amount of historical and new data on bluefin tuna, including promising results on fishery-independent data obtained by aerial survey on bluefin tuna spawning aggregations.

FURTHER RECOGNIZING that the initial experience showed serious limits caused by the absence of specific provision for the research, particularly important after the adoption and enforcement of the ICCAT Rec. 08-05, Rec.09-06 and Rec. 10-04.

CONSIDERING that the current limits are able to impede the regular activity of the GBYP as they have been proposed by the SCRS and endorsed by the Commission, with particular reference to the aerial survey on spawning aggregations, the biological and genetic sampling and the tagging activities.

FURTHER CONSIDERING that similar problems encountered by a previous ICCAT programme (BYP) were resolved by the *Supplemental Recommendation by ICCAT on Bluefin Tuna Research in the Central North Atlantic Ocean* (Rec. 01-08).

RECOGNIZING that the SCRS, in its 2011 Report, has recommended that the Commission should adopt specific provisions for allowing the regular research activity of GBYP.

ACKNOWLEDGING the importance of conducting the GBYP research as it was requested by the Commission under a clear legal framework.

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

1. The Contracting Parties, Cooperating non-Contracting Parties, Entities or Fishing Entities (hereinafter referred to as CPCs) shall provide the maximum assistance to ICCAT-GBYP for permits to operate in their relevant maritime areas or airspaces over marine zones which are under their jurisdiction, following the conditions of domestic rules and legislation of each concerned CPC on these issues.
2. The CPCs shall provide ICCAT-GBYP all the necessary contacts at the national level to assist in carrying out the research activities.
3. Scientific institutions and entities participating in the ICCAT-GBYP research activities are exempt from the Commission's conservation measures on bluefin tuna for up to a maximum of an overall amount of 20 metric tons of bluefin tuna annually ("Research Mortality Allowance" or "RMA") taken or killed incidentally during the GBYP biological and genetic sampling programme or the tagging activities, as approved by the SCRS and endorsed by the Commission. These tunas cannot be sold for commercial purposes and shall be reported in detail to ICCAT and SCRS at the end of each Phase of GBYP, according to specific rules that will be established by the ICCAT Secretariat and attached to the research contracts.

4. Scientific institutions and entities participating in the ICCAT-GBYP scientific research activities, as designated, identified and authorized by the ICCAT-GBYP Coordination, are exempt from the Commission's conservation measures on bluefin tuna and particularly from the minimum size limit, the limit concerning the use of any fishing gear or tool and the fishery closures, for allowing the GBYP scientific research activities to be conducted at any time of the year, with any gear and for sampling any size of bluefin tuna, according to the annual programme approved by the SCRS and endorsed by the Commission.
5. All CPCs undertake to consider providing the necessary funding or other logistical support in order to conduct this critical scientific endeavor.

**GUIDELINES FOR PREPARING THE EASTERN ATLANTIC AND
MEDITERRANEAN BLUEFIN TUNA FISHING, INSPECTION AND CAPACITY MANAGEMENT PLANS**

In accordance with the *Recommendation by ICCAT Amending the Recommendation 13-07 by ICCAT to Establish a Multi-annual Recovery Plan for Bluefin Tuna in the Eastern Atlantic and Mediterranean* [Rec. 14-04]¹, each Contracting Party and Cooperating non-Contracting Party, Entity or Fishing Entity (hereinafter referred to as CPC) which has eastern Atlantic and Mediterranean bluefin tuna quota submits a fishing, inspection and capacity management plan. The Panel 2 (PA2) intersessional meeting reviews and endorses the submitted plans.

Each CPC should use the attached format (**Annex**) to prepare its eastern Atlantic and Mediterranean bluefin tuna fishing, inspection and capacity management plan.

¹ Repealed and replaced by Rec. 17-07 which was later repealed and replaced by Rec. 18-02 and later 19-04. Note that the template contained in the Annex is no longer valid and the revised version will be published as CP47 on the ICCAT website.

**EASTERN ATLANTIC AND MEDITERRANEAN BLUEFIN TUNA FISHING,
FARMING, INSPECTION AND CAPACITY MANAGEMENT PLAN**

Name of CPC: XXX

Fishing Plan Year: 20XX

1. Details of annual fishing plan for catching vessels and traps (para 16-17)

Each CPC will provide information on all fishing gear groups that catch Atlantic bluefin tuna, including the total number of vessels or traps in each group, how quotas are allocated to each gear group and, where applicable, how they are allocated to each vessel or trap in that group. CPCs will also provide information on method(s) used to allocate and manage quotas as well as the measures to ensure compliance with individual quotas, the open fishing season for each gear category and the rules on by-catch.

CPCs should also complete the following table:

	ICCAT requirement (per Rec. 18-02)	Explanation of CPC actions taken to implement	Relevant domestic laws or regulations (as applicable)	Note:
1	Catch recording and reporting (para 63-68)			
2	Fisheries openings (para 29-32)			
3	Minimum size (para 34-36)			
4	By-catch (para 38)			
5	Recreational and sports fisheries (para 39-45)			
6	Transshipment (para 77, 78 and 80)			
7	VMS (para 105)			
8	CPC observers programme (para 83)			
9	Regional observers programme (para 84)			
	<i>Other requirements, such as: tagging programme (para 45).</i>			

2. Annual fishing capacity management plan (para 18-23)

Each CPC will provide the number of fishing vessels and the corresponding fishing capacity using the template provided by the Secretariat (attached).

3. Annual farming management plan (para 8; 24-27), as applicable

Each CPC will develop an annual farming management plan showing that the total input capacity and the total farming capacity is commensurate with the estimated quantity of bluefin tuna available for farming including the information referred to in paras 8 as well as 25 – 27.

4. Monitoring, control and inspection plan

a) CPC's monitoring, control and inspection (para 73, 97, 99, 103 and 104)

Each CPC will provide information on their monitoring, control and inspection plan.

b) Joint Scheme of International Inspection (para 109-112)

Each CPC will provide information about joint international inspections that are implemented in accordance with Part V of Rec. 18-02, Annex 7 (if applicable).

Tuna vessel fleet	Fleet (vessels)														Fishing capacity														
Type	Best catch rates defined by the SCRS in 2009 (t)	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020		
Purse seiner over 40m	70.7																												
Purse seiner between 24 and 40m	49.78																												
Purse seiner less than 24m	33.68																												
Purse seine total fleet																													
Longliner over 40m	25																												
Longliner between 24 and 40m	5.68																												
Longliner less than 24m	5																												
Total longline fleet																													
Baitboat	19.8																												
Handline	5																												
Trawler	10																												
Trap	130																												
Small coastal vessels and baitboats from the Azores, Canary Islands and Madeira	N/A																												
Other (please specify)	5																												
Total fleet/fishing capacity																													
Quota																													
Adjusted quota (if applicable)																													
Allowance for sports/recreational (if applicable)																													
Under/overcapacity																													

**RECOMMENDATION BY ICCAT FOR AN INTERIM CONSERVATION
AND MANAGEMENT PLAN FOR WESTERN ATLANTIC BLUEFIN TUNA**

(Entered into force **11 June 2018**)

RECALLING the Recommendation by ICCAT to Establish a Rebuilding Program for Western Atlantic Bluefin Tuna (Rec. 98-07), the Recommendation by ICCAT Concerning Conservation of Western Atlantic Bluefin Tuna (Rec. 02-07), the Recommendation by ICCAT Concerning the Western Atlantic Bluefin Tuna Rebuilding Program and the Conservation and Management Measures for Bluefin Tuna in the Eastern Atlantic and Mediterranean (Rec. 04-05), and the Supplemental Recommendations by ICCAT Concerning the Western Atlantic Bluefin Tuna Rebuilding Program (Recs. 06-06, 08-04, 10-03, 12-02, 13-09, 14-05, and 16-08);

FURTHER RECALLING that the objective of the Convention is to maintain populations at levels that will support maximum sustainable catch (usually referred to as MSY);

NOTING the Standing Committee on Research and Statistics (SCRS) conducted a stock assessment in 2017, and estimated that the biomass of the western stock of bluefin tuna has been increasing since about 2004, after two decades of stability, and in 2015 was at 69% of the 1974 biomass level under one model and 45% of the 1974 level under another;

RECOGNIZING, however, that the SCRS was unable to provide reliable biomass reference points in line with the provisions of Rec. 16-08 and could not evaluate if the stock is rebuilt to B_{MSY} under the 20-year rebuilding program that ends in 2018, because it has been unable to resolve the long-term recruitment potential;

NOTING that, in light of the longstanding uncertainty in estimating future recruitment, the SCRS in the 2017 stock assessment has provided short-term management advice based on a fishing mortality rate (i.e. $F_{0.1}$) that the SCRS considers to be a reasonable proxy for F_{MSY} ;

ALSO NOTING that the $F_{0.1}$ strategy accounts for the effect of recruitment changes on stock biomass;

RECOGNIZING that although the SCRS provided advice for the 2018-2020 management period based on an $F_{0.1}$ strategy, the SCRS indicated that fishing consistently at $F_{0.1}$ would, over the long-term, cause the stock to fluctuate around a biomass level associated with that fishing mortality rate (i.e., $B_{0.1}$), whatever the future recruitment potential;

ACKNOWLEDGING that the value of $F_{0.1}$ can be higher or lower than F_{MSY} depending on the stock-recruitment relationship and, consequently, the yields associated with $F_{0.1}$ can be higher or lower than MSY-based yields;

NOTING that the SCRS has advised that constant annual catches during 2018-2020 should not be greater than 2,500 t to have a 50% or greater chance of avoiding overfishing and would need to be 1,000 t or less to allow the stock biomass to continue to grow, and also aware that the Kobe matrix shows that 2,500 t has a 65% probability of avoiding overfishing in 2020;

UNDERSCORING that the results of the 2017 stock assessment and projections, including the Kobe matrix, do not capture the full degree of uncertainty with regard to the spawner-recruit relationship as well as other aspects, including the effects of stock mixing;

AWARE that the effects of stock mixing and the management actions taken in the eastern Atlantic and Mediterranean are likely to affect the western Atlantic stock, given that the productivity of the western Atlantic bluefin tuna fisheries is linked to the much larger eastern Atlantic and Mediterranean stock;

CONCERNED as well that the SCRS has indicated that recruitment has been declining for a number of years, and there are no signs of a strong year class coming into the fishery;

DESIRING, in light of the identified unquantified uncertainties, to ensure high probability of avoiding overfishing;

ALSO DESIRING to avoid large fluctuations in catches into the future to the extent possible;

RECOGNIZING that the SCRS recommended that the next stock assessment be conducted in 2020;

HIGHLIGHTING the value of research on the stock, including increased biological sampling, to provide additional support toward addressing some key stock assessment uncertainties;

UNDERSTANDING that the Commission intends to complete a Management Strategy Evaluation (MSE) for western Atlantic bluefin tuna by 2020;

ANTICIPATING a transition to the use of management procedures, which the Commission has recommended for bluefin tuna and other priority stocks to manage fisheries more effectively in the face of identified uncertainties, and the need to identify management objectives consistent with the Convention and Recs. 11-13 and 15-07;

NEEDING, therefore, to implement an interim conservation and management plan that takes into account the recent SCRS advice as a means to support such a transition to a management approach based on management procedures and incorporating the relevant provisions of the *Recommendation by ICCAT Amending the Supplemental Recommendation by ICCAT Concerning the Western Atlantic Bluefin Tuna Rebuilding Program* (Rec. 16-08);

RECOGNIZING the *Resolution by ICCAT on Criteria for the Allocation of Fishing Possibilities* (Res. 15-13);

RENEWING the commitment to the full implementation of existing mandatory reporting obligations including those in the *Recommendation by ICCAT Concerning the Recording of Catch by Fishing Vessels in the ICCAT Convention Area* (Rec. 03-13¹);

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION OF
ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

1. Contracting Parties and Cooperating non-Contracting Parties, Entities and Fishing Entities (CPCs) whose vessels have been actively fishing for bluefin tuna in the western Atlantic shall implement the following interim conservation and management plan for the 2018-2020 period, when a management procedure tested through MSE is to be adopted.

Effort and capacity limits

2. In order to avoid increasing fishing mortality of bluefin tuna in the eastern or western Atlantic, CPCs will continue to take measures to prohibit any transfer of fishing effort from the western Atlantic to the eastern Atlantic and Mediterranean and from the eastern Atlantic and Mediterranean to the western Atlantic.

TACs, TAC allocations, and catch limits

3. Pending the results of the next (i.e., 2020) stock assessment and/or SCRS recommendations based on the MSE process, the following annual total allowable catch (TAC), inclusive of dead discards, of 2,350 t is established for each of 2018, 2019, and 2020.
4. The annual TACs in Paragraph 3 shall be reviewed annually by the Commission on the advice of the SCRS, which would include the review of updated fishery indicators. In support of this work, CPCs shall make special efforts to update abundance indices and other fishery indicators annually and provide them to the SCRS.

¹ As amended by Rec. 14-10.

5. If the SCRS detects a serious threat of stock collapse, the Commission shall suspend all bluefin tuna fisheries in the western Atlantic for the following year. The Commission will review this provision in light of the development of management procedures (as described in Paragraphs 14 through 16) for this stock.
6. The allocation of the annual TAC, inclusive of dead discards, will be indicated as follows:
 - (a) The annual TAC shall include the following allocations:

<i>CPC</i>	<i>Allocation</i>
USA (by-catch related to longline fisheries in vicinity of management area boundary)	25 t
Canada (by-catch related to longline fisheries in vicinity of management area boundary)	15 t

- b) After subtracting the amounts under paragraph 6(a), the remainder of the annual TAC will be allocated as follows:

	<i>If the remainder of the annual TAC is:</i>			
<i>CPC</i>	<2,413 t (A)	2,413 t (B)	>2,413-2,660 t (C)	>2,660 t (D)
United States	54.02%	1,303 t	1,303 t	49.00%
Canada	22.32%	539 t	539 t	20.24%
Japan	17.64%	426 t	426 t + all increase between 2,413 t and 2,660 t	24.74%
United Kingdom (in respect of Bermuda)	0.23%	5.5 t	5.5 t	0.23%
France (in respect of St. Pierre & Miquelon)	0.23%	5.5 t	5.5 t	0.23%
Mexico	5.56%	134 t	134 t	5.56%

- (c) Consistent with paragraphs 1, 3, and 6(b), the TACs for 2018, 2019, and 2020 result in the following CPC-specific quota allocations (not including by-catch allowances listed in 6(a)):

TAC for each of 2018, 2019, and 2020: 2,350 t

United States	1,247.86 t
Canada	515.59 t
Japan	407.48 t
United Kingdom (in respect of Bermuda)	5.31 t
France (in respect of St. Pierre & Miquelon)	5.31 t
Mexico	128.44 t

In no case shall the allocation to France (in respect of St. Pierre & Miquelon) and to the United Kingdom (in respect of Bermuda) be less than 4 t each in any single year unless the fishery is closed.

- (d) Depending on availability, Mexico can transfer up to 128.44 t of its adjusted quota in each of 2018, 2019, and 2020 to Canada to support cooperative research as specified in paragraph 20.
 - (e) Depending on availability, the United Kingdom (in respect of Bermuda) can transfer up to the amount of its adjusted quota in each of 2018, 2019, and 2020 to the United States to support cooperative research as specified in paragraph 20.

- (f) Depending on availability, France (in respect of St. Pierre & Miquelon) can transfer up to the amount of its adjusted quota in each of 2018, 2019, and 2020 to Canada to support cooperative research as specified in paragraph 20.
 - (g) CPCs planning to engage in the cooperative research activities specified in paragraphs 6(d), 6(e), and 6(f) above shall: notify the Commission and the SCRS of the details of their research programs to be undertaken before they commence, and present the results of the research to the SCRS.
7. A CPC's total quota shall include its allocations in paragraph 6, adjusted for underharvest or overharvest consistent with the remainder of this paragraph. Each year shall be considered as an independent management period for the remainder of this paragraph.
- (a) Any underharvest of a CPC's total quota in a given year may be carried forward to the next year. However, in no event shall the underharvest that is carried forward exceed 10% of the CPC's initial quota allocation under paragraph 6, with the exception of UK (in respect of Bermuda), France (in respect of St. Pierre and Miquelon), and Mexico (i.e., those with initial allocations of 130 t or less), for which the underharvest that is carried forward shall in no event exceed 100% of the initial allocation under paragraph 6 (i.e., the total quota for such CPC shall not exceed twice its annual quota in any given year).
 - (b) If, in the applicable management period, and each subsequent management period, any CPC has an overharvest of its total quota, its initial quota for the next subsequent management period will be reduced by 100% of the excess of such total quota, and ICCAT may authorize other appropriate actions.
 - (c) Notwithstanding paragraph 7(b), if a CPC has an overharvest of its total quota during any two consecutive management periods, the Commission will recommend appropriate measures, which may include, but are not limited to, reduction in the CPC's total quota equal to a minimum of 125% of the overharvest amount and, if necessary, trade restrictive measures. Any trade measures under this paragraph will be import restrictions on the subject species and consistent with each CPC's international obligations. The trade measures will be of such duration and under such conditions as the Commission may determine.

Minimum fish size requirements and protection of small fish

- 8. CPCs will prohibit the taking and landing of western Atlantic bluefin tuna weighing less than 30 kg or, in the alternative, having a fork length of less than 115 cm.
- 9. Notwithstanding the above measures, CPCs may grant tolerances to capture western Atlantic bluefin tuna either weighing less than 30 kg, or in the alternative, having a fork length of less than 115 cm, provided they limit the take of these fish to no more than 10% by weight of the total bluefin tuna quota for each CPC, and institute measures to deny economic gain to the fishermen from such fish. Any overharvest of such tolerance limit from one year must be subtracted from the tolerance limit applicable in the next year or the year after that. CPCs granting such a tolerance will prohibit the taking and landing of western Atlantic bluefin tuna having a fork length of less than 67 cm, except as the subject of a research project notified to the SCRS, developed taking into consideration the recommended research priorities of the SCRS, and conducted by individuals duly permitted by the CPC to undertake such research.
- 10. CPCs shall prohibit fishermen from selling or offering for sale recreationally harvested fish of any size.
- 11. CPCs will encourage their commercial and recreational fishermen to tag and release all fish less than 30 kg or, in the alternative, having a fork length less than 115 cm and report on steps taken in this regard in their Annual Report.

Area and time restrictions

- 12. There shall be no directed fishery on the bluefin tuna spawning stock in the western Atlantic spawning grounds (i.e., the Gulf of Mexico). In light of advice received from the SCRS pursuant to paragraph 23, the Commission shall consider revising this measure and the need for alternative management actions, taking into account the efforts of Mexico and other CPCs to conserve western Atlantic bluefin tuna, including reducing bycatch.

Transshipment

13. Transshipment at-sea shall be prohibited.

Development of Management Procedures/Management Strategy Evaluation (MSE)

14. Through the Standing Working Group on Dialogue between Fisheries Scientists and Managers (SWGSM) and Panel 2 dialogue process, management objectives and associated performance statistics that reflect the Convention objectives shall be developed for use in a MSE by the SCRS.
15. In 2018, the SCRS shall identify candidate harvest control rules (HCR) (including biomass and fishing mortality-based reference points), and initiate testing of the associated management procedures with respect to the management objectives identified pursuant to Paragraph 14. The results of these analyses shall be discussed intersessionally in 2018 and 2019 through the SWGSM and Panel 2, in order to identify the candidate management procedures for further analysis.
16. In 2019, the SCRS shall refine the MSE and continue testing the candidate management procedures. On this basis, in 2020, the Commission shall review the candidate management procedures and select one for adoption and implementation, including pre-agreed management actions to be taken under various stock conditions.

Scientific research and data and reporting requirements

17. In 2020, the SCRS will conduct a stock assessment for bluefin tuna for the western Atlantic stock and for the eastern Atlantic and Mediterranean stock and provide advice to the Commission on the appropriate management measures, approaches, and strategies, including, *inter alia*, regarding TAC levels for those stocks for future years.
18. By 2020, the SCRS shall provide the Commission with advice on any potential impacts due to uncertainties (including regarding the spawner-recruit relationship) of implementing an $F_{0.1}$ strategy, and, for any identified risks, advise how they could be addressed in future management decisions.
19. Canada, the United States, Japan, Mexico, and, as appropriate, other CPCs harvesting western Atlantic bluefin tuna shall continue to collaborate in the improvement of existing indices of abundance and the development of new combined indices.
20. CPCs that harvest Atlantic bluefin tuna should contribute to the research, including that being undertaken through ICCAT's GBYP. CPCs should make or continue special efforts to enhance the collection and analysis of biological samples from Atlantic bluefin tuna fisheries, such as through sample contributions to the coordinated sampling plan recommended by the SCRS. The SCRS will report to the Commission by 2020 on these efforts. In addition, it is important to continue to explore sampling and/or other approaches for enhancing, and where needed developing, accurate abundance indices for juvenile bluefin tuna. CPCs should also make special efforts to ensure complete and timely submission of any collected data to the SCRS.
21. All CPCs shall monitor and report on all sources of fishing mortality, including dead discards, and shall minimize dead discards to the extent practicable.
22. Each CPC shall ensure that its fishing vessels landing bluefin tuna are subject to a data recording system, in accordance with the *Recommendation by ICCAT Concerning the Recording of Catch by Fishing Vessels in the ICCAT Convention Area* (Rec. 03-13).
23. Further to Paragraph 12, the SCRS shall review any new available information related to the identification of specific spawning times and areas of bluefin tuna within the western Atlantic Ocean, including from those CPCs that harvest western Atlantic bluefin tuna, and advise the Commission on the results of this review for its consideration. Concerned CPCs are encouraged to work through the SCRS to develop advice for managing any identified times and specific areas under a precautionary approach. In addition, the SCRS shall advise on the efficacy of the Gulf of Mexico directed fishery restriction to reduce mortality of spawning age bluefin tuna.

24. Each CPC shall report its provisional monthly catches of bluefin tuna. This report shall be sent to the ICCAT Secretariat within 30 days of the end of the calendar month in which the catches were made.
25. The ICCAT Secretariat shall, within 10 days following the monthly deadline for receipt of the provisional catch statistics, collect the information received and circulate it to CPCs together with aggregated catch statistics.
26. All CPCs shall provide the best available data for the assessment of the stock by the SCRS, including information on the catches of the broadest range of all age classes encountered in their fisheries, consistent with minimum size restrictions.
27. SCRS should provide guidance on a range of fish size management measures for western Atlantic bluefin tuna and their impact on yield per recruit and spawner per recruit considerations. The SCRS should also comment on the effect of fish size management measures on their ability to monitor stock status.
28. This Recommendation replaces the *Recommendation by ICCAT Amending the Supplemental Recommendation by ICCAT Concerning the Western Atlantic Bluefin Tuna Rebuilding Program* (Rec. 16-08).

**RESOLUTION BY ICCAT ON DEVELOPMENT OF INITIAL MANAGEMENT
OBJECTIVES FOR EASTERN AND WESTERN BLUEFIN TUNA**

(Transmitted to Contracting Parties: 21 December 2018)

RECALLING that one of the main goals of the SCRS Science Strategic Plan 2015-2020 is to evaluate precautionary management reference points and robust harvest control rules (HCRs) through management strategy evaluations (MSE);

ANTICIPATING the transition to using management procedures, which the Commission has recommended for bluefin tuna and other priority stocks to manage fisheries more effectively in the face of identified uncertainties, consistent with the Convention and the *Recommendation by ICCAT on the Principles of Decision Making for ICCAT Conservation and Management Measures* (Rec. 11-13);

CONSIDERING that the Commission intends to complete an MSE for Atlantic bluefin tuna by 2020;

UNDERSTANDING that conceptual objectives are high-level aspirational objectives that verbalize a desired generic goal without including any specifics on a measurable target or timeframe for achievement, while operational objectives are more refined and more specific about measurable targets and the associated likelihood of achieving those targets over determined timeframes. Operational objectives are the key foundational component of any MSE;

SEEKING to advance the development of management procedures, as agreed by the Commission pursuant to the *Recommendation by ICCAT on the Development of Harvest Control Rules and of Management Strategy Evaluation* (Rec. 15-07);

NOTING ICCAT's need to commit to developing operational management objectives for bluefin tuna in 2019;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RESOLVES THAT:**

1. Management objectives should be established for Atlantic bluefin tuna. Operational objectives are to be based on the Convention's objective: to maintain populations at levels that will support maximum sustainable catch (usually referred to as MSY).
2. Panel 2 should undertake, preferably during a 2019 intersessional meeting of Panel 2, the development of initial operational management objectives for each stock of bluefin tuna. To facilitate this development, the following candidate management objectives should be considered:
 - a) Stock Status
 - a. The stock should have a greater than [__]% probability of occurring in the green quadrant of the Kobe matrix;
 - b) Safety
 - a. There should be a less than [__]% probability of the stock falling below B_{LIM} (to be defined);
 - c) Yield
 - a. Maximize overall catch levels; and
 - d) Stability
 - a. Any increase or decrease in TAC between management periods should be less than [__]%.

3. In developing initial operational management objectives, the candidate management objectives in paragraph 2 may be rejected, modified, or supplemented, as appropriate. Further, the Panel will need to consider the inclusion of timeframes. Additionally, the quantitative elements within each candidate management objective may be different between the western and eastern Atlantic bluefin tuna stocks.
4. Panel 2 will provide its recommendations for initial management objectives to the Bluefin Tuna MSE Technical Modelling Group and the SCRS Bluefin Tuna Species Group for review and consider any SCRS input before forwarding objectives to the Commission for consideration at its 2019 annual meeting.
5. This resolution will be repealed upon adoption of final operational management objectives for Atlantic bluefin tuna by the Commission.

**RECOMMENDATION BY ICCAT AMENDING THE RECOMMENDATION 18-02
ESTABLISHING A MULTI-ANNUAL MANAGEMENT PLAN FOR BLUEFIN TUNA IN THE EASTERN
ATLANTIC AND THE MEDITERRANEAN**

(Entered into force **20 June 2020**)

ACKNOWLEDGING that the Standing Committee on Research and Statistics (SCRS) noted in its 2017 advice that a Total Allowable Catch (TAC) could be set at 36,000 t to be reached in 2020 in a gradual stepwise way without undermining the success of the recovery plan;

ACKNOWLEDGING the advice from SCRS to consider moving from the current recovery plan to a management plan and that the current status of the stock no longer appears to require the emergency measures introduced under the Recovery Plan for bluefin tuna in the eastern Atlantic and Mediterranean (Recommendation 17-07 by ICCAT amending the Recommendation 14-04);

ACKNOWLEDGING paragraph 4 of Recommendation 17-07 which states that the Commission shall establish a management plan for the stock in 2018;

CONSIDERING that the SCRS is developing a management strategy evaluation (MSE) process, with the aim to evaluate different management procedures that are robust to the main sources of uncertainty and that MSE process is expected to deliver candidate management procedures in the short but not immediate term (e.g. by 2021-22), the selection of the desired management procedure by the Commission could also take some time. Therefore, it is proposed to have an interim management objective that can be revisited at the time the Commission adopts harvest control rules (HCR). In this context, on the basis of the latest stock assessment and on further management recommendations supported by a Management Strategy Evaluation exercise (MSE) and after the management procedure, including HCR have been defined by the SCRS, the Commission may decide as from 2020 on changes to the management framework for the eastern Atlantic and Mediterranean bluefin tuna, as advised by SCRS;

FURTHER ACKNOWLEDGING the impacts of the Recovery plan for bluefin tuna in the eastern Atlantic and the Mediterranean on the small-scale fleets, in particular with regards to the reduction of fishing capacity;

CONSIDERING the capability of the stock to respond to several consecutive years of low recruitment, it will be paramount to ensure that fishing capacity remains within sustainable limits and that the control of capacity remains effective;

TAKING INTO CONSIDERATION the importance of maintaining the scope and integrity of the control measures, and reinforcing traceability of the catches, in particular with regards to the transport of live fish and farming activities.

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

**Part I
General Provisions**

Objectives

1. The Contracting Parties and Cooperating non-Contracting Parties, Entities or Fishing Entities hereinafter referred to as CPCs, whose vessels have been actively fishing for bluefin tuna (*Thunnus thynnus*) in the eastern Atlantic and the Mediterranean shall implement a management plan for bluefin tuna in that geographic area starting in 2019 with the goal of maintaining the biomass around $B_{0.1}$, achieved by fishing at or less than $F_{0.1}$, which the SCRS considers to be reasonable proxy for F_{MSY} .

This objective shall be revisited and modified, if necessary, once Management Strategy Evaluation has made sufficient progress, when alternative management objectives can be considered, and Reference Points, Harvest Control Rules and/or Management procedures can be adopted.

2. When the SCRS stock evaluation indicates that the status and development of the stock (in terms of biomass and/or fishing mortality) is diverting from this objective, safeguards and review clauses as defined in the final provisions of this plan shall apply.

Definitions

3. For purposes of this Recommendation:

- a) “fishing vessel” means any powered vessel used for the purposes of the commercial exploitation of bluefin tuna resources, including catching vessels, fish processing vessels, support vessels, towing vessels, vessels engaged in transshipment and transport vessels equipped for the transportation of tuna products and auxiliary vessels, except container vessels.
- b) “catching vessel” means a vessel used for the purposes of the commercial capture of bluefin tuna resources.
- c) “processing vessel” means a vessel on board of which fisheries products are subject to one or more of the following operations, prior to their packaging: filleting or slicing, freezing and/or processing.
- d) “auxiliary vessel” means any vessel used to transport dead bluefin tuna (not processed) from a transport/farming cage, a purse seine vessel or a trap to a designated port and/or to a processing vessel.
- e) “towing vessel” means any vessel used for towing cages.
- f) “fishing actively” means, for any catching vessel, the fact that it targets bluefin tuna during a given fishing season.
- g) “joint fishing operation” (hereinafter referred to in the text as JFO) means any operation between two or more purse seine vessels where the catch of one purse seine vessel is attributed to one or more other purse seine vessels in accordance with a previously agreed allocation key.
- h) “transfer operations” means:
 - any transfer of live bluefin tuna from the catching vessel's net to the transport cage;
 - any transfer of live bluefin tuna from the transport cage to another transport cage;
 - any transfer of the cage with live bluefin tuna from a towing vessel to another towing vessel;
 - any transfer of live bluefin tuna from one farm to another, or between different cages in the same farm;
 - any transfer of live bluefin tuna from the trap to the transport cage independently of the presence of a towing vessel.
- i) “control transfer” means any additional transfer being implemented at the request of the fishing/farming operators or the control authorities for the purpose of verifying the number of fish being transferred.
- j) “trap” means fixed gear anchored to the bottom, usually containing a guide net that leads bluefin tuna into an enclosure or series of enclosures where it is kept prior to harvesting or farming.
- k) “trap CPC” means the CPC where a tuna trap is installed in the waters under its jurisdiction.
- l) “caging” means the relocation of live bluefin tuna from the transport cage or trap to the farming or fattening cages.
- m) “fattening” or “farming” means caging of bluefin tuna in farms and subsequent feeding aiming to fatten and increase their total biomass.
- n) “farm” means a marine area clearly defined by geographical coordinates, used for the fattening or farming of bluefin caught by traps and/or purse seine vessels. A farm could have several farming locations, all of them defined by geographical coordinates (with a clear definition of longitude and latitude for each one of the points of the polygon).

- o) "harvesting" means the killing of bluefin tuna in farms or traps.
- p) "transhipment" means the unloading of all or any of the fish on board a fishing vessel to another fishing vessel. However, unloading of dead bluefin tuna from the purse seine, the trap or the towing vessel to an auxiliary vessel shall not be considered as transhipment.
- q) "sport fishery" means non-commercial fisheries whose members adhere to a national sport organization or are issued with a national sport license.
- r) "recreational fishery" means non-commercial fisheries whose members do not adhere to a national sport organization or are not issued with a national sport license.
- s) "stereoscopic camera" means a camera with two or more lenses, with a separate image sensor or film frame for each lens, enabling the taking of three-dimensional images for the purpose of measuring the length of the fish and assisting in refining the number and weight of bluefin tuna.
- t) "control camera" means a stereoscopic camera and/or conventional video camera for the purpose of the controls foreseen in this Recommendation.
- u) "BCD or electronic BCD (eBCD)" means a bluefin catch document.
- v) "lengths of vessels" means overall lengths.
- w) "small-scale coastal vessel" is a catching vessel with at least three of the five following characteristics: a) length overall <12 m; b) the vessel is fishing exclusively inside the territorial waters of the flag CPC c) fishing trips have a duration of less than 24 hours d) the maximum crew number is established at four persons, or e) the vessel is fishing using techniques which are selective and have a reduced environmental impact.
- x) "control caging" means any additional caging being implemented at the request of the fishing/farming operators or the control authorities for the purpose of verifying the number and or the average weight of fish being caged.
- y) "farming CPC" means the CPC under whose jurisdiction the farm for bluefin tuna is located.

Part II Management measures

TAC and quotas and conditions associated with the allocation of quotas to CPCs

4. Each CPC shall take the necessary measures to ensure that the fishing effort of its catching vessels and its traps are commensurate with the bluefin tuna fishing opportunities available to that CPC in the eastern Atlantic and the Mediterranean, including by establishing individual quotas for its catching vessels over 24 m included in the list referred to in paragraph 49 a) of this Recommendation.
5. The total allowable catches (TACs), inclusive of dead discards, for the years 2019-2020 shall be set at: 32,240 t for 2019 and 36,000 t for 2020, in accordance with the following quotascheme:

<i>CPC</i>	<i>Quota 2019 (t)</i>	<i>Quota 2020 (t)</i>
Albania	156	170
Algeria	1,446	1,655
China	90	102
Egypt	266	330
European Union	17,623	19,460
Iceland*	147	180
Japan	2,544	2,819
Korea	184	200
Libya	2,060	2,255
Morocco	2,948	3,284
Norway	239	300
Syria	73	80
Tunisia	2,400	2,655
Turkey	1,880	2,305
Chinese Taipei	84	90
Subtotal	32,140	35,885
Unallocated Reserves	100	115
TOTAL	32,240	36,000

*Notwithstanding the provision of this Part, Iceland may catch beyond the quota amount each year by 25% while its total catch for 2018, 2019, and 2020 combined shall not exceed 411 t (84 t + 147 t + 180 t).

This table shall not be interpreted to have changed the allocation keys shown in Recommendation 14-04. The new keys shall be established in the future for consideration by the Commission.

Mauritania may catch up to 5 t for research in each year, if they respect the rules of reporting of catches defined in this Recommendation. The catch shall be deducted from the unallocated reserve.

Senegal may catch up to 5 t for research in each year, if they respect the rules of reporting of catches defined in this Recommendation. The catch shall be deducted from the unallocated reserve.

The TAC shall be reviewed annually on the advice of the SCRS.

Depending on availability, Chinese Taipei may transfer up to 50 t of its quota to Korea in 2019 and in 2020.

6. The flag CPC may require a catching vessel to proceed immediately to a port designated by it when the individual quota of the vessel is deemed to be exhausted.
7. Carry-over of any unused quota is not authorized. A CPC may request to transfer a maximum of 5% of its 2019 quota to 2020. The CPC shall include this request in its fishing/capacity plan for endorsement by the Commission.
8. Carry-over within a farm of non-harvested live bluefin tuna from a previous year's catch is not authorized unless a reinforced system of control is implemented and reported to the Secretariat as an integral part of the monitoring, control and inspection plan submitted under paragraph 14 of this Recommendation. Such reinforced system shall include at least the provisions defined in paragraphs 103 and 107. Further control measures will be examined at the intersessional Working Group meeting of Panel 2 referred to in paragraph 117.
9. Farming CPCs shall ensure that, prior to the start of a fishing season, a thorough assessment is made of any live bluefin tuna carried over after bulk-harvests in the farms under their jurisdiction. To this end, all carried-over live bluefin tuna from a catching year (i.e. fish that were not subject to bulk-harvest in the farms) shall be transferred to other cages using stereoscopic camera systems or alternative methods provided they guarantee the same level of precision and accuracy. Carry-over of bluefin tuna from years that were not subject to bulk-harvest shall be controlled annually by applying the same procedure to appropriate samples based on risk assessment.

Full traceability of carried-over fish shall be ensured at all times. The measures to ensure such traceability shall be fully documented.

10. The transfer of quota between CPCs shall be done only under authorization by the CPCs concerned. Those transfers accepted by the CPCs concerned shall be communicated to the Secretariat at least 48 hours before they enter into force.
11. No chartering operation for the bluefin tuna fishery is permitted.
12. If the catch of a CPC in any given year exceeds its allocation, the CPC shall pay back in the next subsequent management period in accordance with the provisions in paragraphs 2 and 3 of ICCAT Recommendation 96-14.
13. In line with the MSE Roadmap, the SCRS shall continue its MSE work, testing candidate management procedures, including harvest control rules (HCRs), which would support management objectives to be agreed by the Commission. Based on the SCRS inputs and advice, and a dialogue process between scientists and managers, the Commission shall endeavour in 2021 to adopt a management procedure for the stock of Atlantic bluefin in the eastern Atlantic and the Mediterranean, including pre-agreed management actions to be taken under various stock conditions.

Submission of annual fishing plans, fishing and farming capacity management and inspection plans and farming management plans

14. By 15 February each year, each CPC with an allocated eastern Atlantic and Mediterranean bluefin tuna quota shall submit to the Secretariat:
 - a) An annual fishing plan for the catching vessels and traps fishing bluefin tuna in the eastern Atlantic and the Mediterranean drawn up in accordance with paragraphs 16-17.
 - b) An annual fishing capacity management plan ensuring that the CPC authorized fishing capacity is commensurate with the allocated quota drawn up to include the information set forth in paragraphs 18-23.
 - c) A monitoring, control and inspection plan with a view to ensuring compliance with the provisions of this Recommendation.
 - d) An annual farming management plan as appropriate, that is in line with the requirements set out in paragraphs 24-27, including the authorized maximum input per farm and the maximum capacity per farm and the total amount of fish by farm carried over from the previous year, in accordance with paragraph 8.
15. For 2019 and 2020, prior to 31 March of each year and in line with paragraph 116 of this Recommendation, the Commission shall convene an intersessional meeting of Panel 2 to analyse and, as appropriate, endorse the plans referred to under paragraph 14. This obligation may be revised after 2020 to allow endorsement of the plans to be done by electronic means. If the Commission finds a serious fault in the plans submitted and cannot endorse these plans, the Commission shall decide on the automatic suspension of bluefin tuna fishing in that year by that CPC. Non-submission of the plan referred to above shall automatically lead to suspension of bluefin tuna fishing in that year.

Annual fishing plans

16. The annual fishing plan shall identify, *inter alia*, the quotas allocated to each gear group, when applicable, the method used to allocate and manage quotas as well as the measures to ensure the respect of the individual quotas, the open fishing seasons for each gear category and the rules on by-catch.
17. Any subsequent modification to the annual fishing plan shall be transmitted to the Secretariat at least one working day before the exercise of the activity corresponding to that modification. Notwithstanding this provision, quota transfers between different gear groups and transfers between by-catch quota and directed quotas from the same CPC shall be allowed, provided that information on the transfers is transmitted to the Secretariat at the latest when the transfer enters into force.

Capacity management measures

Fishing capacity

Adjustment of fishing capacity

18. Each CPC shall adjust its fishing capacity to ensure that it is commensurate with its allocated quota by using relevant yearly catch rates by fleet segment and gear proposed by the SCRS and adopted by the Commission in 2009. Those parameters should be reviewed by the SCRS no later than 2019 and each time that a stock assessment for eastern bluefin tuna is performed, including specific rates for gear type and fishing area.
19. For that purpose each CPC shall establish, when appropriate, an annual fishing capacity management plan to be analysed and, as appropriate, endorsed by Panel 2 intersessionally. Such plan shall adjust the number of catching vessels to demonstrate that the fishing capacity is commensurate with the fishing opportunities allocated to the catching vessels for the same quota period. Regarding small-scale coastal vessels, the minimum quota requirement of 5 t (catch rate defined by the SCRS in 2009) shall no longer be applicable and sectorial quotas may alternatively be applied to those vessels as follows:
 - a) If a CPC has small-scale coastal vessels authorised to fish for bluefin tuna, it shall allocate a specific sectorial quota for those vessels and indicate in its fishing, and monitoring, control and inspection plans which additional measures it will put in place to closely monitor the quota consumption of this fleet segment.
 - b) For the vessels from the archipelagos of Azores, Canary Islands and Madeira, a sectorial quota may be established for baitboats. Such sectorial quota and the additional conditions to monitor it shall be clearly defined in the fishing plan submitted pursuant to paragraph 14 above.
20. The adjustment of fishing capacity for purse-seine vessels shall be limited to a maximum variation of 20% compared to the baseline fishing capacity of 2018. When calculating the number of vessels using 20%, CPCs can eventually round up the figure to the next whole number.
21. For the period 2019-2020 CPCs may authorize a number of their traps engaged in the eastern Atlantic and Mediterranean bluefin tuna fishery which allows the full exploitation of their fishing opportunities.
22. The requirements for adjustments and for the number of traps defined in paragraphs 19, 20 and 21 shall not apply:
 - a) if developing CPCs can demonstrate that they need to develop their fishing capacity so as to fully use their quota, by using relevant yearly catch rates by fleet segment and gear proposed by the SCRS, and if such adjustments are included in their annual fishing plan in accordance to paragraph 14,
 - b) in the Northeast Atlantic, to those CPCs that are fishing mainly in their own economic zones (the Norwegian Economic Zone and the Icelandic Economic Zone).
23. By derogation to the provisions of paragraphs 18, 19 and 21, for 2019 and 2020, CPCs may decide to include in their annual fishing plans referred to in paragraph 16, a different number of traps and vessels to fully utilise their fishing opportunities. The calculations to establish such adjustments shall be made in accordance with the methodology approved at the 2009 annual meeting and with the conditions set in paragraph 19, except when the CPCs concerned fish mainly in the Northeast Atlantic in their own economic zones (the Norwegian Economic Zone and the Icelandic Economic Zone).

Farming capacity

24. Each farming CPC shall establish an annual farming management plan. Such plan shall demonstrate that the total input capacity and the total farming capacity is commensurate with the estimated amount of bluefin tuna available for farming including the information referred to in paragraphs 25 and 27. Revised farming management plans, if appropriate, shall be submitted to the Secretariat by 1 June each year. The Commission shall ensure that the total farming capacity in the eastern Atlantic and the Mediterranean is commensurate with the total amount of bluefin tuna available for farming in the area.
25. Each CPC shall limit its tuna farming capacity to the total farming capacity of the farms that were registered in the ICCAT list or authorized and declared to ICCAT in 2018.
26. Those developing CPCs without or with less than three tuna farms and that intend to establish new tuna farming facilities shall have the right to establish such facilities with a maximum total farming capacity of up to 1,800 t per CPC. To this end, they shall communicate to ICCAT by including those in their farming plan under paragraph 14 of this Recommendation. This clause should be reviewed as from 2020.
27. Each CPC shall establish an annual maximum input of wild caught bluefin tuna into its farms at the level of the input quantities registered with ICCAT by its farms in 2005, 2006, 2007 or 2008. If a CPC needs to increase the maximum input of wild caught tuna in one or several of its tuna farms, that increase shall be commensurate with the fishing opportunities allocated to that CPC, including live bluefin tuna imports.

Growth rates

28. The SCRS, on the basis of a standardized protocol to be established by the SCRS for the monitoring of recognizable individual fish, shall undertake trials to identify growth rates including in weight and size gains during the fattening period. Based on the result of the trials and other scientific information available, the SCRS shall review and update the growth table published in 2009, and the growth rates utilized for farming the fish referred to under paragraph 35 c, and present those results to the 2020 Annual meeting of the Commission. In updating the growth table, the SCRS should invite independent scientists who have appropriate expertise to review the analysis. The SCRS shall also consider the difference among geographic areas (including Atlantic and Mediterranean) in updating the table. Farm CPCs shall ensure that the scientists tasked by the SCRS for the trials can have access to and, as required by the protocol, assistance to carry out the trials. Farm CPCs shall endeavor to ensure that the growth rates derived from the eBCDs are coherent with the growth rates published by the SCRS. If significant discrepancies are found between the SCRS tables and growth rates observed, that information should be sent to the SCRS for analysis.

Part III

Technical measures

Open fishing seasons

29. Purse seine fishing for bluefin tuna shall be permitted in the eastern Atlantic and the Mediterranean during the period from 26 May to 1 July.

By way of derogation, the season in the eastern Mediterranean Sea (FAO fishing areas 37.3.1 Aegean; 37.3.2 Levant), may be open 15 May if a CPC requests it in its fishing plan.

By way of derogation, the season in the Adriatic Sea (FAO fishing area 37.2.1) may be open from 26 May until 15 July, for fish farmed in the Adriatic Sea.

By way of derogation the purse seine fishing season in the Norwegian Economic Zone and in the Icelandic Economic Zone shall be from 25 June to 15 November.

By way of derogation, the purse seine fishing season in the eastern Atlantic and Mediterranean fishing zones limited to the waters under the sovereignty or jurisdiction of the Kingdom of Morocco may be open from 1 May to 15 June if a CPC requests it in its fishing plan.

30. If weather conditions prevent fishing operations, CPCs may decide that the fishing seasons referred under paragraph 29 be expanded by an equivalent number of lost days up to 10 days.
31. Bluefin tuna fishing shall be permitted in the eastern Atlantic and the Mediterranean by large-scale pelagic longlines catching vessels over 24 m during the period from 1 January to 31 May with the exception of the area delimited by West of 10°W and North of 42°N, as well as in the Norwegian Economic Zone, where such fishing shall be permitted from 1 August to 31 January.
32. CPCs shall establish open fishing seasons for their fleets other than purse seine vessels and vessels referred to in paragraph 31, and shall provide this information in their fishing plan defined in paragraph 16 to be analysed and, as appropriate, endorsed by Panel 2 intersessionally.
33. Not later than 2020, the Commission shall decide to what extent the fishing seasons for different gear types and/or fishing areas might be extended and/or modified based on the SCRS advice without negatively influencing the stock development and by ensuring the stock is managed sustainably.

Minimum size

34. The minimum size for bluefin tuna caught in the eastern Atlantic and the Mediterranean shall be 30 kg or 115 cm fork length. Therefore, CPCs shall take the necessary measures to prohibit catching, retaining on board, transshipping, transferring, landing, transporting, storing, selling, displaying or offering for sale bluefin tuna weighing less than 30 kg or with fork length of less than 115 cm.
35. By derogation from paragraph 34, a minimum size for bluefin tuna of 8 kg or 75 cm fork length shall apply to the following situations (see **Annex 1**).
 - a) Bluefin tuna caught in the eastern Atlantic by baitboats and trolling boats;
 - b) Bluefin tuna caught in the Mediterranean by the small-scale coastal fleet fishery for fresh fish by baitboats, longliners and handliners;
 - c) Bluefin tuna caught in the Adriatic Sea for farming purposes.

Notwithstanding the above, for bluefin tuna caught in the Adriatic Sea by Croatian flag vessels for the purpose of farming, the relevant CPC may grant tolerances to capture bluefin tuna having a minimum weight of 6.4 kg or, in the alternative, having a minimum fork length of 66 cm, provided they limit the take of these fish to a maximum of 7% by weight of the total quantities of bluefin tuna caught by those Croatian vessels. In addition, for bluefin tuna caught by French baitboat vessels with an overall length of less than 17 m operating in the Bay of Biscay, CPCs may grant tolerances to capture up to a maximum of 100 t of bluefin tuna having a minimum weight of 6.4 kg or, in the alternative, having a minimum fork length of 70 cm.

36. CPCs concerned shall issue specific authorisations to vessels fishing under the derogations referred to in paragraph 35. In addition, fish below these minimum sizes that are discarded dead shall be counted against the CPC quota.

Incidental catches of fish below minimum size

37. For catching vessels fishing actively for bluefin tuna and tuna traps, CPCs may authorize an incidental catch of no more than 5% by number of bluefin tuna weighing between 8 kg and 30 kg or, in the alternative, with fork length between 75-115 cm.

This percentage shall be calculated in relation to the total catches in number of bluefin tuna retained on board a vessel at any time after each fishing operation in the above-mentioned weight or length categories.

General rules on by-catches

38. All CPCs shall allocate a specific quota for by-catch of bluefin tuna. The levels of authorized by-catches as well as the methodology to calculate those by-catches in relation with the total catches on board (in weight or number of specimens) shall be clearly defined in the annual fishing plans submitted to the Secretariat under paragraph 14 of this Recommendation and shall never exceed 20% of the total catches on board at the end of each fishing trip. Calculation in number of pieces shall only apply to tuna and tuna-like species managed by ICCAT. For the small-scale coastal vessel fleet the amount of by-catch can be calculated on an annual basis.

All by-catches of dead bluefin tuna, whether retained or discarded, shall be deducted from the quota of the flag CPC and reported to ICCAT. If by-catch of bluefin tuna occurs in waters under the fishery jurisdiction of CPCs whose current domestic legislation requires that all dead or dying fish must be landed, this landing obligation shall be complied with also by vessels flying foreign flags.

If no quota has been allocated to the CPC of the catching vessel or trap concerned or if it has already been consumed, the catching of bluefin tuna as by-catch is not permitted and CPCs shall take the necessary measures to ensure their release. If however, such bluefin tuna is dead it shall be landed, and the appropriate follow-up action taken in accordance with the national law. CPCs shall report information on such quantities on an annual basis to the Secretariat who shall make it available to the SCRS.

The procedures referred to in paragraphs 77 to 82 and 108 shall apply to by-catch.

For vessels not actively fishing for bluefin tuna, any quantity of bluefin tuna kept on board shall be clearly separated from other fish species to allow control authorities to monitor the respect of this rule. The procedures for non-authorized vessels with regard to the eBCD shall follow as laid down in the relevant provision of Recommendation 18-12.

Recreational fisheries and sport fisheries

39. When CPCs allocate, where appropriate, a specific quota to sport and recreational fisheries; that allocated quota should be set even if catch and release is compulsory for bluefin tuna caught in sport and recreational fisheries to account for possible dead fish. Each CPC shall regulate recreational and sport fisheries by issuing fishing authorizations to vessels for the purpose of sport and recreational fishing.
40. CPCs shall take the necessary measures to prohibit the catch and retention on board, transshipment or landing of more than one bluefin tuna per vessel per day for recreational fisheries.
- This prohibition does not apply to CPCs whose domestic legislation requires that all dead fish, including those caught by sport and recreational, shall be landed.
41. The marketing of bluefin tuna caught in recreational and sport fishing shall be prohibited.
42. Each CPC shall take measures to record catch data including weight of each bluefin tuna caught during sport and recreational fishing and communicate to the Secretariat the data for the preceding year by 31 July each year.
43. Dead catches from sport and recreational fisheries shall be counted against the quota allocated to the CPC in accordance with paragraph 5.
44. Each CPC shall take the necessary measures to ensure, to the greatest extent possible, the release of bluefin tuna, especially juveniles, caught alive, in the framework of recreational and sport fishing. Any bluefin tuna landed shall be whole, gilled and/or gutted.
45. Any CPC wishing to conduct a sport catch-and-release fishery in the North East Atlantic may allow a limited number of sport vessels to target bluefin tuna with the purpose of "tag and release" without the need to allocate them a specific quota. This applies to those vessels operating in the context of a scientific project of a research institute integrated in a scientific research program results of which shall be communicated to the SCRS. In this context the CPC shall have the obligation to: a) submit the

description and associated measures applicable to this fishery as integral part of their fishing and control plans as referred under paragraph 14 of this Recommendation: b) closely monitor the activities of the vessels concerned to ensure their compliance with the existing provisions of this Recommendation; c) ensure that the tagging and releasing operations are performed by trained personnel to ensure high survival of the specimens; and d) annually submit a report on the scientific activities conducted, at least 60 days before the SCRS meeting of the following year. Any bluefin tuna that die during tag and release activities shall be reported and deducted from the CPC's quota.

46. CPCs shall make available upon request from ICCAT the list of sport and recreational vessels which have received an authorization.
47. The format for such list referred to in paragraph 46 shall include the following information:
 - a) Name of vessel, register number
 - b) ICCAT Record Number (if any)
 - c) Previous name (if any)
 - d) Name and address of owner(s) and operator(s)

Part IV: Control measures

Section A - Records of vessels and traps

Use of aerial means

48. The use of any aerial means, including aircraft, helicopters or any types of unmanned aerial vehicles to search for bluefin tuna shall be prohibited.

ICCAT Record of vessels authorized to fish bluefin tuna

49. CPCs shall establish and maintain an ICCAT record of all fishing vessels authorized to operate for bluefin tuna in the eastern Atlantic and the Mediterranean. That record should consist of two lists:
 - a) all catching vessels authorized to fish actively for bluefin tuna in the eastern Atlantic and the Mediterranean.
 - b) all other fishing vessels used for the purposes of commercial exploitation of bluefin tuna resources other than catching vessels, authorized to operate for bluefin tuna in the eastern Atlantic and the Mediterranean.

For vessels with a LOA >24 m (independently of the gear used excluding bottom trawlers) and for purse seine vessels, CPCs shall indicate number of vessels to the Secretariat as part of their fishing plan defined in paragraph 14 of this Recommendation and ICCAT shall establish and maintain an ICCAT record of all vessels authorized to operate for bluefin tuna in the eastern Atlantic and the Mediterranean.

50. Each flag CPC shall submit electronically each year to the Secretariat: (i) at the latest 15 days before the beginning of the fishing activity the list of its catching vessels referred to in paragraph 49(a); and (ii) at the latest 15 days before the start of their operation the list of other fishing vessels referred to in paragraph 49(b). Submissions shall be undertaken in accordance with the format set out in the *Guidelines for Submitting Data and Information Required by ICCAT*.
51. No retroactive submissions shall be accepted. Subsequent changes shall only be accepted if the notified fishing vessel is prevented from participation due to legitimate operational reasons or *force majeure*. In such circumstances, the CPC concerned shall immediately inform the Secretariat, providing:

- a) full details of the fishing vessel(s) intended to replace a vessel or vessels, included on the record referred to in paragraph 49; CPCs with less than 5 vessels on either list referred to in paragraph 49, may replace a vessel with another vessel not previously included on the record, provided that the CPC concerned submitted to the Secretariat a request for an ICCAT number to be given to the vessel, and the requested number has been provided.
- b) a comprehensive account of the reasons justifying the replacement and any relevant supporting evidence or references.

The Secretariat will circulate such cases among CPCs. If any CPC notifies that the case is not sufficiently justified or incomplete it shall be brought to the Compliance Committee for further review and the case shall remain pending approval of the Compliance Committee.

- 52. Conditions and procedures referred to in the Recommendation by ICCAT Concerning the Establishment of an ICCAT Record of Vessels 20 Meters in Length Overall or Greater Authorized to operate in the Convention Area (Rec. 13-13) (except paragraph 3) shall apply *mutatis mutandis*.
- 53. Without prejudice to paragraph 38 for the purposes of this Recommendation, fishing vessels not entered into one of the ICCAT records referred to in paragraph 49 (a) and (b) are deemed not to be authorized to fish for, retain on board, tranship, transport, transfer, process or land eastern Atlantic and Mediterranean bluefin tuna. The prohibition against retention on board does not apply to CPCs whose domestic legislation requires that all dead fish must be landed, providing that the value of the catch is subject to confiscation.

Fishing authorizations for vessels and traps authorized to fish for bluefin tuna

- 54. CPCs shall issue special authorisations and/or national fishing licences to vessels and traps included in one of the lists described in paragraphs 45, 49 and 56. Fishing authorizations shall contain as a minimum the information set out in **Annex 12**. The Flag CPC shall ensure that the information contained in the fishing authorisation is accurate and consistent with the rules of ICCAT. The Flag CPC shall take the necessary enforcement measures in accordance with their legislation and may require the vessel to proceed immediately to a designated port when the individual quota is deemed to be exhausted.

ICCAT record of tuna traps authorized to fish for bluefin tuna

- 55. The Commission shall establish and maintain an ICCAT Record of all tuna traps authorized to fish for bluefin tuna in the eastern Atlantic and the Mediterranean. For the purposes of this Recommendation, tuna traps not entered into the record are deemed not to be authorized to be used to fish for, retain, and participate in any operation to catch, transfer, harvest or land bluefin tuna.
- 56. Each CPC shall submit electronically to the Secretariat, as part of their fishing plan defined in paragraphs 16 to 17, the list (including the name of the traps, register number) of its authorized tuna traps referred to in paragraph 54.

Conditions and procedures referred in Recommendation 13-13 (except paragraph 3) shall apply *mutatis mutandis*.

Information on fishing activities

- 57. By 31 July each year, or within 7 months of the completion of the fishing season for those CPCs that end their fishing campaign in July, each CPC shall notify the Secretariat detailed information on bluefin tuna catches in the eastern Atlantic and the Mediterranean in the preceding quota allocation period. This information should include:
 - a) the name and ICCAT number of each catching vessel;
 - b) the period of authorisation(s) for each catching vessel;

- c) the total catches of each catching vessel including nil returns throughout the period of authorisation(s);
- d) the total number of days each catching vessel fished in the eastern Atlantic and the Mediterranean throughout the period of authorisation(s); and
- e) the total catch outside their period of authorisation (by-catch).

For all vessels that were not authorised to fish actively for bluefin tuna in the eastern Atlantic and the Mediterranean but that caught bluefin tuna as by-catch, the following information shall be provided to the Secretariat:

- a) the name and ICCAT number or national registry number of the vessel, if not registered with ICCAT;
 - b) the total catches of bluefin tuna.
58. Each CPC shall notify the Secretariat of any information concerning vessels not covered in paragraph 57 but known or presumed to have fished for bluefin tuna in the eastern Atlantic and the Mediterranean. The Secretariat shall forward such information without delay to the flag CPC for appropriate action, with a copy to other CPCs for information.

Joint fishing operations

59. Any joint fishing operation for bluefin tuna shall only be authorized with the consent of the CPCs concerned. To be authorised, each purse seine vessel shall be equipped to fish for bluefin tuna, to have a specific individual quota allocation, and to operate in accordance with the requirements defined in 60 and 62. The quota allocated to a given JFO, shall be equal to the total of all the quotas allocated to purse seine vessels participating in the concerned JFO. Furthermore, the duration of the JFO shall not be longer than the duration of the fishing season for purse seine vessels, as referred to under paragraph 29 of this Recommendation.
60. At the moment of the application for the authorization, following the format set in **Annex 5**, each CPC shall take the necessary measures to obtain from its purse seine vessel(s) participating in the joint fishing operation the following information:
- the period of authorization of the JFO,
 - the identity of the operators involved,
 - the individual vessels' quotas,
 - the allocation key between the vessels for the catches involved, and
 - information on the farms of destination.

Each CPC shall transmit all the information referred above to the Secretariat at least five working days before the start of the purse seine vessels fishing season as defined in paragraph 29.

In the case of *force majeure*, the deadline set out in this paragraph shall not apply regarding the information on the farms of destination. In such cases, CPCs shall provide the Secretariat with an update of that information as soon as possible, together with a description of the events constituting *force majeure*. The Secretariat shall compile the information referred under this paragraph provided by CPCs for the review by the Compliance Committee.

61. The Commission shall establish and maintain an ICCAT record of all joint fishing operations authorized by the CPCs in the eastern Atlantic and the Mediterranean.
62. No JFOs between purse seine vessels from different CPCs shall be permitted. However, a CPC with less than five authorized purse seine vessels may authorize joint fishing operations with any other CPC. Each CPC conducting a JFO shall be responsible and accountable for the catches made under this JFO.

Part IV: Control measures

Section B - Catches and transshipments

Recording requirements

63. The masters of catching vessels shall maintain a bound or electronic fishing logbook of their operations in accordance with the requirements set out in Section A of **Annex 2**.
64. The masters of towing vessels, auxiliary vessels and processing vessels shall record their activities in accordance with the requirements set out in Sections B, C and D of **Annex 2**.

Catch reports sent by masters and trap operators

65. Each CPC shall ensure that its catching vessels fishing actively for bluefin tuna shall communicate to their authorities during the whole period in which they are authorized to fish bluefin tuna by electronic or any other effective means daily information from logbooks, including the date, time, location (latitude and longitude) the weight and number of bluefin tuna caught in the area covered by this plan, including releases and discards of dead fish under the minimum size referred to in paragraph 34. Masters shall send that information in the format set out in **Annex 2** or through the CPCs reporting requirement.
66. Masters of purse seine vessels shall produce reports referred to in paragraph 65 on a fishing operation by fishing operation basis, including operations where the catch was zero. The reports shall be transmitted by the operator to its flag CPC authorities by 9.00 GMT for the preceding day.
67. Trap operators or their authorised representatives fishing actively for bluefin tuna shall send electronically a daily catch report, including the ICCAT register number, date, time, catches (weight and number of fish), including zero catches. They shall send that information within 48 hours electronically in the format set out in **Annex 2** to their flag CPC authorities during the whole period they are authorised to fish bluefin tuna.
68. For catching vessels other than purse seine vessels and traps, masters shall transmit to their control authorities, reports referred to in paragraph 65 by the latest Tuesday noon for the preceding week ending Sunday.

Designated ports

69. Each CPC who has been allocated a bluefin tuna quota shall designate ports where landing or transshipping operations of bluefin tuna are authorized. This list shall be communicated each year to the Secretariat as part of the annual fishing plan communicated by each CPC. Any amendment shall be communicated to the Secretariat. Other CPCs may designate ports in which landing or transshipping operations of bluefin tuna is authorised and communicate a list of these ports to the Secretariat.
70. For a port to be determined as a designated port, the port State shall ensure that the following conditions are met:
 - a) established landing and transshipment times;
 - b) established landing and transshipment places; and
 - c) established inspection and surveillance procedures ensuring inspection coverage during all landing and transshipment times and at all landing and transshipment places in accordance with paragraph 73.
71. It shall be prohibited to land or tranship from catching vessels as well as processing vessels and auxiliary vessels any quantity of bluefin tuna fished in the eastern Atlantic and the Mediterranean at any place other than ports designated by CPCs in accordance with paragraphs 69 to 70. However, exceptionally, the transport of dead bluefin tuna, harvested from a trap/cage, to a processing vessel using an auxiliary vessel, is not prohibited.

72. On the basis of the information received by CPCs under paragraph 69 the Secretariat shall maintain a list of designated ports on the ICCAT website.

Prior notification of landings

73. Prior to entry into any port, masters of catching vessels as well as processing vessels and auxiliary vessels or their representative shall provide the relevant authorities of the port, at least 4 hours before the estimated time of arrival, with the following:

- a) estimated time of arrival;
- b) estimate of quantity of bluefin tuna retained on board;
- c) the information on the geographic area where the catch was taken.

If the fishing grounds are less than four hours from the port of arrival, the estimated quantities of bluefin tuna retained on board may be modified at any time prior to arrival.

CPCs may decide to apply these provisions only for catches equal or superior to three fish or one ton. They should provide this information in their monitoring control and inspection plan referred to in paragraph 14.

Port State authorities shall keep a record of all prior notices for the current year.

All landings and harvest operations shall be controlled by the relevant control authorities and a percentage shall be inspected based on a risk assessment system involving quota, fleet size and fishing effort. Full details of this control system adopted by each CPC including the target percentage of landings to be inspected shall be detailed in their annual inspection plan referred to in paragraph 14 of this Recommendation.

After each trip, Masters of catching vessels shall submit within 48 hours a landing declaration to the competent authorities of the CPC where the landing takes place and to its flag CPC. The master of the authorized catching vessel shall be responsible and certify its completeness and accuracy of the declaration, which shall indicate, as a minimum requirement, the quantities of bluefin tuna landed and the area where they were caught. All landed catches shall be weighed and not only estimated. The relevant authority shall send a record of the landing to the flag CPC authority of the catching vessel, within 48 hours after the landing has ended.

Reporting of catches from CPCs to the Secretariat

74. CPCs shall send weekly catch reports by gear to the Secretariat. In the case of purse seine vessels and traps, the reports shall be as defined in paragraphs 65, 66 and 67. Total reported catches will be published by the Secretariat on a password protected area of the ICCAT web site during the second week of each month.
75. CPCs shall report to the Secretariat the dates when their entire quota of bluefin tuna has been utilized. The Secretariat shall promptly circulate this information to all CPCs.

Cross check

76. CPCs shall verify inspection reports and observer reports, VMS data, and where appropriate eBCDs, as well as the timely submission of logbooks and required information recorded in the logbooks of their fishing vessels, in the transfer/transshipment document and in the catch documents.

The competent authorities shall carry out cross checks by species on all landings, transshipment, transfers and caging between the quantities recorded in the fishing vessel logbook or in the transshipment declaration and the quantities recorded in the landing declaration or caging declaration, and any other relevant documentation, such as invoice and/or sales notes.

Transshipment

77. Transshipment operations of bluefin tuna in the eastern Atlantic and the Mediterranean shall be allowed only at designated ports defined and conditioned in paragraphs 69 to 72.
78. Prior to entry into any port, the receiving fishing vessel, or its representative, shall provide the relevant authorities of the port State at least 72 h before the estimated time of arrival, with the information listed in **Annex 3**, according to the port state's domestic law. Any transshipment requires the prior authorization from the flag CPC of the transshipping fishing vessel concerned. Furthermore, the master of the transshipping fishing vessel shall, at the time of the transshipment, inform its flag CPC of the data required in **Annex 3**.
79. The relevant authority of the port State shall inspect the receiving vessel on arrival and check the cargo and documentation related to the transshipment operation.
80. The masters of fishing vessels shall complete and transmit to their flag CPC the ICCAT transshipment declaration no later than 15 days after the date of transshipment in port as per Recommendation 16-15. The masters of the transshipping fishing vessels shall complete the ICCAT transshipment declaration in accordance with the format set out in **Annex 3**. The transshipment declaration shall be linked with the eBCD to facilitate cross-checking of data contained thereof.
81. The relevant authority of the port State shall send a record of the transshipment to the flag CPC authority of the transshipping fishing vessel, within 5 days after the transshipment has ended.
82. All transshipments shall be inspected by the relevant authorities of the designated port CPC authorities.

Part IV: Control measures

Section C - Observer programmes

CPC Observer Programme

83. Each CPC shall ensure coverage by observers, issued with an official identification document, on vessels and traps active in the bluefin tuna fishery on at least:

- 20% of its active pelagic trawlers (over 15 m),
- 20% of its active longline vessels (over 15 m),
- 20% of its active baitboats (over 15 m),
- 100% of towing vessels,
- 100% of harvesting operations from traps.

CPCs with less than five catching vessels of the first three segments defined above authorized to fish actively for bluefin tuna shall ensure coverage by observers 20% of the time the vessels are active in the bluefin tuna fishery.

The observer tasks shall be, in particular, to:

- a) monitor fishing vessels and traps compliance with this Recommendation,
- b) record and report upon the fishing activity, which shall include, *inter alia*, the following:
 - amount of catch (including by-catch), that also includes species disposition, such as retained on board or discarded dead or alive,
 - area of catch by latitude and longitude,

- measure of effort (e.g., number of sets, number of hooks, etc.), as defined in the ICCAT Manual for different gears,
 - date of catch.
- c) observe and estimate catches and verify entries made in the logbook,
- d) sight and record vessels that may be fishing contrary to ICCAT conservation measures.

In addition, the observer shall carry out scientific work, such as collecting all the necessary data required by the Commission, based on the instructions from the SCRS.

In implementing this observer requirement, CPCs shall:

- a) ensure representative temporal and spatial coverage to ensure that the Commission receives adequate and appropriate data and information on catch, effort, and other scientific and management aspects, taking into account characteristics of the fleets and fisheries;
- b) ensure robust data collection protocols;
- c) ensure observers are properly trained and approved before deployment;
- d) ensure, to the extent practicable, minimal disruption to the operations of vessels and traps fishing in the Convention area.

Data and information collected under each CPC's observer programme shall be provided to the SCRS and the Commission, as appropriate, in accordance with requirements and procedures to be developed by the Commission by 2019 taking into account CPC confidentiality requirements.

For the scientific aspect of the programme, the SCRS shall report on the coverage level achieved by each CPC, and provide a summary of the data collected and any relevant findings associated with that data. The SCRS shall also provide any recommendations to improve the effectiveness of CPCs observer programmes.

ICCAT regional Observer Programme

84. An ICCAT regional Observer Programme shall be implemented to ensure observer coverage of 100%:

- on all purse seine vessels authorised to fish bluefin tuna;
- during all transfers of bluefin tuna from purse seine vessels;
- during all transfers of bluefin tuna from traps to transport cages;
- during all transfers from one farm to another;
- during all cagings of bluefin tuna in farms;
- during all harvesting of bluefin tuna from farms; and
- during the release of bluefin tuna from farming cages into the sea.

Purse seine vessels without an ICCAT regional observer shall not be authorized to fish or to operate in the bluefin tuna fishery.

ICCAT regional observers should not be of the same nationality as the catching vessel/tugboat/trap or farm for which their services are required. In addition, to the extent possible, the Secretariat shall ensure that regional observers deployed have a satisfactory knowledge of the language of the flag CPC of the vessel or the farming CPC or the trap CPC¹.

One ICCAT regional observer shall be assigned to each farm for the whole period of caging operations. In cases of *force majeure*, and following confirmation by the farming CPC authorities, an ICCAT regional observer could be shared by more than one farm to guarantee the continuity of farming operations. However, the farming CPC authorities shall immediately request the deployment of an additional regional observer.

85. The ICCAT regional observer tasks shall be, in particular, to:

- observe and monitor fishing and farming operations in compliance with the relevant ICCAT conservation and management measures, including access to stereoscopic camera footage at the time of caging that enables the measuring of length and estimating the corresponding weight;
- sign the ICCAT transfer declarations and eBCDs when he/she is in agreement that the information contained within them is consistent with his/her observations. If he/she is not in agreement he/she should indicate his/her presence on the transfer declarations and eBCDs and the reasons of disagreement quoting specifically the rule(s) or procedure(s) that has not been respected, where applicable;
- carry out such scientific work, for example collecting samples, as required by the Commission based on the directions from the SCRS.

Part IV: Control measures

Section D - Live fish transfers

Transfer authorisation

86. Before any transfer operation, the master of the catching or towing vessel or its representatives or the representative of the farm or trap, where the transfer in question originates, as appropriate, shall send to its flag CPC or farming CPC authorities before the transfer, a prior transfer notification indicating:

- name of the catching vessel or farm or trap and ICCAT number record,
- estimated time of transfer,
- estimated quantity of bluefin tuna to be transferred,
- information on the position (latitude/longitude) where the transfer will take place and identifiable cage numbers,
- name of the towing vessel, number of cages towed and ICCAT number record where appropriate,
- port, farm, cage destination of the bluefin tuna.

For this purpose, CPCs shall assign a unique number to each transport cage. If several transport cages need to be used when transferring a catch corresponding to one fishing operation, only one transfer declaration is required, but the numbers of each transport cage used need to be recorded in the transfer declaration, clearly indicating the bluefin tuna quantity transported in each cage.

¹ The PA2 Intersessional Meeting in March 2019 agreed that: (i) the priority should be given to the difference in nationality first and language skill as a second requirement; and (ii) if it is not possible to find foreign observers with proper language skills, observers of the same nationality may be allowed. These agreements should be also respected when looking at para 5 and 6 in **Annex 6**.

Cage numbers shall be issued with a unique numbering system that includes at least the three letter CPC code followed by three numbers.

Unique cage numbers shall be permanent and not transferable (i.e. numbers cannot be changed from one cage to another).

87. The flag CPC shall assign and communicate to the master of the fishing vessel, or trap or farm as appropriate, an authorization number for each transfer operation. The transfer operation shall not begin without the prior authorization issued in accordance with a unique numbering system that includes the 3 letter CPC code, 4 numbers showing the year and 3 letters that indicate either positive authorization (AUT) or negative authorization (NEG) followed by sequential numbers, by the flag CPC authorities of the catching vessel or the towing vessel, the farming CPC authorities or the trap CPC authorities. Information regarding dead fish shall be recorded in accordance with the procedures set out in **Annex 11**.

The transfer shall be authorized or not authorized by the flag CPC of the catching vessel, the farming CPC or the trap CPC as appropriate within 48 hours following the submission of the prior transfer notification.

Refusal of transfer authorisation and release of bluefin tuna

88. If the flag CPC of the catching vessel or the towing vessel, the farming CPC, or the trap CPC considers on receipt of the prior transfer notification that:
- a) the catching vessel or the trap declared to have caught the fish does not have sufficient quota,
 - b) the quantity of fish has not been duly reported by the catching vessel or trap, or had not been authorized to be caged and therefore not taken into account for the consumption of the quota that may be applicable,
 - c) the catching vessel declared to have caught the fish does not have a valid authorisation to fish for bluefin tuna issued in accordance with paragraph 54 of this Recommendation, or
 - d) the towing vessel declared to receive the transfer of fish is not registered in the ICCAT record of all other fishing vessels referred to in paragraph 49.b) or is not equipped with a fully functioning Vessel Monitoring System (VMS) and/or, any other VMS equivalent tracking device,

it shall not authorize the transfer.

In case the transfer is not authorized, the flag CPC of the catching vessel or the trap CPC shall immediately issue a release order to the master of the catching vessel or trap or farm as appropriate to inform them that the transfer is not authorized and to proceed to release the fish into the sea in accordance with **Annex 10** of this Recommendation.

In the event of a technical failure of its VMS during the transport to the farm, the towing vessel shall be replaced by another towing vessel with a fully functioning VMS or a new operative VMS system shall be installed on board or used if already installed, as soon as feasible and not later than 72 hours, except in case of *force majeure* or legitimate operational constraints that should be communicated to the Secretariat. In the meantime, the master or his representative shall, starting from the time that the event was detected and/or informed, communicate to the control authorities of the Flag CPC every 4 hours the up-to-date geographical coordinates of the fishing vessel by appropriate telecommunication means.

Transfer declaration

89. The masters of catching or towing vessels or the representative of the farm or trap shall complete and transmit to their flag CPC, farming CPC or trap CPC, as appropriate, the ICCAT transfer declaration at the end of the transfer operation in accordance with the format set out in **Annex 4**.

- a) The transfer declaration forms shall be numbered by the flag CPC authorities of the vessel, the farming CPC authorities or the trap CPC authorities from where this transfer originates. The numbering system shall include the 3 letters CPC code, followed by 4 numbers showing the year and 3 sequential numbers followed by the 3 letters ITD (CPC- 20**/xxx/ITD).
 - b) The original transfer declaration shall accompany the transfer of fish. A copy of the declaration must be kept by the catching vessel or trap and towing vessel.
 - c) Masters of vessels carrying out transfer operations shall report their activities in accordance with the requirements set out in **Annex 2**.
90. The authorization for transfer by the flag CPC does not prejudice the confirmation of the caging operation.

Monitoring by video camera of a transfer

91. For transfers of live bluefin tuna the master of the catching vessel or the representative of the farm or trap, where appropriate, shall ensure that the transfer activities shall be monitored by video camera in the water with a view to verify the number of fish being transferred. The minimum standards and procedures for the video recording shall be in accordance with **Annex 8**.

The CPCs shall provide copies of video records to the SCRS upon request. The SCRS shall keep confidentiality of commercial activities.

Verification by ICCAT regional observers and launching and conduct of investigation

92. The ICCAT regional Observer on board the catching vessel or trap, as referred to in the ICCAT regional Observer Programme (**Annex 6**) and paragraphs 84 and 85, shall record and report upon the transfer activities carried out, observe and estimate catches transferred and verify entries made in the prior transfer authorization as referred to in paragraph 86 and in the ICCAT transfer declaration as referred to in paragraph 89.

In cases where there is more than a 10% difference in number between the estimates made by either the regional observer, relevant control authorities and/or the master of the catching vessel, or representative of the trap, an investigation shall be initiated by the flag CPC of the catching vessel, the farming CPC or the trap CPC and concluded prior to the time of caging at the farm or in any case within 96 hours of it being initiated, except in cases of *force majeure*. Pending the results of this investigation, caging shall not be authorized and the relevant section of the eBCD shall not be validated.

However, in cases when the video record is of insufficient quality or clarity to make such estimations, the operator may request to the flag authorities of the vessel or trap to conduct a control transfer operation and to provide the corresponding video record to the regional observer. If that voluntary control transfer is not performed with satisfactory results, the flag CPC of the catching vessel or the trap CPC shall initiate an investigation. If after that investigation, it is confirmed that the quality of the video does not permit estimation of the quantities involved in the transfer/caging, the enforcement authorities of the flag CPC of the catching vessel or the trap CPC shall order another control transfer operation and provide the corresponding video record to the regional Observer. New transfers shall be conducted as control transfer(s)/control caging(s) until the quality of the video record allows estimation of the quantities transferred.

93. Without prejudice to the verifications conducted by inspectors, the ICCAT regional Observer shall sign with clearly written name and ICCAT number the ICCAT transfer declaration only when his/her observations are in accordance with ICCAT conservation and management measures and that the information contained within it is consistent with his/her observations, including a compliant video record as per the requirements in paragraph 92. He/she shall also verify that the ICCAT transfer declaration is transmitted to the master of the tug vessel or farm/trap representative, where and as applicable. If he/she is not in agreement he/she should indicate his/her presence on the transfer declarations and eBCDs and the reasons for disagreement, quoting specifically the rule(s) or procedure(s) that has not been respected, where applicable.

Operators shall complete and transmit to their CPC the ICCAT transfer declaration at the end of the transfer operation to their respective competent authorities, in accordance with the format set out in **Annex 4**.

Caging operations

Caging authorisations and possible refusal of an authorization

94. Prior to the start of caging operations for each transport cage, the anchoring of transport cages within 0.5 nautical miles of farming facilities, shall be prohibited. To this end, geographical coordinates corresponding to the polygon where the farm is placed need to be available in the farming management plans transmitted to ICCAT under paragraph 24 of this Recommendation.
95. Before any caging operation into a farm, the flag CPC of the catching vessel or the trap CPC shall be informed by the competent authority of the farming CPC of the caging of quantities caught by its catching vessels or traps.

If the flag CPC of the catching vessel or the trap CPC considers on receipt of this information that:

- a) the catching vessel or trap declared to have caught the fish had insufficient quota for bluefin tuna put into the cage,
- b) the quantity of fish has not been duly reported by the catching vessel or trap and not taken into account for the calculation of any quota that may be applicable,
- c) the catching vessel or trap declared to have caught the fish does not have a valid authorisation to fish for bluefin tuna, issued in accordance with paragraph 54 of this Recommendation,

it shall inform the competent authority of the farming CPC to proceed to the seizure of the catches and the release of the fish into the sea according to the procedures described in paragraph 88 and **Annex 10**.

The caging shall not begin without the prior confirmation, within 24 hours/1 working day of the request, of the flag CPC authorities of the catching vessels, the trap CPC authorities, or of the farming CPC authorities if agreed with the flag CPC authorities of the catching vessel or the trap CPC authorities. If no response is received within 24 hours/1 working day from the flag CPC authorities of the catching vessel or the trap CPC authorities, the farming CPC authorities may authorize the caging operation. This does not prejudice the sovereign rights of the farming CPC.

Fish shall be caged before 22 August of each year unless the farming CPC receiving the fish provides valid reasons including *force majeure*, which shall accompany the caging report when submitted. In any case the fish shall not be caged after 7 September.

Bluefin tuna catch documentation

96. The farming CPC shall prohibit placing bluefin tuna in cages for farming that are not accompanied by the documents required by ICCAT as confirmed and validated by the catching vessel or trap CPC authorities.

Monitoring by video camera

97. The farming CPC shall ensure that transfer activities from cages to the farm shall be monitored by their enforcement authorities by video camera in the water.

One video record shall be produced for each caging operation in accordance with the procedures in **Annex 8**.

Launching and conduct of investigations

98. In cases where there is more than a 10% difference in number between the estimates made by either the regional observer, relevant control authorities and/or the farm operator, an investigation shall be initiated by the farming CPC in cooperation with the flag CPC of the catching vessel and/or the trap CPC where appropriate. The flag CPC of the catching vessel and/or the trap CPC and the farming CPC undertaking the investigations may use other information at their disposal, including the results of the caging programmes referred to under paragraph 99 which use stereoscopic cameras systems or alternative methods provided they guarantee the same level of precision and accuracy.

Measures and programmes to estimate the number and weight of bluefin tuna to be caged

99. A programme using stereoscopic cameras systems or alternative methods that guarantee the same level of precision and accuracy shall cover 100% of all caging operations, in order to refine the number and weight of the fish. This programme using stereoscopic cameras shall be conducted in accordance with the procedures set out in **Annex 9**. In case of the use of alternative methods, those methods should be duly analysed by the SCRS, who should present its conclusions regarding their precision and accuracy for endorsement by the Commission during its Annual meeting before an alternative methodology can be considered valid for the purpose of monitoring the caging operations.

The farming CPC shall communicate the results of this programme to the flag CPC of the catching vessel and/or the trap CPC, and, to the ROP consortium. When these results indicate that the quantities of bluefin tuna being caged differ from the quantities reported caught and/or transferred, an investigation shall be launched by the flag CPC of the catching vessel and/or the trap CPC. If the investigation is not concluded within 10 working days from the communication of the assessment of the video from the stereoscopic camera or alternative techniques conducted in accordance with the procedures laid down in **Annex 9**, for a single caging operation or complete assessment of all caging operations from a JFO, or if the outcome of the investigation indicates that the number and/or average weight of bluefin tuna is in excess of that declared caught and transferred, the flag CPC authorities of the catching vessel and/or the trap CPC authorities shall issue a release order for the excess which must be released in accordance with the procedures laid down in paragraph 88 and **Annex 10** and in the presence of enforcement authorities.

The quantities derived in the programme shall be used to decide if releases are required and the caging declarations and relevant sections of the eBCD shall be completed accordingly. When a release order has been issued, the farm operator shall request the presence of a national enforcement authority and an ICCAT regional observer to monitor the release.

The results of this programme shall be submitted by 15 September annually to the SCRS by all farming CPCs. The SCRS should evaluate such procedures and results and report to the Commission by the Annual meeting.

100. The transfer of live bluefin tuna from one farming cage to another farming cage shall not take place without the authorization and the presence of the farming CPC authorities. Each transfer shall be recorded to control the number of specimens. National enforcement authorities shall monitor and control those transfers, including ensuring that each intra-farm transfer is recorded in the e-BCD system.
101. A difference greater than or equal to 10% between the quantities of bluefin tuna reported caught by the vessel/trap and the quantities established by the control camera at the moment of caging shall constitute a Potential Non-Compliance of the vessel/trap concerned and shall therefore be duly investigated.

Caging report

102. In addition to the caging declaration referred to in paragraph 2(b) of Rec. 06-07, the farming CPC shall submit within one week of the completion of the caging operation (a caging operation is not complete until a potential investigation and release are also completed) a caging report to the CPC whose flag vessels has fished the tuna and to the Secretariat.

When the farming facilities authorized to operate for farming of bluefin tuna caught in the Convention area (hereafter referred to as FFBs) are located beyond waters under jurisdiction of CPCs, the provisions of the previous sentence shall apply, *mutatis mutandis*, to CPCs where the natural or legal persons responsible for FFBs are located.

Intra-farm transfers and random controls

103. A traceability system in farms shall be required including the video-recording of internal transfers. On the basis of a risk analysis, random control measures shall be undertaken by the farming CPC authorities on bluefin tuna in farm cages between the time of completion of caging operations and the first caging of the following year. Each CPC shall fix a minimum percentage of fish to be controlled, which shall be reflected in its control plan referred to under paragraph 14 of this Recommendation. The results of those checks shall be communicated to ICCAT in April of the year following the corresponding quota period.

Access to and requirements for video records

104. Each CPC shall take the necessary measures to ensure that the video records as referred to in paragraphs 97 and 99 are made available to the national inspectors, as well as ICCAT inspectors and ICCAT regional and CPC observers at request.

Each CPC shall establish the necessary measures to avoid any replacement, edition or manipulation of the original video records.

Part IV: Control measures

Section E – Tracking of fishing activities

VMS

105. CPCs shall implement a vessel monitoring system for their fishing vessels with a length equal to or greater than 15m, in accordance with the *Recommendation by ICCAT Concerning Minimum Standards for Vessel Monitoring Systems in the ICCAT Convention Area* (Rec.18-10).

The Secretariat shall make available without delay the information received under this paragraph to CPCs with an active inspection presence in the eastern Atlantic and the Mediterranean and to the SCRS, at its request.

On request from CPCs engaged in inspection at sea operations in the Convention area in accordance with the ICCAT Scheme of Joint International Inspection referred to in paragraphs 109 to 112 of this Recommendation, the Secretariat shall make available the messages received from all fishing vessels under paragraph 3 of *Recommendation by ICCAT Concerning Data Exchange Format and Protocol in Relation to the Vessel Monitoring System (VMS) for the Bluefin Tuna Fishery in the ICCAT Convention Area* (Rec. 07-08).

The transmission of VMS data to ICCAT by fishing vessels with a length equal to or greater than 15m included in the ICCAT bluefin tuna record of 'catching' and 'other' vessels to ICCAT shall start at least 5 days before their period of authorisation and shall continue at least 5 days after their period of authorisation, unless the vessel is removed from the lists of authorized vessels by the flag CPC authorities.

For control purposes, the transmission of VMS by bluefin tuna authorised fishing vessels shall not be interrupted when vessels are in port, unless there is a system of hailing in and out of port.

The Secretariat shall immediately inform CPCs in term of delays or non-receipt of VMS transmissions and distribute monthly reports to all CPCs with specific information on the nature and the scope of these delays. Such reports shall be sent weekly during the period 1 May to 30 July.

Part IV: Control measures

Section F - Enforcement

Enforcement

106. CPCs shall take appropriate enforcement measures with respect to a fishing vessel, where it has been established, in accordance with its law that the fishing vessel flying its flag does not comply with the provisions of this Recommendation.

The measures shall be commensurate with the gravity of the offence and in accordance with the pertinent provisions of national law in such way to make sure that they effectively deprive those responsible of the economic benefit derived from their infringement without prejudice to the exercise of their profession. Those sanctions shall also be capable of producing results proportionate to the seriousness of such infringement, thereby effectively discouraging further offences of the same kind.

107. The farming CPC shall take appropriate enforcement measures with respect to a farm, where it has been established, in accordance with its law, that the farm does not comply with the provisions of this Recommendation.

Depending on the gravity of the offence and in accordance with the pertinent provisions of national law such measures may include, in particular, suspension of the authorization or withdrawal from the ICCAT Record of Bluefin tuna Farming Facilities established in accordance with Rec. 06-07 and/or fines.

Part IV: Control measures

Section G - Market measures

Market measures

108. Consistent with their rights and obligations under international law, exporting and importing CPCs shall take the necessary measures:

- to prohibit domestic trade, landing, imports, exports, placing in cages for farming, re-exports and transshipments of eastern Atlantic and Mediterranean bluefin tuna that are not accompanied by accurate, complete, and validated documentation required by this Recommendation, the *Recommendation by ICCAT Replacing Recommendation 11-20 on an ICCAT Bluefin Tuna Catch Documentation Program* (Rec. 18-13) and the *Recommendation by ICCAT Replacing Recommendation 17-09 on the Application of the eBCD System* (Rec. 18-12) on the Bluefin Tuna Catch Documentation Programme.
- to prohibit domestic trade, imports, landings, placing in cages for farming, processing, exports, re-exports and the transshipment within their jurisdiction, of eastern Atlantic and Mediterranean bluefin tuna caught by fishing vessels or traps whose CPC does not have a quota or catch limit for that species, under the terms of ICCAT management and conservation measures, or when the CPC's fishing possibilities are exhausted, or when the individual quotas of catching vessels referred to in paragraph 4 are exhausted.
- to prohibit domestic trade, imports, landings, processing, and exports of eastern Atlantic and Mediterranean bluefin tuna from farms that do not comply with Recommendation 06-07.

Part V

ICCAT Scheme of Joint International Inspection

109. In the framework of the Multi-annual Management Plan for Bluefin Tuna, each Contracting Party agrees, in accordance with Article IX, paragraph 3, of the ICCAT Convention, to apply the ICCAT Scheme of Joint International Inspection adopted during its 4th Regular Meeting, held in November 1975 in Madrid, as modified in **Annex 7**.

110. The Scheme referred to in paragraph 109 shall apply until ICCAT adopts a monitoring, control and surveillance scheme which will include an ICCAT scheme for joint international inspection, based on the results of the Integrated Monitoring Measures Working Group, established by the *Resolution by ICCAT for Integrated Monitoring Measures* (Res. 00-20).
111. When at any time, more than 15 fishing vessels of any one Contracting Party are engaged in eastern Atlantic and Mediterranean bluefin tuna fishing activities in the Convention area, the Contracting Party shall, on the basis of risk assessment have an inspection vessel in the Convention area, or shall cooperate with another Contracting Party to jointly operate an inspection vessel. If a Contracting Party does not deploy its inspection vessel or conducting joint operations, the Contracting Party shall report the result of the risk assessment and its alternative measures in its inspection plan referred to in paragraph 14.
112. In cases where enforcement measures need to be taken as a result of an inspection, the enforcement powers of the flag Contracting Party inspectors of the fishing vessel, farm or trap subject to inspection shall always prevail in their territory, in their jurisdictional waters and on board their inspection platform.

Part VI

Final provisions

Availability of data to the SCRS

113. The Secretariat shall make available to the SCRS all data received in accordance with this Recommendation. All data shall be treated in a confidential manner.

Safeguards

114. When, as a result of a scientific evaluation, the goal of maintaining the biomass around $B_{0.1}$ (to be achieved by fishing at or less than $F_{0.1}$) is not achieved and the objectives of this plan are in danger, the SCRS shall provide new advice on the TAC for the following year.

Review clause

115. For the first time in 2020 and, in any case, after the stock assessment for eastern Atlantic and Mediterranean bluefin tuna that confirms the full recovery of the stock, the Commission following the scientific advice provided by the SCRS, shall decide on the continuity of this management plan or on its possible revision.
116. Notwithstanding paragraph 115, ICCAT will hold an intersessional meeting of Panel 2 each year in March in order to:
- a) Review, and if appropriate, endorse the annual fishing, capacity management, farming and inspection plans sent to ICCAT under paragraph 14 of this Recommendation;
 - b) Discuss any possible doubts about the interpretation of this Recommendation and, as appropriate, propose draft amendments to it for consideration at the Annual meeting.
117. Potential additional measures to further strengthen the control and traceability measures for bluefin tuna shall be discussed at the Working Group meeting of Panel 2 established pursuant to Resolution 19-15.

Evaluation

118. All CPCs shall submit at the request of the Secretariat regulations and other related documents adopted by them to implement this Recommendation. In order to have greater transparency in implementing this Recommendation, the Secretariat shall elaborate biennially a report on the implementation of this Recommendation.

Exemptions for CPCs with a landing obligation for bluefin tuna

119. The provisions in this Recommendation prohibiting retention on board, transshipping, transferring, landing, transporting, storing, selling, displaying or offering for sale of bluefin tuna do not apply to CPCs with a domestic legislation introduced before 2013 requiring that all dead or dying fish be landed, provided that the value of such fish is confiscated in order to prevent the fishermen from drawing any commercial profit from such fish. The CPCs concerned shall take necessary measures to prevent the confiscated fish from being exported to other CPCs. The quantities of bluefin tuna in excess of the quota allocated to the CPC, in accordance with this derogation shall be deducted the following year from the CPC quota in accordance with para 12.

Repeals

120. This Recommendation repeals and replaces *Recommendation by ICCAT Establishing A Multi-annual Management Plan for Bluefin Tuna in the Eastern Atlantic and the Mediterranean* (Rec.18-02).

Specific Conditions Applying to the Catching Vessels fishing under paragraph 35

1. CPCs shall limit:

- The maximum number of its baitboats and trolling boats authorized to fish actively for bluefin tuna to the number of the vessels participating in directed fishery for bluefin tuna in 2006.
- The maximum number of its small-scale coastal vessels authorized to fish actively bluefin tuna in the Mediterranean to the number of its vessels participating in the fishery for bluefin tuna in 2008.
- The maximum number of its catching vessels authorized to fish actively for bluefin tuna in the Adriatic to the number of the vessel participating in the fishery for bluefin tuna in 2008. Each CPC shall allocate individual quotas to the concerned vessels.

CPCs shall issue specific authorizations to the vessels referred to in paragraph 1 of this Annex. Such vessels shall be indicated in the list of catching vessels referred to in paragraph 49 (a) of this Recommendation, where the conditions for changes shall also apply.

- 2. Each CPC may allocate no more than 7% of its quota for bluefin tuna among its baitboats and trolling boats.
- 3. Each CPC may allocate no more than 2% of its quota for bluefin tuna among its small-scale coastal vessels for fresh fish in the Mediterranean.

Each CPC may allocate no more than 90% of its quota for bluefin tuna among its catching vessels in the Adriatic for farming purposes.

- 4. CPCs whose baitboats, longliners, handliners and trolling boats are authorized to fish for bluefin tuna in the eastern Atlantic and the Mediterranean shall institute tail tag requirements as follows:
 - a) Tail tags must be affixed on each bluefin tuna immediately upon offloading.
 - b) Each tail tag shall have a unique identification number, which shall be included on bluefin tuna catch documents and written legibly and indelibly on the outside of any package containing tuna.

Logbook requirements

A - Catching Vessels

Minimum specification for fishing logbooks:

1. The logbook must be numbered by sheets.
2. The logbook must be filled in every day (by midnight) or before port arrival.
3. The logbook must be completed in case of at sea inspections.
4. One copy of the sheets must remain attached to the logbook.
5. Logbooks must be kept on board to cover a period of one-year operation.

Minimum standard information for fishing logbooks:

1. Master name and address
2. Dates and ports of departure, dates and ports of arrival
3. Vessel name, register number, ICCAT number, international radio call sign and IMO number (if available)
4. Fishing gear:
 - a) Type by FAO code
 - b) Dimension (length, number of hooks...)
5. Operations at sea with one line (minimum) per day of trip, providing:
 - a) Activity (fishing, steaming)
 - b) Position: Exact daily positions (in degree and minutes), recorded for each fishing operation or at noon when no fishing has been conducted during this day
 - c) Record of catches including:
 - i) FAO code
 - ii) round (RWT) weight in kg per day
 - iii) number of pieces per day

For purse seine vessels this should be recorded by fishing operation including nil returns
6. Master signature
7. Means of weight measure: estimation, weighing on board and counting
8. The logbook is kept in equivalent live weight of fish and mentions the conversion factors used in the evaluation.

Minimum information for fishing logbooks in case of landing or transshipment:

1. Dates and port of landing/transshipment
2. Products
 - a) species and presentation by FAO code
 - b) number of fish or boxes and quantity in kg
3. Signature of the Master or Vessel Agent
4. In case of transshipment: receiving vessel name, its flag and ICCAT number

Minimum information for fishing logbooks in case of transfer into cages:

1. Date, time and position (latitude/longitude) of transfer
2. Products:
 - a) Species identification by FAO code
 - b) Number of fish and quantity in kg transferred into cages
3. Name of towing vessel, its flag and ICCAT number
4. Name of the farm of destination and its ICCAT number
5. In case of joint fishing operation, in complement of information laid down in points 1 to 4, the masters shall record in their logbook:
 - a) as regards the catching vessel transferring the fish into cages:
 - amount of catches taken on board,
 - amount of catches counted against its individual quota,
 - the names of the other vessels involved in the JFO
 - b) as regards the other catching vessels not involved in the transfer of the fish:
 - the name of the other vessels involved in the JFO, their international radio call signs and ICCAT numbers,
 - that no catches have been taken on board or transferred into cages,
 - amount of catches counted against their individual quotas,
 - the name and the ICCAT number of the catching vessel referred to in a).

B - Towing Vessels

1. Masters of towing vessels shall record on their daily logbook, the date, time and position of transfer, the quantities transferred (number of fish and quantity in kg), the cage number, as well as the catching vessel name, flag and ICCAT number, the name of the other vessel(s) involved and their ICCAT number, the farm of destination and its ICCAT number, and the ICCAT transfer declaration number.
2. Further transfers to auxiliary vessels or to other towing vessels shall be reported including the same information as in point 1 as well as the auxiliary or towing vessel name, flag and ICCAT number and the ICCAT transfer declaration number.

3. The daily logbook shall contain the details of all transfers carried out during the fishing season. The daily logbook shall be kept on board and be accessible at any time for control purposes.

C - Auxiliary Vessels

1. Masters of auxiliary vessels shall record their activities daily in their logbook including the date, time and positions, the quantities of bluefin tuna taken onboard, and the fishing vessel, farm or trap name they are operating in association with.
2. The daily logbook shall contain the details of all activities carried out during the fishing season. The daily logbook shall be kept on board and be accessible at any time for control purposes.

D - Processing Vessels

1. Masters of processing vessels shall report on their daily logbook, the date, time and position of the activities and the quantities transhipped and the number and weight of bluefin tuna received from farms, traps or catching vessel where applicable. They should also report the names and ICCAT numbers of those farms, traps or catching vessel.
2. Masters of processing vessels shall maintain a daily processing logbook specifying the round weight and number of fish transferred or transhipped, the conversion factor used, the weights and quantities by product presentation.
3. Masters of processing vessels shall maintain a stowage plan that shows the location and the quantities of each species and presentation.
4. The daily logbook shall contain the details of all transhipments carried out during the fishing season. The daily logbook, processing logbook, stowage plan, original of ICCAT transhipment declarations shall be kept on board and be accessible at any time for control purposes.

No. Document

ICCAT Transhipment Declaration

Carrier vessel					Fishing Vessel		Final destination:	
Name of vessel and radio call sign:					Name of the vessel and radio call sign:		Port:	
Flag:					Flag:		Country:	
Flag CPC authorization No.					Flag CPC authorization No.		State:	
National Register No.					National Register No.			
ICCAT Register No.					ICCAT Register No.			
IMO No.					External identification:			
					Fishing logbook sheet No.			

Departure	Day 	Month 	Hour 	Year 2_ 0_	F.V Master's name:	Carrier vessel Master's name:
Return					From: △	Signature:
Tranship.					To: △	Signature:

For transhipment, indicate the weight in kg or the unit used (e.g. box, basket) and the landed weight in kilograms of this unit | | Kg. LOCATION OF TRANSHIPMENT

ICCAT Transfer Declaration

Document No.			
1 - TRANSFER OF LIVE BFT DESTINATED FOR FARMING			
Fishing vessel name: Call sign: Flag: Flag State transfer authorisation No. ICCAT Register No. External identification: Fishing logbook No. JFO No. eBCD No.	Trap name: ICCAT Register No.	Tug vessel name: Call sign: Flag: ICCAT Register No. External identification:	Name of destination farm: ICCAT Register No.: Cage Number:
2 - TRANSFER INFORMATION			
Date: / /	Place or position:	Port:	Lat: Long:
Number of individuals:	Species:		
Type of product: Live <input type="checkbox"/> Whole <input type="checkbox"/> Gutted <input type="checkbox"/> Other (Specify):			
Master of fishing vessel / trap operator / farm operator name and signature:		Observer Names	ICCAT No. Signature
Master of receiver vessel (tug, processing, carrier) name and signature:			
3 - FURTHER TRANSFERS			
Date: / /	Place or position:	Port:	Lat: Long:
Tug vessel name:	Call sign:	Flag:	ICCAT Register No.
Farm State transfer authorisation No:	External I.D.:	Cage no.	Master of receiver vessel name and signature:
Date: / /	Place or position:	Port:	Lat: Long:
Tug vessel name:	Call sign:	Flag:	ICCAT Register No.
Farm State transfer authorisation No:	External I.D.:	Cage no.	Master of receiver vessel name and signature:
Date: / /	Place or position:	Port:	Lat: Long:
Tug vessel name:	Call sign:	Flag:	ICCAT Register No.
Farm State transfer authorisation No:	External I.D.:	Cage No.	Master of receiver vessel name and signature:
4 - SPLIT CAGES			
Donor Cage No.	Kg:	Nbr of fish:	
Donor Tug vessel name:	Call sign:	Flag:	ICCAT Register no.
Receiving Cage No.	Kg:	Nbr of fish:	
Receiving Tug vessel name:	Call sign:	Flag:	ICCAT Register no.
Receiving Cage No.	Kg:	Nbr of fish:	
Receiving Tug vessel name:	Call sign:	Flag:	ICCAT Register no.
Receiving Cage No.	Kg:	Nbr of fish:	
Receiving Tug vessel name:	Call sign:	Flag:	ICCAT Register no.

**JOINT FISHING
OPERATION (JFO)**

<i>Flag CPC</i>	<i>Vessel Name</i>	<i>ICCAT No.</i>	<i>Duration of the Operation</i>	<i>Identity of the Operators</i>	<i>Vessels individual quota</i>	<i>Allocation key per vessel</i>	<i>Fattening and farming farm destination</i>	
							<i>CPC</i>	<i>ICCAT No.</i>

Date

Validation of the flag CPC

ICCAT Regional Observer Programme

1. Each CPC shall require its farms, traps and purse seine vessels as referred to in paragraph 84 to deploy an ICCAT regional observer.
2. The Secretariat of the Commission shall appoint the observers before 1 April each year, and shall place them on farms, traps and on board the purse seine vessels flying the flag of Contracting Parties and of non-Contracting Cooperating Parties, Entities or Fishing Entities that implement the ICCAT observer programme. An ICCAT observer card shall be issued for each observer.
3. The Secretariat shall issue a contract listing the rights and duties of the observer and the master of the vessel or farm or trap operator. This contract shall be signed by both parties involved.
4. The Secretariat shall establish an ICCAT Observer Programme Manual.

Designation of the observers

5. The designated observers shall have the following qualifications to accomplish their tasks:
 - sufficient experience to identify species and fishing gear;
 - satisfactory knowledge of the ICCAT conservation and management measures and based on ICCAT training guidelines;
 - the ability to observe and record accurately;
 - a satisfactory knowledge of the language of the flag of the vessel or farm or trap observed, to the extent possible.

Obligations of the observer

6. Observers shall:
 - a) have completed the technical training required by the guidelines established by ICCAT;
 - b) be nationals of one of the CPCs and, to the extent possible, not of the farming CPC, trap CPC or flag CPC of the purse seine vessel;
 - c) be capable of performing the duties set forth in point 7 below;
 - d) be included in the list of observers maintained by the Secretariat;
 - e) not have current financial or beneficial interests in the bluefin tuna fishery.
7. The observer tasks shall be, in particular:
 - a) As regards observers on purse seine vessels, to monitor the purse seine vessels' compliance with the relevant conservation and management measures adopted by the Commission. In particular the observers shall:
 - i) In cases where the observer observes what may constitute non-compliance with ICCAT Recommendations, he/she shall submit this information without delay to the observer implementing company who shall forward it without delay to the flag CPC authorities of the catching vessel. For this purpose, the observer implementing company shall set up a system through which this information can be securely communicated;
 - ii) record and report upon the fishing activities carried out;
 - iii) observe and estimate catches and verify entries made in the logbook;
 - iv) issue a daily report of the transfer activities of purse seine vessels;

- v) sight and record vessels which may be fishing in contravention to ICCAT conservation and management measures;
 - vi) record and report upon the transfer activities carried out;
 - vii) verify the position of the vessel when engaged in transfer;
 - viii) observe and estimate products transferred, including through the review of video recordings;
 - ix) verify and record the name of the fishing vessel concerned and its ICCAT number;
 - x) carry out scientific work such as collecting Task II data when required by the Commission, based on the directives from the SCRS.
- b) As regards observers in the farms and traps to monitor their compliance with the relevant conservation and management measures adopted by the Commission. In particular the observers shall:
- i) verify the data contained in the transfer declaration, caging declaration and eBCDs, including through the review of video records;
 - ii) certify the data contained in the transfer declaration, caging declaration and eBCDs;
 - iii) issue a daily report of the farms' and traps transfer activities;
 - iv) countersign the transfer declaration and caging declarations and eBCDs only when he/she agrees that the information contained within them are consistent with his/her observations including a compliant video record as per the requirements in paragraphs 91 and 92;
 - v) carry out such scientific work, for example collecting samples, as required by the Commission, based on the directives from the SCRS;
 - vi) register and verify the presence of any type of tag, including natural marks, and notify any sign of recent tag removals. For all individuals tagged with electronic tags, conduct full biological sampling (otoliths, spine and genetic sample) following guidelines by the SCRS.
- c) Establish general reports compiling the information collected in accordance with this paragraph and provide the master and farm operator the opportunity to include therein any relevant information.
- d) Submit to the Secretariat the aforementioned general report within 20 days from the end of the period of observation.
- e) Exercise any other functions as defined by the Commission.
8. Observers shall treat as confidential all information with respect to the fishing and transfer operations of the purse seine vessels and of the farms and traps and accept this requirement in writing as a condition of appointment as an observer.
9. Observers shall comply with requirements established in the laws and regulations of the flag or farm State which exercises jurisdiction over the vessel, farm or trap to which the observer is assigned.
10. Observers shall respect the hierarchy and general rules of behaviour which apply to all vessel, farm and trap personnel, provided such rules do not interfere with the duties of the observer under this program, and with the obligations of vessel and farm personnel set forth in paragraph 11 of this Programme.

Obligations of the flag CPCs of purse seine vessels and farm and trap State

11. The responsibilities regarding observers of the flag CPCs of the purse seine vessels and their masters shall include the following, notably:
- a) Observers shall be allowed to access to the vessel, farm and trap personnel and to the gear, cages and equipment;
 - b) Upon request, observers shall also be allowed access to the following equipment, if present on the vessels to which they are assigned, in order to facilitate the carrying out of their duties set forth in paragraph 7 of this Programme.
 - i) satellite navigation equipment;
 - ii) radar display viewing screens when in use;
 - iii) electronic means of communication.

- c) Observers shall be provided accommodations, including lodging, food and adequate sanitary facilities, equal to those of officers;
- d) Observers shall be provided with adequate space on the bridge or pilot house for clerical work, as well as space on deck adequate for carrying out observer duties; and
- e) The flag CPCs shall ensure that masters, crew, farm, trap and vessel owners do not obstruct, intimidate, interfere with, influence, bribe or attempt to bribe an observer in the performance of his/her duties.

The Secretariat, in a manner consistent with any applicable confidentiality requirements, is requested to provide to the farm State, trap State or flag CPC of the purse seine vessel, copies of all raw data, summaries, and reports pertaining to the trip. The Secretariat shall submit the observer reports to the Compliance Committee and to the SCRS.

Observer fees and organization

- 12. a) The costs of implementing this program shall be financed by the farm and trap operators and purse seine vessel owners. The fee shall be calculated on the basis of the total costs of the program. This fee shall be paid into a special account of the Secretariat and the Secretariat shall manage the account for implementing the program;
- b) No observer shall be assigned to a vessel, trap and farm for which the fees, as required under subparagraph a), have not been paid.

ICCAT Scheme of Joint International Inspection

Pursuant to paragraph 3 of Article IX of the Convention, the Commission recommends the establishment of the following arrangements for international control outside the waters under national jurisdiction for the purpose of ensuring the application of the Convention and the measures in force thereunder:

I. Serious violations

1. For the purposes of these procedures, a serious violation means the following violations of the provisions of the ICCAT conservation and management measures adopted by the Commission:
 - a) fishing without a license, permit or authorization issued by the flag CPC;
 - b) failure to maintain sufficient records of catch and catch-related data in accordance with the Commission's reporting requirements or significant misreporting of such catch and/or catch-related data;
 - c) fishing in a closed area;
 - d) fishing during a closed season;
 - e) intentional taking or retention of species in contravention of any applicable conservation and management measure adopted by the ICCAT;
 - f) significant violation of catch limits or quotas in force pursuant to the ICCAT rules;
 - g) using prohibited fishing gear;
 - h) falsifying or intentionally concealing the markings, identity or registration of a fishing vessel;
 - i) concealing, tampering with or disposing of evidence relating to investigation of a violation;
 - j) multiple violations which taken together constitute a serious disregard of measures in force pursuant to the ICCAT;
 - k) assault, resist, intimidate, sexually harass, interfere with, or unduly obstruct or delay an authorized inspector or observer;
 - l) intentionally tampering with or disabling the vessel monitoring system;
 - m) such other violations as may be determined by the ICCAT, once these are included and circulated in a revised version of these procedures;
 - n) fishing with the assistance of spotter planes;
 - o) interference with the satellite monitoring system and/or operation of a vessel without a VMS system;
 - p) transfer activity without transfer declaration;
 - q) transshipment at sea.
2. In the case of any boarding and inspection of a fishing vessel during which the authorized inspectors observe an activity or condition that would constitute a serious violation, as defined in paragraph 1, the authorities of the flag CPC of the inspection vessel shall immediately notify the flag CPC of the fishing vessel, directly as well as through the Secretariat. In such situations, the inspector should also inform any inspection ship of the flag CPC of the fishing vessel known to be in the vicinity.

3. ICCAT inspectors should register the inspections undertaken and the infringements detected (if any) in the fishing vessel logbook.
4. The flag CPC shall ensure that, following the inspection referred to in paragraph 2 of this Annex, the fishing vessel concerned ceases all fishing activities. The flag CPC shall require the fishing vessel to proceed within 72 hours to a port designated by it, where an investigation shall be initiated.
5. In the case where an inspection has detected an activity or condition that would constitute a serious violation, the vessel should be reviewed under the procedures described in the *Recommendation by ICCAT on Establishing a List of Vessels Presumed to Have Carried Out Illegal, Unreported and Unregulated Fishing Activities* (Rec. 18-08), taking into account any response actions and other follow up.

II. Conduct of inspections

6. Inspections shall be carried out by inspectors designated by the Contracting Governments. The names of the authorized government agencies and individual inspectors designated for that purpose by their respective governments shall be notified to the Commission.
7. Ships carrying out international boarding and inspection duties in accordance with this Annex shall fly a special flag or pennant approved by the Commission and issued by the Secretariat. The names of the ships so used shall be notified to the Secretariat as soon as practical in advance of the commencement of inspection activities. The Secretariat shall make information regarding designated inspection vessels available to all CPCs, including by posting on its password-protected website.
8. Inspectors shall carry appropriate identity documentation issued by the authorities of the flag CPC, which shall be in the form shown in paragraph 20 of this Annex.
9. Subject to the arrangements agreed under paragraph 15 of this Annex, a vessel flagged to a Contracting Government and fishing for tuna or tuna-like fishes in the Convention area outside waters under national jurisdiction shall stop when given the appropriate signal in the International Code of Signals by a ship flying the ICCAT pennant described in paragraph 7 and carrying an inspector unless the vessel is actually carrying out fishing operations, in which case it shall stop immediately once it has finished such operations. The master* of the vessel shall permit the inspection party, as specified in paragraph 10 of this Annex, to board it and must provide a boarding ladder. The master shall enable the inspection party to make such examination of equipment, catch or gear and any relevant documents as an inspector deems necessary to verify compliance with the ICCAT Commission's Recommendations in force in relation to the flag CPC of the vessel being inspected. Further, an inspector may ask for any explanations that he or she deems necessary.
10. The size of the inspection party shall be determined by the commanding officer of the inspection vessel taking into account relevant circumstances. The inspection party should be as small as possible to accomplish the duties set out in this Annex safely and securely.
11. Upon boarding the vessel, inspectors shall produce the identity documentation described in paragraph 8 of this Annex. Inspectors shall observe generally accepted international regulations, procedures and practices relating to the safety of the vessel being inspected and its crew, and shall minimize interference with fishing activities or stowage of product and, to the extent practicable, avoid action which would adversely affect the quality of the catch on board; Inspectors shall limit their enquiries to the ascertainment of the observance of the Commission's Recommendations in force in relation to the flag CPC of the vessel concerned. In making the inspection, inspectors may ask the master of the fishing vessel for any assistance he/she may require. Inspectors shall draw up a report of the inspection in a form approved by the Commission. Inspectors shall sign the report in the presence of the master of the vessel who shall be entitled to add or have added to the report any observations which he or she may think suitable and must sign such observations.


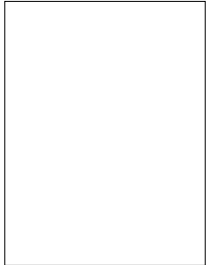

* Master refers to the individual in charge of the vessel.

Copies of the report shall be given to the master of the vessel and to the government of the inspection party, which shall transmit copies to the appropriate authorities of the flag CPC of the inspected vessel and to the ICCAT Commission. Where any infringement of ICCAT Recommendations is discovered, the inspector should, where possible, also inform any inspection ship of the flag CPC of the fishing vessel known to be in the vicinity.

12. Resistance to inspectors or failure to comply with their directions shall be treated by the flag CPC of the inspected vessel in a manner similar to such conduct committed with respect to a national inspector.
13. Inspectors shall carry out their duties under these arrangements in accordance with the rules set out in this Recommendation, but they shall remain under the operational control of their national authorities and shall be responsible to them.
14. Contracting Governments shall consider and act on inspection reports, sighting information sheets as per Rec. 19-09 and statements resulting from documentary inspections of foreign inspectors under these arrangements on a similar basis in accordance with their national legislation to the reports of national inspectors. The provisions of this paragraph shall not impose any obligation on a Contracting Government to give the report of a foreign inspector a higher evidential value than it would possess in the inspector's own country. Contracting Governments shall collaborate in order to facilitate judicial or other proceedings arising from a report of an inspector under these arrangements.
 - a) Contracting Governments shall inform the Commission by 15 February each year of their provisional plans for conducting inspection activities under this Recommendation in that calendar year and the Commission may make suggestions to Contracting Governments for the coordination of national operations in this field including the number of inspectors and ships carrying inspectors;
 - b) the arrangements set out in this Recommendation and the plans for participation shall apply between Contracting Governments unless otherwise agreed between them, and such agreement shall be notified to the ICCAT Commission. Provided, however, that implementation of the scheme shall be suspended between any two Contracting Governments if either of them has notified the ICCAT Commission to that effect, pending completion of such an agreement.
15.
 - a) the fishing gear shall be inspected in accordance with the regulations in force for the subarea for which the inspection takes place. Inspectors will state the subarea for which the inspection took place, and a description of any violations found, in the inspection report;
 - b) inspectors shall have the authority to inspect all fishing gear in use or on board.
16. Inspectors shall affix an identification mark approved by the ICCAT Commission to any fishing gear inspected which appears to be in contravention of the ICCAT Commission's Recommendations in force in relation to the flag CPC of the vessel concerned and shall record this fact in his/her report.
17. The inspector may photograph the gears, equipment, documentation and any other element he/she considers necessary in such a way as to reveal those features which in their opinion are not in conformity with the regulation in force, in which case the subjects photographed should be listed in the report and copies of the photographs should be attached to the copy of the report to the flag CPC.
18. Inspectors shall, as necessary, inspect all catch on board to determine compliance with ICCAT Recommendations.

19. The model Identity Card for inspectors is as follows:

Dimensions: Width 10.4cm, Height 7cm

<div data-bbox="113 327 293 423"></div> <div data-bbox="298 360 791 463"><p>INTERNATIONAL COMMISSION FOR THE CONSERVATION OF ATLANTIC TUNA</p></div> <div data-bbox="470 470 595 512"><p>ICCAT</p></div> <div data-bbox="336 526 727 560"><p>INSPECTOR IDENTITY CARD</p></div> <div data-bbox="113 555 319 819"></div> <div data-bbox="339 609 577 645"><p>Contracting Party:</p></div> <div data-bbox="339 658 555 694"><p>Inspector Name:</p></div> <div data-bbox="339 705 464 739"><p>Card No.:</p></div> <div data-bbox="339 775 762 806"><p>Issue Date: Validity five years</p></div>	<div data-bbox="903 338 1074 423"></div> <div data-bbox="1212 351 1342 394"><p>ICCAT</p></div> <div data-bbox="893 463 1468 604"><p>The holder of this document is an ICCAT inspector duly appointed under the terms of the ICCAT Scheme of Joint International Inspection and has the authority to act under the provision of the ICCAT Control and Enforcement measures</p></div> <div data-bbox="893 745 1497 792"><table><tr><td>_____</td><td>_____</td></tr><tr><td>CPC Authority</td><td>Inspector</td></tr></table></div>	_____	_____	CPC Authority	Inspector
_____	_____				
CPC Authority	Inspector				

Minimum standards for video recording procedures

Transfers

- i) The electronic storage device containing the original video record shall be provided to the observer as soon as possible after the end of the transfer operation that shall immediately initialize it to avoid any further manipulation.
- ii) The original recording shall be kept on board the catching vessel or by the farm or trap operator where appropriate, during their entire period of authorization.
- iii) Two identical copies of the video record shall be produced. One copy shall be transmitted to the regional observer on board of the purse seine vessel and one to the CPC observer on board the towing vessel, the latter of which shall accompany the transfer declaration and the associated catches to which it relates. If the inspection services are present during the transfer they shall also receive a copy of the relevant video record. This procedure should only apply to CPC observers in the case of transfers between towing vessels.
- iv) At the beginning and/or the end of each video, the ICCAT transfer authorization number shall be displayed.
- v) The time and the date of the video shall be continuously displayed throughout each videorecord.
- vi) Before the start of the transfer, the video shall include the opening and closing of the net/door and whether the receiving and donor cages already contain bluefin tuna.
- vii) The video recording must be continuous without any interruptions and cuts and cover the entire transfer operation.
- viii) The video record should be of sufficient quality to estimate the number of bluefin tuna being transferred.
- ix) If the video record is of insufficient quality to estimate the number of bluefin tuna being transferred, the operator may request to the flag authorities of the vessel or trap to conduct a control transfer. Such voluntary control transfer must include movement of all the bluefin tuna from the receiving cage into another cage, which must be empty. For those cases where the origin of the fish is a trap, the bluefin tuna already transferred from the trap to the receiving cage could be sent back to the trap and the control transfer is cancelled under the supervision of the ICCAT regional observer.

Caging operations

- i) The electronic storage device containing the original video record shall be provided to the regional observer as soon as possible after the end of the caging operation who shall immediately initialize it to avoid any further manipulation.
- ii) The original recording shall be kept by the farm where applicable, during their entire period of authorization.
- iii) Two identical copies of the video record shall be produced. One copy shall be transmitted to the regional observer deployed on the farm.
- iv) At the beginning and/or the end of each video, the ICCAT caging authorization number shall be displayed.
- v) The time and the date of the video shall be continuously displayed throughout each videorecord.
- vi) Before the start of the caging, the video shall include the opening and closing of the net/door and whether the receiving and donor cages already contain bluefin tuna.

- vii) The video recording must be continuous without any interruptions and cuts and cover the entire caging operation.
- viii) The video record should be of sufficient quality to estimate the number of bluefin tuna being transferred.
- ix) If the video record is of insufficient quality to estimate the number of bluefin tuna being transferred, then a new caging operation shall be requested by the control authorities. For those cases when the origin of the fish is a purse seine vessel, the new caging operation must include movement of all the bluefin tuna from the receiving farm cage into another farm cage, which must be empty.

Standards and procedures for stereoscopic cameras systems in the context of caging operations

Use of stereoscopic cameras systems

The use of stereoscopic cameras systems in the context of caging operations, as required by paragraph 99 of this Recommendation shall be conducted in accordance with the following:

- i. The sampling intensity of live fish shall not be below 20% of the amount of fish being caged. When technically possible, the sampling of live fish shall be sequential, by measuring one in every five specimens. Such a sample shall be made up of fish measured at a distance between 2 and 8 meters from the camera.
- ii. The dimensions of the transfer gate connecting the donor cage and the receiving cage shall be set at maximum width of 8 to 10 meters and maximum height of 8 to 10 meters.
- iii. When the length measurements of the fish present a multi-modal distribution (two or more cohorts of distinct sizes), it shall be possible to use more than one conversion algorithm for the same caging operation. The most up to date algorithm(s) established by SCRS shall be used to convert fork lengths into total weights, according to the size category of the fish measured during the caging operation.
- iv. Validation of the stereoscopic length measurements shall be undertaken prior to each caging operation using a scale bar at a distance of 2 and 8 m.
- v. When the results of the stereoscopic program are communicated, the information shall indicate the margin of error inherent to the technical specifications of the stereoscopic camera system, which shall not exceed a range of +/- 5 percent.
- vi. The report on the results of the stereoscopic program should include details on all the technical specifications above, including the sampling intensity, the way of sampling methodology, the distance from the camera, the dimensions of the transfer gate, and the algorithms (length-weight relationship). SCRS shall review these specifications, and if necessary provide recommendations to modify them.
- vii. In cases where the stereoscopic camera footage is of insufficient quality to estimate the weight of bluefin tuna being caged, a new caging operation shall be ordered by the flag CPC authorities of the catching vessel or the trap CPC authorities, or the farming CPC authorities.

Presentation and use of stereoscopic cameras systems outcome

- i. Decisions regarding differences between the catch report and the results from the stereoscopic system programme shall be taken at the level of the Joint Fishing Operation (JFO) or total trap catches, for JFOs and trap catches destined to a farm facility involving a single CPC and/or EU Member State. The decision regarding differences between the catch report and the results from the stereoscopic system programme shall be taken at the level of the caging operations for JFO's involving more than one CPC and/or EU Member State, unless otherwise agreed by all the flag CPC/State authorities of the catching vessels involved in the JFO.
- ii. Within 15 days from the caging date, the farming CPC/State authorities shall provide a report to the flag CPC/State authorities of the catching vessel, including the following documents:
 - ii.1 Technical stereoscopic system report including:
 - general information: species, site, cage, date, algorithm;
 - sizing statistical information: average weight and length, minimum weight and length, maximum weight and length, number of fish sampled, weight distribution, size distribution.
 - ii.2 Detailed results of the programme, with the size and weight of every fish that was sampled.

ii.3 Caging report including:

- general information on the operation: number of the caging operation, name of the farm, cage number, eBCD number, ITD number, name and flag of the catching vessel, name and flag of the towing vessel, date of the stereoscopic system operation and footage filename;
- algorithm used to convert length into weight;
- comparison between the amounts declared in the eBCD and the amounts found with the stereoscopic system, in number of fish, average weight and total weight (the formula used to calculate the difference shall be: $(\text{Stereoscopic System} - \text{eBCD}) / \text{Stereoscopic System} * 100$);
- margin of error of the system;
- for those caging reports relating to JFOs/traps, the last caging report shall also include a summary of all information in previous caging reports.

iii. When receiving the caging report, the flag CPC/State authorities of the catching vessel shall take all the necessary measures according to the following situations.

iii.1 The total weight declared by the catching vessel in the eBCD is within the range of the stereoscopic system results:

- no release shall be ordered;
- the eBCD shall be modified both in number (using the number of fish resulting from the use of the control cameras or alternative techniques) and average weight, while the total weight shall not be modified.

iii.2 The total weight declared by the catching vessel in the eBCD is below the lowest figure of the range of the stereoscopic system results:

- a release shall be ordered using the lowest figure in the range of the stereoscopic system results;
- the release operations must be carried out in accordance with the procedure laid down in paragraph 88 and **Annex 10**;
- after the release operations took place, the eBCD shall be modified both in number (using the number of fish resulting from the use of the control cameras, minus the number of fish released) and average weight, while the total weight shall not be modified.

iii.3 The total weight declared by the catching vessel in the eBCD exceeds the highest figure of the range of the stereoscopic system results:

- no release shall be ordered;
- the eBCD shall be modified for the total weight (using the highest figure in the range of the stereoscopic system results), for the number of fish (using the results from the control cameras) and average weight accordingly.

iv. For any relevant modification of the eBCD, the values (number and weight) entered in Section 2 shall be consistent with those in Section 6 and the values in Sections 3, 4 and 6, shall not be higher to those in Section 2.

v. In case of compensation of differences found in individual caging reports across all cagings from a JFO/trap, whether or not a release operation is required, all relevant eBCDs shall be modified on the basis of the lowest range of the stereoscopic system results. The eBCDs related to the quantities of bluefin tuna released shall also be modified to reflect the weight/number released. The eBCDs related to bluefin tuna not released but for which the results from the stereoscopic systems or alternative techniques differ from those reported caught and transferred shall also be amended to reflect these differences.

The eBCDs relating to the catches from where the release operation took place shall also be modified to reflect the weight/number released.

Release Protocol

The release of bluefin tuna from farming cages into the sea shall be recorded by video camera and observed by an ICCAT regional observer, who shall draft and submit a report together with the video records to the Secretariat.

The release of bluefin tuna from transport cages or traps into the sea shall be observed by a national observer of the trap CPC, who shall draft and submit a report to its CPC control authorities.

Before a release operation takes place, CPC control authorities might order a control transfer using standard and/or stereoscopic cameras to estimate the number and weight of the fish that need to be released.

CPC control authorities might implement any additional measures they feel necessary to guarantee that the release operations take place at the most appropriate time and place in order to increase the probability of the fish going back to the stock. The operator shall be responsible for the fish survival until the release operation has taken place. These release operations shall take place within 3 weeks of the completion of the caging operations.

Following completion of harvesting operations, fish remaining in a farm and not covered by an ICCAT bluefin catch document shall be released in accordance with the procedures described in paragraph 88.

Treatment of dead fish

During fishing operations by purse seine vessels, the quantities of fish found dead in the seine shall be recorded on the fishing vessel logbook and therefore deducted from the flag CPC's quota.

Recording/treating of dead fish during first transfer

- a) The eBCD shall be provided to the towing vessel with Section 2 (Total Catch), Section 3 (Live fish trade) and Section 4 (Transfer - including "dead" fish) completed.

The total quantities reported in Sections 3 and 4 shall be equal to the quantities reported in Section 2. The eBCD shall be accompanied by the original ICCAT Transfer Declaration (ITD) in accordance with the provisions of this Recommendation. The quantities reported in the ITD (transferred live), must equal the quantities reported in Section 3 in the associated eBCD.

- b) A split of the eBCD with Section 8 (Trade information) shall be completed and given to the auxiliary vessel which will transport the dead bluefin tuna to shore (or retained on the catching vessel if landed directly to shore). This dead fish and split eBCD must be accompanied with a copy of the ITD.
- c) With regards to eBCDs, dead fish shall be allocated to the catching vessel which made the catch, or in the case of JFOs either to participating catching vessels or flags.

Minimum Information for Fishing Authorisations**A. IDENTIFICATION**

1. ICCAT registration number
2. Name of fishing vessel
3. External registration number (letters and numbers)

B. FISHING CONDITIONS

1. Date of issue
2. Period of validity
3. Conditions of fishing authorisation, including when appropriate species, zone, fishing gear and any other conditions applicable derived from this Recommendation and/or from national legislation.

	From... to...	From... to	From... to	From... to	From... to
Zones					
Species					
Fishing gear					
Other conditions					

**RECOMMENDATION BY ICCAT ON MANAGEMENT MEASURES
FOR THE CONSERVATION OF ATLANTIC SAILFISH**

(Entered into force **12 June 2017**)

CONSIDERING that in light of the results of the stock assessment of the Atlantic sailfish (*Istiophorus albicans*) undertaken in 2016 and in order to manage this species in a precautionary manner an annual catch limit should be established for the western and eastern stocks of Atlantic sailfish consistent with the scientific advice;

RECALLING the provisions of the *Recommendation by ICCAT on the Principles of Decision Making for ICCAT Conservation and Management Measures* (Rec. 11-13);

NOTING that the western and eastern Atlantic stocks of sailfish are caught in a variety of ICCAT fisheries (e.g. longline, purse seine, recreational, and artisanal surface fisheries);

RECOGNIZING that SCRS has highlighted that recent research has demonstrated that in some longline fisheries the use of circle hooks resulted in a reduction of billfish mortality, while the catch rates of several of the target species remained the same or were greater than the catch rates observed with conventional J hooks;

ACKNOWLEDGING that catches of sailfish are likely under-reported, and according to the SCRS, this is one of the main sources of uncertainty in the assessment;

RECOGNISING the importance of the ICCAT Enhanced Research Programme for Billfish and the need to improve catch data reporting for sailfish;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

1. Contracting Parties and Cooperating non-Contracting Parties, Entities or Fishing Entities (CPCs) whose vessels catch Atlantic sailfish (*Istiophorus albicans*) in the Convention Area shall ensure that management measures are in place to support the conservation of this species in line with ICCAT's Convention objective by undertaking the following:
 - (a) If the total catch of either stock of Atlantic sailfish exceeds in any year the level corresponding to 67 % of the average estimate of their Maximum Sustainable Yield (i.e. 1,271 t for the eastern stock and 1,030 t for the western stock), the Commission shall review the implementation and effectiveness of this recommendation.
 - (b) To prevent catches from exceeding this level for either stock of sailfish, CPCs shall take or maintain appropriate measures to limit sailfish mortality. Such measures could include, for example: releasing live sailfish, encouraging or requiring the use of circle hooks or other effective gear modifications, implementing a minimum size, and/or limiting days at sea.
2. CPCs shall enhance their efforts to collect data on catches of sailfish, including live and dead discards, and report these data annually as part of their Task I and II data submission to support the stock assessment process. The SCRS shall review these data and determine the feasibility of estimating fishing mortality by commercial fisheries (including longline, gillnets and purse seine), recreational fisheries and artisanal fisheries.
3. The SCRS shall also develop a new data collection initiative as part of the ICCAT Enhanced Program for Billfish Research to overcome the data gap issues of those fisheries, in particular artisanal fisheries of developing CPCs, and shall recommend the initiative to the Commission for its approval in 2017.
4. In their Annual Reports, beginning in 2017, CPCs shall describe their data collection programmes and steps taken to implement this Recommendation.
5. This recommendation shall be reviewed in light of the outcomes of the next stock assessment for Atlantic sailfish.

**RECOMMENDATION BY ICCAT ON IMPROVEMENT OF
COMPLIANCE REVIEW OF CONSERVATION AND MANAGEMENT MEASURES
REGARDING BILLFISH CAUGHT IN THE ICCAT CONVENTION AREA**

(Entered into force **21 June 2019**)

RECALLING that pursuant to *Recommendation by ICCAT to Replace Rec. 15-05 to Further Strengthen the Plan to Rebuild Blue Marlin and White Marlin Stocks* (Rec. 18-04¹) and *Recommendation by ICCAT on Management Measures for the Conservation of Atlantic Sailfish* (Rec. 16-11), CPCs are required to report through their Annual Reports on their implementation of the requirements of these measures;

FURTHER RECALLING that the Report of the Second Independent Performance Review recommended that the Commission prioritize the issue of poor reporting on the blue and white marlin stocks, and that the Compliance Committee at its 2017 meeting recommended that in order to improve compliance in the billfish fisheries, a reporting check sheet be developed for consideration for adoption at the 2018 Annual meeting;

RECOGNIZING the need to improve the means to facilitate the review process of implementation of and compliance with billfish conservation and management measures, while reducing the reporting burden on CPCs;

DESIRING to streamline ICCAT reporting requirements, including by eliminating redundancies.

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

1. All CPCs shall submit to the ICCAT Secretariat, with their Annual Reports, details of their implementation of and compliance with billfish conservation and management measures using the check sheet in **Annex 1**, as may be revised by the ICCAT Secretariat in consultation with the COC and PA4 Chairs to reflect new billfish measures adopted by the Commission.
2. If there are no changes from the previous year in a CPC's implementation of ICCAT billfish measures covered by the check sheet in **Annex 1** and no additional reporting fields have been included to reflect new billfish measures, the CPC shall not be required to submit a billfish check sheet, provided that it confirms in its Annual Report that there are no changes. If there are changes from the previous year in a CPC's implementation, or additional reporting fields have been included in the billfish check sheet to reflect new billfish measures, the CPC shall only be required to submit such updates or responses to new reporting fields with their Annual Reports. However, CPCs shall submit updated billfish check sheets in full in the years when the Compliance Committee is scheduled to prioritize review of the billfish check sheets in accordance with paragraph 4.
3. CPCs may be exempt from the submission of the check sheet when vessels flying their flag are not likely to catch any billfish species covered by the Recommendations covered by the check sheet, on the condition that the concerned CPCs obtained a confirmation by the Billfish Species Group through necessary data submitted by CPCs for this purpose.
4. The Compliance Committee meeting shall prioritize review of CPC billfish check sheets at its 2020 Annual meeting. Future review will occur on an ICCAT meeting cycle as determined by the Committee, without prejudice to the competency of the Committee to consider billfish measure implementation issues at annual meetings during other years as appropriate.

¹ Replaced by Rec. 19-05

Billfish Check Sheet

Name of CPC: _____

Note: Each ICCAT requirement must be implemented in a legally binding manner. Just requesting fishermen to implement measures should not be regarded as implementation.

<i>Rec. #</i>	<i>Para #</i>	<i>Requirement</i>	<i>Status of implementation</i>	<i>Relevant domestic laws or regulations (as applicable, include text, references, or links where this information is codified)</i>	<i>Notes/explanations</i>
18-04	1	Landings limits – <i>Blue marlin landings limits.</i> Para. 1 establishes CPC-specific landing limits for certain CPCs and a generally applicable landing limit for all other CPCs. Were your CPC's total landings (from all fisheries, including commercial, recreational, sport, artisanal, subsistence) for blue marlin within the applicable limit in paragraph 1 or (or in the case of CPCs with a specific landings limit), within that CPC's adjusted landings limit on the relevant marlin compliance table?	Yes or No		If No, please indicate total landings and explain steps being taken to ensure landings do not exceed the ICCAT limit or adjusted limit applicable to the CPC (N/A is not a permissible response).
18-04	1	<i>White marlin/spearfish combined landings limits.</i> Para. 1 establishes CPC-specific landings limits for certain CPCs and a generally applicable landing limit for all other CPCs. Were your CPC's total landings (from all fisheries, including commercial, recreational, sport, artisanal, subsistence) for white marlin/spearfish (combined) within the applicable limit in paragraph 1 or (or in the case of CPCs with a specific landings limit, within that CPC's adjusted landings limit on the relevant marlin compliance table)?	Yes or No		If No, please indicate total landings and explain steps being taken to ensure landings do not exceed the ICCAT limit or adjusted limit applicable to the CPC (N/A is not a permissible response).
18-04	2	"To the extent possible, as the CPC approaches its landings limits, such CPC shall take appropriate measures to ensure that all blue marlin and white marlin/spearfish that are alive by the time of boarding are	Yes or No or N/A (Not applicable)		If "No" or "N/A", explain the reason. If "No", please explain any steps your CPC plans to implement this requirement.

<i>Rec. #</i>	<i>Para #</i>	<i>Requirement</i>	<i>Status of implementation</i>	<i>Relevant domestic laws or regulations (as applicable, include text, references, or links where this information is codified)</i>	<i>Notes/explanations</i>
		released in a manner that maximizes their survival.”			(N/A is only a permissible response if your CPC did not approach its landings limit, which includes CPCs without a specific landings limit and therefore subject to the generally applicable limit in para. 1).
18-04	2	<p>“For CPCs that prohibit dead discards, the landings of blue marlin and white marlin/spearfish that are dead when brought alongside the vessel and that are not sold or entered into commerce shall not count against the limits established in paragraph 1, on the condition that such prohibition be clearly explained.”</p> <p>Does your CPC prohibit dead discard of blue marlin and white marlin/spearfish?</p>	Yes or No		If “Yes”, please also explain your dead discard prohibition and rules concerning sale/entry into commerce here (N/A is not a permissible response).
18-04	4	“CPCs shall work to minimize the post-release mortality of marlins/spearfish”	Yes or No		If “No”, please explain the reason. If Yes, please explain how. Include any information on best practices for handling bycatch of marlins if those have been adopted (N/A is not a permissible response).
18-04	5-7	Does the CPC have recreational fisheries that interact with blue marlin or white marlin/spearfish?	Yes or No		(N/A is not a permissible response).
18-04	5	<p>“CPCs with recreational fisheries shall maintain 5% scientific observer coverage of blue marlin and white marlin/spearfish tournament landings”</p> <p>Does your CPC meet the 5% requirement?</p>	Yes or No or N/A (Not applicable)		<p>If “No” or “N/A”, explain the reason.</p> <p>If “No”, please also explain any steps your CPC plans to implement this requirement.</p> <p>(“N/A” only a permissible response if your CPC has confirmed in this check sheet that it does not have any recreational fisheries that interact</p>

<i>Rec. #</i>	<i>Para #</i>	<i>Requirement</i>	<i>Status of implementation</i>	<i>Relevant domestic laws or regulations (as applicable, include text, references, or links where this information is codified)</i>	<i>Notes/explanations</i>
					with blue marlin or white marlin/spearfish).
18-04	6	<p>“CPCs with recreational fisheries shall adopt domestic regulations that establish minimum sizes in their recreational fisheries that meet or exceed the following lengths: 251 cm LJFL for blue marlin and 168 cm LJFL for white marlin/spearfish, or comparable limits by weight.</p> <p>Has your CPC adopted minimum size requirements consistent with these?</p>	Yes or No or N/A (Not applicable)		<p>If “Yes”, please indicate what minimum size your CPC has set for each species, including if your CPC implements through a comparable weight limit.</p> <p>If “No” or “N/A”, explain the reason.</p> <p>If “No”, please also explain any steps your CPC plans to implement this requirement.</p> <p>(“N/A” is only a permissible response if your CPC has confirmed in this check sheet that it does not have any recreational fisheries that interact with blue marlin or white marlin/spearfish).</p>
18-04	7	<p>“CPCs shall prohibit the sale, or offering for sale, of any part or whole carcass of blue marlin or white marlin/spearfish caught in recreational fisheries.”</p> <p>Has your CPC implemented this no sale provision?</p>	Yes or No or N/A (Not applicable)		<p>If “No” or “N/A”, please explain the reason.</p> <p>If “No”, please also explain any steps your CPC plans to implement this requirement.</p> <p>(“N/A” may only be used if the CPC has confirmed in this check sheet that it does not have any recreational fisheries that interact with blue marlin or white marlin/spearfish).</p>
18-04	8	<p>“CPCs shall inform the Commission of steps taken to implement the provisions of this Recommendation through domestic law or regulations, including monitoring, control and surveillance measures.”</p> <p>Does your CPC provide this information to ICCAT?</p>	Yes or No		<p>If “Yes”, please provide here information on implementation (including monitoring, control, and surveillance measures) not otherwise covered elsewhere on this check sheet.</p>

<i>Rec. #</i>	<i>Para #</i>	<i>Requirement</i>	<i>Status of implemen- tation</i>	<i>Relevant domestic laws or regulations (as applicable, include text, references, or links where this information is codified)</i>	<i>Notes/explanations</i>
					If "No", please explain the reason, and any steps your CPC plans to implement this requirement.
18-04	9	Does your CPC have non-industrial fisheries that interact with blue marlin or white marlin/spearfish?	Yes or No		"N/A" is not a permissible response.
18-04	9	"CPCs with non-industrial fisheries shall provide information about their data collection programs."	Yes or No or N/A (Not applicable)		<p>If "Yes", please briefly describe the data collection program.</p> <p>If "No" or "N/A", explain the reason.</p> <p>If "No", please also explain any steps your CPC plans to implement this requirement.</p> <p>("N/A" may only be used if the CPC has confirmed in this check sheet that it does not have any non-industrial fisheries that interact with blue marlin or white marlin/spearfish).</p>
18-04	10	<p>"CPCs shall provide their estimates of live and dead discards, and all available data including observer data on landings and discards for blue marlin, white marlin/spearfish, annually by July 31 as part of their Task I and II data submission to support the stock assessment process."</p> <p>Has your CPC provided this data by the deadline?</p>	Yes or No		If "No", please explain the reason and any steps your CPC plans to implement this requirement.
16-11	1	"Contracting Parties and Cooperating non-Contracting Parties, Entities or Fishing Entities (CPCs) whose vessels catch Atlantic sailfish (<i>Istiophorus albicans</i>) in the Convention Area shall ensure that management measures are in place to support the conservation of this species in line with ICCAT's Convention objective by undertaking the	Yes or No		<p>If "Yes", please explain management measures taken or maintained to implement this requirement.</p> <p>If "No", explain the reason, and any steps your CPC plans to implement this requirement.</p>

<i>Rec. #</i>	<i>Para #</i>	<i>Requirement</i>	<i>Status of implemen- tation</i>	<i>Relevant domestic laws or regulations (as applicable, include text, references, or links where this information is codified)</i>	<i>Notes/explanations</i>
		following: (b) To prevent catches from exceeding this level for either stock of sailfish, CPCs shall take or maintain appropriate measures to limit sailfish mortality. Such measures could include, for example: releasing live sailfish, encouraging or requiring the use of circle hooks or other effective gear modifications, implementing a minimum size, and/or limiting days at sea.”			(“N/A” is not a permissible response).
16-11	2	“CPCs shall enhance their efforts to collect data on catches of sailfish, including live and dead discards, and report these data annually as part of their Task I and II data submission to support the stock assessment process.” Has your CPC enhanced its data collection efforts as required?	Yes or No		If yes, please explain actions taken. If “No”, please explain the reason (and any implementation steps your CPC plans to take). (“N/A” is not a permissible response).
16-11	3	CPCs shall describe their data collection programmes and steps taken to implement this Recommendation Has your CPC described its data collection programmes?	Yes or No		If “Yes”, please provide the information here, or if the information has been reported to ICCAT through means other than this check sheet, please indicate where. If “No” the reason, and any implementation steps the CPC plans to take. (“N/A” is not a permissible response).

**RECOMMENDATION BY ICCAT TO ESTABLISH
REBUILDING PROGRAMS FOR BLUE MARLIN AND WHITE MARLIN/ROUNDSCALE SPEARFISH**

(Entered into force **20 June 2020**)

RECALLING the 2000 blue marlin stock assessment, which found that the stock was below B_{MSY} (overfished) with fishing mortality above F_{MSY} (overfishing occurring), and subsequent assessments, most recently in 2018, confirming that the stock remains in this state;

ACKNOWLEDGING the 2019 white marlin/roundscale spearfish stock assessment, which found that overfishing is not occurring, but the stock remains overfished after more than twenty years of management by ICCAT;

AWARE OF measures adopted by the Commission over the last 20 years to improve the status of blue marlins and white marlins, including the *Recommendation by ICCAT to establish a Plan to Rebuild Blue Marlin and White Marlin Populations* (Rec. 00-13), *Recommendation by ICCAT to Further Strengthen the Plan to Rebuild Blue Marlin and White Marlin stocks* (Rec. 12-04), and subsequent recommendations;

UNDERSTANDING, however, the 2019 SCRS advice that total catches of blue marlin should be reduced to 1,750 t or less to provide at least a 50% chance of rebuilding by 2028 and that total catches of white marlin/roundscale spearfish should not exceed 400 t to support rebuilding;

ACKNOWLEDGING that dead discards are not accounted for in the annual limits in the *Recommendation by ICCAT to Replace Rec. 15-05 to Further Strengthen the Plan to Rebuild Blue Marlin and White Marlin Stocks* (Rec. 18-04);

AIMING to establish limits for blue marlin and white marlin/roundscale spearfish that take into account reported dead discards;

UNDERSCORING the existing obligations of CPCs to require the collection of data on dead and live discards in their domestic observer and logbook programs under the *Recommendation by ICCAT on Information Collection and Harmonization of Data on By-catch and Discards in ICCAT Fisheries* (Rec. 11-10), consistent with the *Recommendation by ICCAT to Establish Minimum Standards for Fishing Vessel Scientific Observer Programs* (Rec. 16-14), and to report these data to ICCAT;

THE INTERNATIONAL COMMISSION FOR THE
CONSERVATION OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

1. CPCs shall implement measures to end overfishing of blue marlin as soon as possible and to rebuild blue marlin and white marlin/roundscale spearfish stocks to their respective B_{MSY} levels as follows:

Annual limits and related provisions

2. An annual limit of 1,670 t for blue marlin and of 355 t for white marlin/roundscale spearfish is established beginning in 2020. Landings limits shall be implemented as follows:

<i>Blue Marlin</i>	<i>Landings Limit (t)</i>
Brazil	159.8
China, P.R.	37.9
Chinese Taipei	126.2
Côte d'Ivoire	126.2
European Union ¹	403.8
Ghana	210.3
Japan	328.1
Korea Rep.	29.4
Mexico	58.9
S. Tomé & Príncipe	37.9
Senegal	50.5
Trinidad and Tobago	16.8
Venezuela	84.1
TOTAL	1,670

<i>White Marlin/Roundscale Spearfish</i>	<i>Landings Limit (t)</i>
Barbados	10
Brazil	50
Canada	10
China, P.R.	10
Chinese Taipei	50
European Union	50
Côte d'Ivoire	10
Japan	35
Korea Rep.	20
Mexico	25
S. Tomé & Príncipe	20
Trinidad and Tobago	15
Venezuela	50
TOTAL	355

The United States shall limit its landings to 250 recreationally caught Atlantic blue marlin and white marlin/roundscale spearfish combined on an annual basis. All other CPCs shall limit their landings to a maximum of 10 t of Atlantic blue marlin and 2 t of white marlin/roundscale spearfish combined.

3. a) Any excess of the annual landings limits established in paragraph 2 shall be deducted from the respective landings limits during or before the adjustment year, in the following way:

<i>Catch Year</i>	<i>Adjustment Year</i>
2019	2021
2020	2022
2021	2023
2022	2024
2023	2025
2024	2026

- b) Notwithstanding subparagraph (a) above, if any CPC exceeds its landings limit during any two consecutive years, its landings limit shall be reduced on or before the adjustment year by at least 125% of the excess harvest, and the Commission may recommend additional actions, as appropriate.

¹ The following transfer of annual landings limit shall be authorized for blue marlin: From EU to Trinidad & Tobago: 2 t.

- c) Starting with 2020 catches, any underharvest by a CPC of its annual landings limit may not be carried forward to a subsequent year.

Live release requirement and retention allowances

- 4. To the extent possible, CPCs shall require pelagic longline vessels and purse seine vessels flying their flag to promptly release blue marlin and white marlin/roundscale spearfish that are alive at haul-back, giving due consideration to the safety of crew members, in a manner that causes the least harm and maximizes post-release survival.
- 5. CPCs shall encourage the implementation of the minimum standards for safe handling and live release procedures, as specified in **Annex 1** while giving due consideration to the safety of the crew. The fishing vessels should have readily available on deck and easily accessible by crew, a lifting device, bolt cutter, dehooker/disgorger and line-cutter for safe release of live marlins caught.
- 6. CPCs should ensure that captain and crew members of their fishing vessels are adequately trained, aware of and use proper mitigation, identification, handling and releasing techniques and keep on board all equipment necessary for the release of marlins in accordance with the minimum standards for safe handling procedures as specified in **Annex 1**. Nothing in this measure shall prevent CPCs from adopting more stringent measures.
- 7. CPCs shall endeavor to minimize the post-release mortality of marlins/roundscale spearfish in their ICCAT fisheries.
- 8. CPCs may authorize their pelagic longline and purse seine vessels to catch and retain on board, transship, or land blue marlin and white marlin/roundscale spearfish that are dead, within their landing limit.
- 9. For CPCs that prohibit dead discards, the landings of blue marlin and white marlin/roundscale spearfish that are dead when brought alongside the vessel and that are not sold or entered into commerce shall not count against the limits established in paragraph 2, on the condition that such prohibition be clearly explained in their Annual Report. This provision shall be applicable only to commercial fisheries.
- 10. Blue marlin and white marlin/roundscale spearfish that are caught for local consumption by developing coastal CPCs, or by other CPCs' small island, artisanal, subsistence, and small-scale coastal fisheries are exempted from Paragraph 4 provided these CPCs (a) submit Task I and Task II data according to the reporting procedures established by the SCRS and (b) in the case of non-developing coastal CPCs, notify the Commission of their claim to this exemption and measures taken to limit application of this exemption to such fisheries.
- 11. For recreational and sport fisheries:
 - a) CPCs shall take appropriate measures to ensure that any released fish are released in a manner that causes the least harm.
 - b) CPCs shall establish minimum sizes for retention that meet or exceed the following lengths: 251 cm Lower Jaw-Fork Length (LJFL) for blue marlin and 168 cm LJFL for white marlin/roundscale spearfish.
 - c) CPCs shall prohibit the sale, or offering for sale, of any part or whole carcass of blue marlin or white marlin/roundscale spearfish caught in recreational and sport fisheries.

Observer programme

- 12. CPCs shall collect catch data on blue marlin and white marlin/roundscale spearfish, including live and dead discards, through logbooks and scientific observer programs as required by Rec. 11-10 and Rec. 16-14. CPCs shall include their estimates of total dead and live discards in their Task I Nominal Catch data submission.

13. CPCs shall establish or maintain data collection programs in recreational and sport fisheries, including a minimum of 5% scientific observer coverage of blue marlin and white marlin/roundscale spearfish tournaments, to ensure that catches are reported in accordance with existing ICCAT reporting obligations.

Data collection and reporting

14. CPCs shall provide their estimates of total live and dead discards of blue marlin, white marlin/roundscale spearfish, based on fishing logbooks, landing declarations, or equivalent document for the sport/recreational fisheries, as well as scientific observer reports, as part of their Task I and II data submission to support the stock assessment process.
15. Starting with the reporting of 2020 catches, failure to report Task I data, including dead discards, for blue marlin and white marlin/roundscale spearfish in accordance with established ICCAT requirements will result in a prohibition of retention of these species in accordance with the *Recommendation by ICCAT on Penalties Applicable in Case of Non Fulfilment of Reporting Obligations* (Rec. 11-15).
16. No later than 2020, CPCs shall present to the SCRS the statistical methodology used to estimate dead and live discards. CPCs with artisanal and small-scale fisheries shall also provide information about their data collection programs.

The SCRS shall review these methodologies and if it determines that a methodology is not scientifically sound, the SCRS shall provide relevant feedback to the CPCs in question to improve the methodologies.

The SCRS shall also determine if one or more capacity building workshops are warranted to help CPCs to comply with the requirement to report total live and dead discards. If so, the Secretariat in coordination with the SCRS should begin organizing the SCRS-recommended workshop(s) in 2021 with a view to convening them as soon as practicable.

17. The SCRS shall evaluate the completeness of Task I and II data submissions, including estimates of total dead and live discards, and determine the feasibility of estimating fishing mortalities by industrial fisheries (including longline and purse seine), artisanal fisheries and recreational fisheries. If after conducting such evaluation, the SCRS determines that significant gaps in data reporting exist, the SCRS should explore approaches to estimate the level of unreported catches to include in future stock assessments in order to enhance the basis on which to provide management advice to the Commission.

SCRS work and request for scientific advice

18. The SCRS shall continue its work to further improve data collection initiatives as part of the ICCAT Enhanced Program for Billfish Research to overcome the data gap issues of those fisheries, in particular artisanal fisheries of developing CPCs to inform future decisions by the Commission.
19. The Secretariat, with support from the Commission and the SCRS, shall continue its review of the relevant work conducted by the regional and sub-regional international organizations, similar to the review conducted for West Africa, with a priority focus on the Caribbean and Latin America. The Secretariat and CPCs are also encouraged to collaborate with the Western Central Atlantic Fisheries Commission (WECAFC) on fishery statistics on ICCAT species.

Taking into account the findings of these regional reviews, the CPCs shall take action, as appropriate, to improve data collection and reporting programs in accordance with any SCRS advice in preparation for the next white marlin/roundscale spearfish and blue marlin stock assessments.

20. The Permanent Working Group for the Improvement of ICCAT Statistics and Conservation Measures (PWG), in cooperation with the SCRS, shall work to develop recommendations on the following issues for consideration at the 2021 annual meeting of the Commission:

- a) Minimum standard for an electronic monitoring system such as:

- (i) the minimum specification of the recording equipment (e.g. resolution, recording time capacity, data storage type, data protection)
- (ii) the number of cameras to be installed at which points on board
- b) What shall be recorded
- c) Data analysis standards, e.g., converting video footage into actionable data by the use of artificial intelligence
- d) Data to be analyzed, e.g., species, length, estimated weight, fishing operation details
- e) Reporting format to the Secretariat

In 2020 CPCs are encouraged to conduct trials on electronic monitoring and report the results back to the PWG and the SCRS in 2021 for their review.

21. The SCRS shall, in collaboration with CPCs, explore potential technical changes to the terminal gear (such as hook shape, hook size, leader type, etc.) and fishing practices (e.g., timing, soaking time, bait, depths, areas) that could reduce bycatch and bycatch mortality (at-vessel and post-release). As part of this process, the SCRS in collaboration with CPCs shall design and implement a study(ies) to compare the effects of hook shape and size on catch rates (considering both hooking and retention rates), at-haulback mortality, and post-release mortality. The experimental design should account for the influence of leader material types and consider potential operational differences among regions and fleets.
22. The SCRS shall conduct assessments for blue marlin in 2024 and white marlin/roundscale spearfish in 2025.

Compliance

23. Consistent with the *Recommendation by ICCAT on Improvement of Compliance Review of Conservation and Management Measures Regarding Billfish Caught in the ICCAT Convention Area* (Rec. 18-05), CPCs shall submit details of their implementation of this measure through domestic law or regulations, including monitoring, control and surveillance measures, and of their compliance with this measure using the billfish check sheet.

Repeals and review clause

24. In 2022, the Commission shall review any new scientific advice from the SCRS and consider adjustments, such as the adoption of additional conservation and management measures or review of the landing limits, as appropriate.
25. This Recommendation repeals and replaces the *Recommendation by ICCAT to Replace Rec. 15-05 to Further Strengthen the Plan to Rebuild Blue Marlin and White Marlin Stocks* (Rec. 18-04).

Minimum standards for safe handling and live release procedures²

The following steps should be followed to reduce stress and injury to incidentally caught marlins and round scale spearfish specimens for a maximum probability of survival while minimizing the safety risk to the crew. Skippers and crew should always put their personal safety first when releasing marlins and other large fish. Wear gloves and avoid working around the spear-shaped bill. These basic guidelines do not replace stricter safety rules established by CPCs national Authorities.

- Stop the vessel or substantially reduce its speed.
- Secure the far side of the longline mainline to the boat to avoid that any remaining gear in the water pulls on the line and the animal.
- Bring the marlin as close to the vessel as possible without putting too much tension on the branchline to avoid that a released hook or branchline breaks could shoot hook, weights and other parts toward the vessels at high speed.
- Do not remove the alive marlin from the water boatside, while safely removing the hook.
- Limit the number of manipulation.
- Do not gaff the fish in the body.
- If possible, avoid grabbing the marlin by the body and use gloves to grab the marlin by its snout or a snooter.
- In case the hook is visible, lightly flicking the branchline to try dislodging the hook.
- Where feasible rig a measuring device so the fish can be roughly measured in the water (e.g. mark a pole, leader and float; mark the gunwale of the boat with measurements marks).
- If the marlin is vigorously twisting and spinning making it too dangerous to use a dehooker/disgorger or the marlin swallowed the hook that cannot be seen, then use a long-handled line cutter and cut the leader/line as close to the fish as safely possible so that they are not trailing large amounts of line that could reduce post-release survival.
- Help revive the fish by slowly towing it in the water until its colour or energy returns (5 minutes or more). Most highly migratory species must keep water flowing over their gills to breathe. With the boat in gear, slowly move forward while keeping the fish's head in the water.
- If hooked, and hook is visible in the body or mouth, use a bolt cutter to remove the hook barb, and then remove the hook.
- Don't wrap your fingers, hands or arms in the line when bringing a marlin to the boat – you might get pulled overboard.
- Don't lift them using the branchline, especially if hooked.
- Do not lift using thin wires or cables or by the tail alone.

² <https://www.bmis-bycatch.org/index.php/mitigation-techniques/safe-handling-release>

- Poisson F., Wendling B., Cornella D., Segorb C., 2016. Guide du pêcheur responsable : Bonnes pratiques pour réduire la mortalité des espèces sensibles capturées accidentellement par les palangriers pélagiques français en Méditerranée. Projets SELPAL et RéPAST. 60 pages.
- Poisson F., Vernet A. L., Séret B., Dagorn L. Good practices to reduce the mortality of sharks and rays caught incidentally by the tropical tuna purse seiners. EU FP7 project #210496 MADE, Deliverable 7.2., 30p.
- AFMA (2016) Shark and Ray Handling Practices - A guide for commercial fishers in southern Australia
- NOAA fisheries, 2017, Careful Catch and Release Brochure. 2 pages.

**RESOLUTION BY ICCAT ON COOPERATION WITH THE FOOD AND AGRICULTURE
ORGANIZATION OF THE UNITED NATIONS (FAO) WITH REGARD TO
STUDY ON THE STATUS OF STOCKS AND BY-CATCHES OF SHARK SPECIES**

(Transmitted to Contracting Parties: **December 21, 1995**)

NOTING that more than 350 shark species inhabit both the pelagic areas and coastal areas, and that information on stock sizes, biological parameters, by-catch levels and effects of by-catch is insufficient;

NOTING that some shark species are incidentally caught in tuna fisheries;

FURTHER NOTING that, at present, sharks are not generally subject to specific conservation and management measures by international or regional/sub-regional fishery organizations;

RECOGNIZING the work of the Study Group on Elasmobranch Fishes of the International Council for the Exploration of the Sea (ICES);

RECOGNIZING that the Ninth Meeting of the Conference of the Parties to the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), (Fort Lauderdale, Florida - November 7 to 18, 1994), adopted a Resolution on the "Status of International Trade in Shark Species";

AFFIRMING that the Sub-Committee on By-catches of the ICCAT Standing Committee on Research and Statistics (SCRS) is presently assembling relevant information and identifying those species which should be studied by ICCAT;

ALSO, CONSIDERING that cooperation on research and analysis on a global basis is fundamentally essential to elucidate on the overall nature of this problem and actions to be taken concerning shark species;

Therefore,

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RESOLVES:**

- 1 That FAO be the focal point in which to initiate a program to collect, on a global scale, the necessary biological data, including stock abundance and the magnitude of by-catch, and trade data on shark species, and to serve a coordination function among regional or sub-regional fisheries management organizations for said activities;
- 2 That the Contracting Parties of ICCAT provide FAO with the information, and financial assistance where possible, to conduct the work required; and
- 3 That international or regional/sub-regional fisheries management organizations cooperate with FAO in providing the necessary information and advice in response to the requests made, including the aforementioned CITES Resolution.

RESOLUTION BY ICCAT ON THE SHARK FISHERY

(Transmitted to Contracting Parties: **December 19, 2003**)

RECALLING that the Commission adopted the *Resolution by ICCAT on Atlantic Sharks* [01-11] at the 2001 meeting;

AFFIRMING the Commission's support for the initiative of the Food and Agriculture Organization of the United Nations (FAO) on conservation and management of sharks while noting with concern that only a small number of countries have implemented the 1999 FAO International Plan of Action (IPOA) for the Conservation and Management of Sharks;

ACKNOWLEDGING that the United Nations is considering calling upon States, FAO and sub-regional or regional fisheries management organizations and arrangements to implement fully the 1999 FAO IPOA for the Conservation and Management of Sharks, as a matter of priority, *inter alia*, through conducting assessments of shark stocks and developing and implementing National Plans of Action (NPOA);

CONCERNED that an extensive shark fishery is reported to be conducted in the Caribbean Sea and elsewhere in the Atlantic by a large number of shark fishing vessels, including those slightly smaller than 24 m length overall, about which the Commission has little information;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RESOLVES THAT:**

Each Contracting Party and Cooperating non-Contracting Party, Entity or Fishing Entity take the following actions:

- 1 Provide the Working Group of the Sub-Committee on By-catch scheduled to meet in 2004 with the information on their shark catches, effort by gear type, landings and trade of shark products.
- 2 Fully implement a NPOA in accordance with the FAO IPOA for the Conservation and Management of Sharks adopted by FAO.

**RECOMMENDATION BY ICCAT CONCERNING THE CONSERVATION OF SHARKS
CAUGHT IN ASSOCIATION WITH FISHERIES MANAGED BY ICCAT**

(Entered into force **June 13, 2005**)

RECALLING that the United Nations Food and Agriculture Organization (FAO) International Plan of Action for Sharks calls on States, within the framework of their respective competencies and consistent with international law, to cooperate through regional fisheries organizations with a view to ensuring the sustainability of shark stocks as well as to adopt a National Plan of Action for the conservation and management of sharks;

CONSIDERING that many sharks are part of pelagic ecosystems in the Convention area, and that tunas and tuna-like species are captured in fisheries targeting sharks;

RECOGNIZING the need to collect data on catch, effort, discards, and trade, as well as information on the biological parameters of many species, in order to conserve and manage sharks;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

- 1 Contracting Parties, Cooperating non-Contracting Parties, Entities or Fishing Entities (CPCs) shall annually report Task I and Task II data for catches of sharks, in accordance with ICCAT data reporting procedures, including available historical data.
- 2 CPCs shall take the necessary measures to require that their fishermen fully utilize their entire catches of sharks. Full utilization is defined as retention by the fishing vessel of all parts of the shark excepting head, guts and skins, to the point of first landing.
- 3 CPCs shall require their vessels to not have onboard fins that total more than 5% of the weight of sharks onboard, up to the first point of landing. CPCs that currently do not require fins and carcasses to be offloaded together at the point of first landing shall take the necessary measures to ensure compliance with the 5% ratio through certification, monitoring by an observer, or other appropriate measures.
- 4 The ratio of fin-to-body weight of sharks described in paragraph 3 shall be reviewed by the SCRS and reported back to the Commission in 2005 for revision, if necessary.
- 5 Fishing vessels are prohibited from retaining on board, transshipping or landing any fins harvested in contravention of this Recommendation.
- 6 In fisheries that are not directed at sharks, CPCs shall encourage the release of live sharks, especially juveniles, to the extent possible, that are caught incidentally and are not used for food and/or subsistence.
- 7 In 2005, the SCRS shall review the assessment of shortfin mako sharks (*Isurus oxyrinchus*) and recommend management alternatives for consideration by the Commission, and reassess blue shark (*Prionaca glauca*) and shortfin mako no later than 2007.
- 8 CPCs shall, where possible, undertake research to identify ways to make fishing gears more selective.
- 9 CPCs shall, where possible, conduct research to identify shark nursery areas.
- 10 The Commission shall consider appropriate assistance to developing CPCs for the collection of data on their shark catches.
- 11 This recommendation applies only to sharks caught in association with fisheries managed by ICCAT.

SUPPLEMENTAL RECOMMENDATION BY ICCAT CONCERNING SHARKS

(Entered into force: **June 4, 2008**)

RECALLING that the Commission adopted the *Resolution by ICCAT on Atlantic Sharks* [Res. 01-11] and the *Recommendation by ICCAT Concerning the Conservation of Sharks Caught in Association with Fisheries Managed by ICCAT* [Rec. 04-10] and the *Recommendation by ICCAT to Amend Recommendation 04-10 Concerning the Conservation of Sharks Caught in Association with Fisheries Managed by ICCAT* [Rec. 05-05];

FURTHER RECALLING the United Nations Food and Agriculture Organization (FAO) International Plan of Action for Sharks;

CONSIDERING that many shark species, including porbeagle, blue and shortfin mako sharks, are captured in ICCAT Convention area fisheries;

NOTING that the SCRS has previously stated there is a need for improved data reporting on catch, effort, and discards of sharks and this data has, in many instances, not been forthcoming;

NOTING that the 2007 SCRS presentation of the Report of the Shark Working Group Data Preparatory Meeting highlighted the porbeagle shark, among others, as a species of concern;

FURTHER NOTING that in 2005 the SCRS recommended reducing fishing mortality for North Atlantic shortfin mako sharks;

ACKNOWLEDGING that the SCRS will be conducting stock assessments on shortfin mako and blue sharks in 2008;

RECOGNIZING the global interest in shark conservation, specifically the proposal to add porbeagle shark to Appendix II of the Convention on International Trade in Endangered Species of Wild Flora and Fauna (CITES);

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

1. Contracting Parties, Cooperating non-Contracting Parties, Entities and Fishing Entities (hereinafter referred to as CPCs), especially those directing fishing activities for sharks, shall submit Task I and II data for sharks, as required by ICCAT data reporting procedures (including estimates of dead discards and size frequencies) in advance of the next SCRS assessment;
2. Until such time as sustainable levels of harvest can be determined through peer reviewed stock assessments by SCRS or other organizations, CPCs shall take appropriate measures to reduce fishing mortality in fisheries targeting porbeagle (*Lamna nasus*) and North Atlantic shortfin mako sharks (*Isurus oxyrinchus*).
3. Notwithstanding paragraph 2, CPCs may conduct scientifically based research that is submitted to SCRS for these species in the Convention area.
4. CPCs shall, where possible, implement research on pelagic shark species caught in the Convention area in order to identify potential nursery areas. Based on this research, CPCs shall consider time and area closures and other measures, as appropriate.
5. The SCRS shall, as soon as possible but no later than 2009, conduct a stock assessment or a thorough review of available stock assessment information of, and recommend management advice for, porbeagle shark (*Lamna nasus*).

**RECOMMENDATION BY ICCAT ON REDUCING INCIDENTAL BY-CATCH
OF SEABIRDS IN LONGLINE FISHERIES**

(Transmitted to Contracting Parties: **June 4, 2008**)

RECOGNISING the need to strengthen mechanisms to protect seabirds in the Atlantic Ocean;

TAKING INTO ACCOUNT the United Nations Food and Agriculture Organization (FAO) International Plan of Action for Reducing the Incidental Catch of Seabirds in Longline Fisheries (IPOA-Seabirds), and the IOTC Working Party on By-catch objectives;

ACKNOWLEDGING that to date some Contracting Parties and Cooperating non-Contracting Parties, Entities, or Fishing Entities (hereinafter referred to as “CPCs”) have identified the need for, and have either completed or are near finalized, their National Plan of Action on Seabirds;

RECOGNISING the concern that some species of seabirds, notably albatross and petrels, are threatened with extinction;

NOTING that the Agreement on the Conservation of Albatrosses and Petrels has entered into force;

RECALLING the *Resolution by ICCAT on Incidental Mortality of Seabirds [Res. 02-14]*;

CONSCIOUS that there are on-going scientific studies which may result in the identification of more effective mitigation measures and therefore that these current measures should be considered provisional;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

1. The Commission shall develop mechanisms to enable CPCs to record data on seabird interactions, including regular reporting to the Commission, and seek agreement to implement such mechanisms as soon as possible thereafter.
2. CPCs shall collect and provide all available information to the Secretariat on interactions with seabirds, including incidental catches by their fishing vessels.
3. CPCs shall seek to achieve reductions in levels of seabird by-catch across all fishing areas, seasons and fisheries, through the use of effective mitigation measures.
4. All vessels fishing south of 20°S shall carry and use bird-scaring lines (tori poles):
 - Tori poles shall be used in consideration of the suggested tori pole design and deployment guidelines (provided for in **Annex 1**);
 - Tori lines are to be deployed prior to longlines entering the water at all times south of 20°S;
 - Where practical, vessels are encouraged to use a second tori pole and bird-scaring line at times of high bird abundance or activity;
 - Back-up tori lines shall be carried by all vessels and be ready for immediate use.
5. Longline vessels targeting swordfish using monofilament longline gear may be exempted from the requirements of paragraph 4 of this Recommendation, on condition that these vessels set their longlines during the night, with night being defined as the period between nautical dusk/dawn as referenced in the nautical dusk/dawn almanac for the geographical position fished. In addition, these vessels are required to use a minimum swivel weight of 60g placed not more than 3m from the hook to achieve optimum sink rates.

CPCs applying this derogation shall inform the SCRS of their scientific findings resulting from their observer coverage of these vessels.

6. The Commission shall, upon receipt of information from the SCRS, consider, and if necessary, refine, the area of application of the mitigation measures specified in paragraph 4.
7. This measure is a provisional measure which will be subject to review and adjustment in the light of future available scientific advice.
8. The Commission shall consider adopting additional measures for the mitigation of any incidental catch of seabirds at its annual meeting in 2008 based on the results of the ICCAT seabird assessment which is currently underway.

Suggested Guidelines for Design and Deployment of Tori Lines

Preamble

These guidelines are designed to assist in preparation and implementation of tori line regulations for longline vessels. While these guidelines are relatively explicit, improvement in tori line effectiveness through experimentation is encouraged. The guidelines take into account environmental and operational variables such as weather conditions, setting speed and ship size, all of which influence tori line performance and design in protecting baits from birds. Tori line design and use may change to take account of these variables provided that line performance is not compromised. On-going improvement in tori line design is envisaged and consequently review of these guidelines should be undertaken in the future.

Tori line design

1. It is recommended that a tori line 150 m in length be used. The diameter of the section of the line in the water may be greater than that of the line above water. This increases drag and hence reduces the need for greater line length and takes account of setting speeds and length of time taken for baits to sink. The section above water should be a strong fine line (e.g. about 3 mm diameter) of a conspicuous color such as red or orange.
2. The above water section of the line should be sufficiently light that its movement is unpredictable to avoid habituation by birds and sufficiently heavy to avoid deflection of the line by wind.
3. The line is best attached to the vessel with a robust barrel swivel to reduce tangling of the line.
4. The streamers should be made of material that is conspicuous and produces an unpredictable lively action (e.g. strong fine line sheathed in red polyurethane tubing) suspended from a robust three-way swivel (that again reduces tangles) attached to the tori line, and should hang just clear of the water.
5. There should be a maximum of 5-7 m between each streamer. Ideally each streamer should be paired.
6. Each streamer pair should be detachable by means of a clip so that line stowage is more efficient.
7. The number of streamers should be adjusted for the setting speed of the vessel, with more streamers necessary at slower setting speeds. Three pairs are appropriate for a setting speed of 10 knots.

Deployment of tori lines

1. The line should be suspended from a pole affixed to the vessel. The tori pole should be set as high as possible so that the line protects bait a good distance astern of the vessel and will not tangle with fishing gear. Greater pole height provides greater bait protection. For example, a height of around 6 m above the water line can give about 100 m of bait protection.
2. The tori line should be set so that streamers pass over baited hooks in the water.
3. Deployment of multiple tori lines is encouraged to provide even greater protection of baits from birds.
4. Because there is the potential for line breakage and tangling, spare tori lines should be carried onboard to replace damaged lines and to ensure fishing operations can continue uninterrupted.
5. When fishers use a bait casting machine (BCM), they must ensure coordination of tori line and machine by:
 - (i) ensuring the BCM throws directly under the tori line protection, and
 - (ii) when using a BCM that allows throwing to port and starboard, ensure that two tori lines are used.
6. Fishers are encouraged to install manual, electric or hydraulic winches to improve ease of deployment and retrieval of tori lines.

**RECOMMENDATION BY ICCAT ON THE CONSERVATION OF THRESHER SHARKS CAUGHT IN
ASSOCIATION WITH FISHERIES IN THE ICCAT CONVENTION AREA**

(Entered into force: **June 1, 2010**)

RECALLING that the Commission adopted the *Resolution by ICCAT on Atlantic Sharks* [Res. 01-11], the *Recommendation by ICCAT Concerning the Conservation of Sharks Caught in Association with Fisheries Managed by ICCAT* [Rec. 04-10], the *Recommendation by ICCAT to Amend the Recommendation 04-10 on the Conservation of Sharks Caught in Association with the Fisheries Managed by ICCAT* [Rec. 05-05], the *Supplemental Recommendation by ICCAT Concerning Sharks* [Rec. 07-06] and the *Recommendation by ICCAT on the Conservation of Bigeye Thresher Sharks (Alopias superciliosus) Caught in Association with Fisheries Managed by ICCAT* [Rec. 08-07],

CONSIDERING that thresher sharks of the family *Alopiidae* are caught as by-catch in the ICCAT Convention area,

NOTING that at its 2009 Meeting the Standing Committee on Research and Statistics (SCRS) recommended that the Commission prohibit retention and landings of bigeye thresher shark (*Alopias superciliosus*),

RECALLING the need to annually report Task I and Task II for catches of sharks in conformity with the *Recommendation by ICCAT Concerning the Conservation of Sharks Caught in Association with Fisheries Managed by ICCAT* [Rec. 04-10],

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION OF
ATLANTIC TUNA (ICCAT) RECOMMENDS THAT:**

1. Contracting Parties, and Cooperating non-Contracting Parties, Entities or Fishing Entities (hereafter referred to as CPCs) shall prohibit, retaining onboard, transshipping, landing, storing, selling, or offering for sale any part or whole carcass of bigeye thresher sharks (*Alopias superciliosus*) in any fishery with exception of a Mexican small-scale coastal fishery with a catch of less than 110 fish.
2. CPCs shall require vessels flying their flag to promptly release unharmed, to the extent practicable, bigeye thresher sharks when brought along side for taking on board the vessel.
3. CPCs should strongly endeavor to ensure that vessels flying their flag do not undertake a directed fishery for species of thresher sharks of the genus *Alopias spp.*
4. CPCs shall require the collection and submission of Task I and Task II data for *Alopias spp* other than *A. superciliosus* in accordance with ICCAT data reporting requirements. The number of discards and releases of *A. superciliosus* must be recorded with indication of status (dead or alive) and reported to ICCAT in accordance with ICCAT data reporting requirements.
5. CPCs shall, where possible, implement research on thresher sharks of the species *Alopias spp* in the Convention area in order to identify potential nursery areas. Based on this research, CPCs shall consider time and area closures and other measures, as appropriate.
6. *Recommendation by ICCAT on the Conservation of Bigeye Thresher Sharks (Alopias superciliosus) Caught in Association with Fisheries Managed by ICCAT* [Rec. 08-07] is superseded by this Recommendation.

**RECOMMENDATION BY ICCAT ON ATLANTIC SHORTFIN MAKO
SHARKS CAUGHT IN ASSOCIATION WITH ICCAT FISHERIES**

(Entered into force: **June 14, 2011**)

CONSIDERING that Atlantic shortfin mako sharks (*Isurus oxyrinchus*) are caught in association with fisheries managed by ICCAT;

TAKING INTO ACCOUNT that the 2008 ICCAT Standing Committee on Research and Statistics (SCRS) stock assessment indicated North Atlantic shortfin mako stock was depleted to about 50 percent of biomass estimated for the 1950s, and some model outcomes indicated that the stock biomass was near or below the level that would support MSY and current harvest levels are above F_{MSY} ;

RECALLING Recommendation by ICCAT Concerning the Conservation of Sharks Caught in Association with Fisheries Managed by ICCAT [Rec. 04-10], Recommendation by ICCAT to Amend Recommendation [Rec. 04-10] Concerning the Conservation of Sharks Caught in Association with Fisheries Managed by ICCAT [Rec. 05-05], and the Supplemental Recommendation by ICCAT Concerning Sharks [Rec. 07-06], including the obligation of CPCs to annually report Task I and Task II data for catches of sharks, in accordance with ICCAT data reporting procedures;

ALSO RECALLING the need to improve species-specific Task I and Task II data for sharks, as recommended by SCRS;

RECOGNIZING the continuing obligation to reduce mortality of North Atlantic shortfin mako sharks under Recommendations 05-05¹ and 07-06;

NOTING that the 2008 ecological risk assessment conducted by the SCRS concluded that the shortfin mako shark has low biological productivity, making it susceptible to overfishing even at low levels of fishing mortality;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

1. CPCs shall include information in their 2012 Annual Reports on actions taken to implement Recommendations 04-10, 05-05¹, and 07-06, in particular the steps taken to improve their Task I and Task II data collection for direct and incidental catches;
2. Actions taken by CPCs, as described in paragraph 1, shall be reviewed annually by ICCAT's Compliance Committee, beginning in 2012;
3. CPCs that do not report Task I data for Atlantic shortfin mako sharks, in accordance with SCRS data reporting requirements, shall be prohibited from retaining this species, beginning in 2013 until such data have been received by the ICCAT Secretariat;
4. The SCRS shall conduct a stock assessment for shortfin mako sharks in 2012 and advise the Commission on:
 - a) the annual catch levels of shortfin mako that would support MSY;
 - b) other appropriate conservation measures for shortfin mako sharks, taking into account species identification difficulties;
5. The SCRS shall complete its shark identification guide and circulate it to CPCs before the 2011 Commission meeting.

¹ Recommendation 05-05 was replaced by Recommendation 14-06.

RECOMMENDATION BY ICCAT ON THE CONSERVATION OF OCEANIC WHITETIP SHARK CAUGHT IN ASSOCIATION WITH FISHERIES IN THE ICCAT CONVENTION AREA

(Entered into force: **June 14, 2011**)

CONSIDERING that oceanic whitetip sharks (*Carcharhinus longimanus*) are caught as by-catch in the ICCAT Convention area,

TAKING INTO ACCOUNT that (a) the oceanic whitetip shark has been ranked as one of the five species with the highest degree of risk in an ecological risk assessment; (b) it has high at-vessel survival and constitutes a small portion of the shark catch; (c) it is one of the easiest shark species to identify; and (d) that a significant proportion of the species catch is composed of juveniles,

FURTHER CONSIDERING that SCRS recommends adoption of a minimum size of 200 cm total length to protect juveniles,

RECOGNIZING that such minimum size regulation may cause enforcement difficulties,

THE INTERNATIONAL COMMISSION FOR THE
CONSERVATION OF ATLANTIC TUNA (ICCAT) RECOMMENDS THAT:

1. Contracting Parties, and Cooperating non-Contracting Parties, Entities or Fishing Entities (hereafter referred to as CPCs) shall prohibit retaining onboard, transshipping, landing, storing, selling, or offering for sale any part or whole carcass of oceanic whitetip sharks in any fishery.
2. CPCs shall record through their observer programs the number of discards and releases of oceanic whitetip sharks with indication of status (dead or alive) and report it to ICCAT.

**RECOMMENDATION BY ICCAT ON HAMMERHEAD SHARKS (FAMILY *SPHYRNIDAE*) CAUGHT
IN ASSOCIATION WITH FISHERIES MANAGED BY ICCAT**

(Entered into force: **June 14, 2011**)

RECALLING that the Commission adopted the *Resolution by ICCAT on Atlantic Sharks* [Res. 01-11], the *Recommendation by ICCAT Concerning the Conservation of Sharks caught in Association with Fisheries Managed by ICCAT* [Rec. 04-10], the *Recommendation by ICCAT to Amend the Recommendation 04-10 on the Conservation of Sharks Caught in Association with the Fisheries Managed of ICCAT* [Rec. 05-05¹] and the *Supplemental Recommendation by ICCAT Concerning Sharks* [Rec. 07-06].

NOTING that *Sphyrna lewini* and *Sphyrna zygaena* are among the shark species for which there are sustainability concerns.

CONSIDERING that it is difficult to differentiate between the various species of hammerhead sharks except for the bonnethead (*Sphyrna tiburo*) without taking them on board and that such action might jeopardize the survival of the captured individuals.

RECALLING the need to annually report Task I and Task II for catches of sharks in conformity with the *Recommendation by ICCAT Concerning the Conservation of Sharks Caught in Association with Fisheries Managed by ICCAT* [Rec. 04-10];

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

1. Contracting Parties, and Cooperating non-Contracting Parties, Entities or Fishing Entities (hereafter referred to as CPCs) shall prohibit retaining onboard, transshipping, landing, storing, selling, or offering for sale any part or whole carcass of hammerhead sharks of the family *Sphyrnidae* (except for the *Sphyrna tiburo*), taken in the Convention area in association with ICCAT fisheries.
2. CPCs shall require vessels flying their flag, to promptly release unharmed, to the extent practicable, hammerhead sharks when brought alongside the vessel.
3. Hammerhead sharks that are caught by developing coastal CPCs for local consumption are exempted from the measures established in paragraphs 1 and 2, provided these CPCs submit Task I and, if possible, Task II data according to the reporting procedures established by the SCRS. If it is not possible to provide catch data by species, they shall be provided at least by genus *Sphyrna*. Developing coastal CPCs exempted from this prohibition pursuant to this paragraph should endeavor not to increase their catches of hammerhead sharks. Such CPCs shall take necessary measures to ensure that hammerhead sharks of the family *Sphyrnidae* (except of *Sphyrna tiburo*) will not enter international trade and shall notify the Commission of such measures.
4. CPCs shall require that the number of discards and releases of hammerhead sharks are recorded with indication of status (dead or alive) and reported to ICCAT in accordance with ICCAT data reporting requirements.
5. CPCs shall, where possible, implement research on hammerhead sharks in the Convention area in order to identify potential nursery areas. Based on this research, CPCs shall consider time and area closures and other measures, as appropriate.
6. As appropriate, the Commission and its CPCs should, individually and collectively, engage in capacity building efforts and other cooperative activities to support the effective implementation of this Recommendation, including entering into cooperative arrangements with other appropriate international bodies.

¹ Recommendation 05-05 was replaced by Recommendation 14-06.

RECOMMENDATION BY ICCAT ON THE BY-CATCH OF SEA TURTLES IN ICCAT FISHERIES

(Entered into force: **June 14, 2011**)

RECOGNIZING that some fishing operations carried out in the Convention area can adversely affect sea turtles and there is a need to implement measures to mitigate these adverse effects;

EMPHASIZING the need to improve the collection of scientific data regarding all sources of mortality for sea turtle populations, including but not limited to data from fisheries within the Convention area;

CONSISTENT with the call for the minimization of waste, discards, catch of non-target species (both fish and non-fish species), and impacts on associated or dependent species, in particular endangered species, in the FAO Code of Conduct for Responsible Fisheries and U.N. Agreement on Straddling Fish Stocks and Highly Migratory Fish Stocks;

GIVEN THAT the United Nations Food and Agriculture Organization (FAO) adopted the *Guidelines to Reduce Sea Turtle Mortality in Fishing Operations* at its Twenty-sixth Session of the Committee on Fisheries, held in March 2005, and recommended their implementation by regional fisheries bodies and management organizations;

NOTING the importance of harmonizing conservation and management measures with other organizations responsible for managing international fisheries, in particular following through on the commitments that have been made throughout the Kobe meeting process;

RECALLING the recommendation from the independent performance review in September 2008 that ICCAT “develop a stronger approach generally to by-catch and develop and adopt appropriate mitigation measures including reporting on the effectiveness of these measures throughout the fisheries”;

FURTHER RECALLING the *Resolution by the ICCAT on Sea Turtles* [Res. 03-11] and the *Resolution by ICCAT on Circle Hooks* [Res. 05-08];

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

1. Each CPC shall collect, and annually report to ICCAT no later than 2012 information on the interactions of its fleet with sea turtles in ICCAT fisheries by gear type, including catch rates that take into consideration gear characteristics, times and locations, target species, and disposition status (i.e., discarded dead or released alive). Data to be recorded and reported must also include a breakdown of interactions by sea turtle species, and, where possible, include the nature of the hooking or entanglement (including with Fish Aggregating Devices or FADs), bait type, hook size and type, and the size of the animal. CPCs are strongly encouraged to use observers to collect this information.
2. CPCs shall require that:
 - a) purse seine vessels flagged to that CPC operating in the Convention area avoid encircling sea turtles to the extent practicable, release encircled or entangled sea turtles, including on FADs, when feasible, and report interactions between purse seines and/or FADs and sea turtles to their flag CPC so that this information is included in the CPC reporting requirements specified in paragraph 1;
 - b) pelagic longline vessels flagged to that CPC operating in the Convention area carry on board safe-handling, disentanglement and release equipment capable of releasing sea turtles in a manner that maximizes the probability of their survival;
 - a) fishermen on pelagic longline vessels flagged to that CPC operating under their flag use the equipment specified in item 2b above to maximize the probability of sea turtle survival and are trained in safe-handling and release techniques.

3. In advance of the 2011 SCRS meeting, if possible, and no later than 2012, the ICCAT Secretariat shall compile the data collected under paragraph 1 as well as available information from the scientific literature and other relevant sea turtle by-catch mitigation information, including that provided by CPCs and report it to the SCRS for its consideration.
4. SCRS shall also provide advice to the Commission on approaches for mitigating sea turtle by-catch in ICCAT fisheries, including reducing the number of interactions and/or the mortality associated with those interactions. Such advice should be provided, as appropriate, whether or not an assessment as envisioned in paragraph 5 has been conducted.
5. Based on the activities undertaken in paragraph 3, SCRS shall initiate an assessment of the impact of the incidental catch of sea turtles resulting from ICCAT fisheries as soon as possible and no later than 2013. After the initial assessment is complete and the results presented to the Commission, SCRS shall advise the Commission on the timing of future assessments.
6. Upon receipt of advice from the SCRS, the Commission shall consider additional measures to mitigate sea turtle by-catch in ICCAT fisheries, if necessary.
7. As appropriate, the Commission and its CPCs should, individually and collectively, engage in capacity building efforts and other cooperative activities to support the effective implementation of this recommendation, including entering into cooperative arrangements with other appropriate international bodies.
8. In their Annual Reports to ICCAT, CPCs shall report on the implementation of this Recommendation, focusing on paragraphs 1, 2, and 7. In addition, CPCs should report on other relevant actions taken to implement *FAO's Guidelines to Reduce Sea Turtle Mortality in Fishing Operations* with respect to ICCAT fisheries in their Annual Reports.
9. This recommendation replaces the *Resolution by ICCAT on Sea Turtles* [Res. 03-11] in its entirety.

**RECOMMENDATION BY ICCAT ON THE CONSERVATION
OF SILKY SHARKS CAUGHT IN ASSOCIATION WITH ICCAT FISHERIES**

(Entered into force: **June 7, 2012**)

CONSIDERING that silky sharks (*Carcharhinus falciformis*) are caught in association with ICCAT fisheries;

TAKING INTO ACCOUNT that the silky shark has been ranked as the species with the highest degree of vulnerability in the 2010 ecological risk assessment for Atlantic sharks;

CONSIDERING that SCRS recommends that proper conservation and management measures, similar to those adopted for other vulnerable shark species, be also adopted for the silky shark;

NOTING the geographic range of the silky shark which inhabits coastal and oceanic waters throughout the tropics;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNA (ICCAT) RECOMMENDS THAT:

1. Contracting Parties, and Cooperating non-Contracting Parties, Entities or Fishing Entities (hereafter referred to as CPCs) shall require fishing vessels flying their flag and operating in ICCAT managed fisheries to release all silky sharks whether dead or alive, and prohibit retaining on board, transshipping, or landing any part or whole carcass of silky shark.
2. CPCs shall require vessels flying their flag to promptly release silky sharks unharmed, at the latest before putting the catch into the fish holds, giving due consideration to the safety of crew members. Purse seine vessels engaged in ICCAT fisheries shall endeavor to take additional measures to increase the survival rate of silky sharks incidentally caught.
3. CPCs shall record through their observer programs the number of discards and releases of silky sharks with indication of status (dead or alive) and report it to ICCAT.
4. Silky sharks that are caught by developing coastal CPCs for local consumption are exempted from the measures established in paragraphs 1 and 2, provided these CPCs submit Task I and, if possible, Task II data according to the reporting procedures established by the SCRS. CPCs that have not reported species-specific shark data shall provide a plan by July 1, 2012, for improving their data collection for sharks on a species specific level for review by the SCRS and Commission. Developing coastal CPCs exempted from the prohibition pursuant to this paragraph shall not increase their catches of silky sharks. Such CPCs shall take necessary measures to ensure that silky sharks will not enter international trade and shall notify the Commission of such measures.
5. Any CPC that does not report Task I data for silky shark, in accordance with SCRS data reporting requirements, shall be subject to the provisions of paragraph 1 until such data have been reported.
6. The prohibition on retention in paragraph 1 does not apply to CPCs whose domestic law requires that all dead fish be landed, that the fishermen cannot draw any commercial profit from such fish and that includes a prohibition against silky shark fisheries.
7. In their annual reports, CPCs shall inform the Commission of steps taken to implement this Recommendation through domestic law or regulations, including monitoring, control and surveillance measures that support implementation of this recommendation.
8. In 2012, the SCRS Sub-Committee on Statistics shall evaluate the data collection improvement plans (referenced in paragraph 4) submitted by CPCs and, as necessary, make recommendations on how shark data collection can be improved.
9. In 2013, the SCRS shall evaluate the information provided under paragraphs 3 and 4 and report on the sources of silky shark mortality in ICCAT fisheries, including silky shark discard mortality rates, and provide an analysis and advice regarding the benefits of a range of specific silky shark management options.
10. This measure should be reviewed in 2013 in light of the advice provided by the SCRS in accordance with paragraph 9.

**SUPPLEMENTAL RECOMMENDATION BY ICCAT ON REDUCING
INCIDENTAL BY-CATCH OF SEABIRDS IN ICCAT LONGLINE FISHERIES**

(Entered into force: **June 7, 2012**)

RECALLING the Recommendation by ICCAT on Reducing Incidental By-catch of Seabirds in Longline Fisheries [Rec. 07-07];

RECOGNISING the need to strengthen mechanisms to protect endangered seabirds in the Atlantic Ocean;

TAKING INTO ACCOUNT the United Nations Food and Agriculture Organization (FAO) International Plan of Action for Reducing the Incidental Catch of Seabirds in Longline Fisheries (IPOA-Seabirds);

ACKNOWLEDGING that to date some Contracting Parties, Cooperating non-Contracting Parties, Entities or Fishing Entities (hereinafter referred to as "CPCs") have identified the need for, and have either completed or are near finalizing, their National Plan of Action on Seabirds;

RECOGNISING the concern that some species of seabirds, notably some albatrosses and petrels, are threatened with global extinction;

NOTING that the Agreement on the Conservation of Albatrosses and Petrels has entered into force;

NOTING that the General Fisheries Commission for the Mediterranean (GFCM) has adopted Recommendation GFCM/35/2011/13 launching a process, to be carried out in coordination with other RFMOs, with a view to reducing incidental by-catch of seabirds in fisheries in the GFCM Competence Area,

CONSCIOUS that the ICCAT seabird assessment has been completed and has concluded that ICCAT fisheries are having a measurable impact on seabird species;

RECOGNIZING the progress that some CPCs have made in addressing seabird bycatch in their fisheries:

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF THE ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

1. CPCs shall record data on seabird incidental catch by species through scientific observers in accordance with the Recommendation 10-10¹ and report these data annually.
2. CPCs shall seek to achieve reductions in levels of seabird by-catch across all fishing areas, seasons, and fisheries through the use of effective mitigation measures, while giving due consideration to the safety of crew members and the practicability of mitigation measures.
3. In the area south of 25 degrees South latitude, CPCs shall ensure that all longline vessels use at least two of the mitigation measures in **Table 1**. These measures should also be considered for implementation in other areas, as appropriate, consistent with scientific advice.
4. In the Mediterranean, mitigation measures in **Table 1** should be implemented on a voluntary basis. The SCRS is encouraged to work in coordination with the GFCM as provided for in GFCM Recommendation 35/2011/13.
5. Mitigation measures used pursuant to paragraph 3 shall conform to the minimum technical standards for the measures as shown in **Table 1**.
6. The design and deployment for bird scaring lines should also meet the additional specifications provided in **Annex 1**.

¹ Rec. 10-10 was replaced by Rec. 16-14.

7. CPCs shall collect and provide to the Secretariat information on how they are implementing these measures and on the status of their National Plans of Action for Reducing Incidental Catches of Seabirds in Longline Fisheries.
8. In 2015, the SCRS shall conduct another fishery impact assessment to evaluate the efficacy of these mitigation measures. Based on this fishery impact assessment, the SCRS shall make appropriate recommendations, if necessary, to the Commission on any modifications.
9. The Commission shall consider adopting additional measures for the mitigation of any incidental catch of seabirds in light of any new scientific information available, if necessary and consistently with the precautionary approach.
10. Notwithstanding Article VIII of the Convention the provisions of this Recommendation shall come into force to the extent possible by January 2013 but not later than July 2013.
11. ICCAT Rec. 07-07 will continue to apply in the area between 20°S to 25°S.

Table 1. Mitigation measures that comply with the following minimum technical standards.

<i>Mitigation measure</i>	<i>Description</i>	<i>Specification</i>
Night setting with minimum deck lighting	No setting between nautical dawn and before nautical dusk. Deck lighting to be kept to a minimum	Nautical dusk and nautical dawn are defined as set out in the Nautical Almanac tables for relevant latitude, local time and date. Minimum deck lighting should not breach minimum standards for safety and navigation.
Bird-scaring lines (Tori lines)	Bird-scaring lines shall be deployed during longline setting to deter birds from approaching the branch line.	<p>For vessels greater than or equal to 35 m:</p> <ul style="list-style-type: none"> - Deploy at least 1 bird-scaring line. Where practical, vessels are encouraged to use a second tori pole and bird scaring line at times of high bird abundance or activity; both tori lines should be deployed simultaneously, one on each side of the line being set - Aerial extent of bird-scaring lines must be greater than or equal to 100 m. - Long streamers of sufficient length to reach the sea surface in calm conditions must be used. - Long streamers must be at intervals of no more than 5m. <p>For vessels less than 35m:</p> <ul style="list-style-type: none"> - Deploy at least 1 bird-scaring line. - Aerial extent must be greater than or equal to 75m. - Long and/or short (but greater than 1m in length) streamers must be used and placed at intervals as follows: <ul style="list-style-type: none"> o Short: intervals of no more than 2m. o Long: intervals of no more than 5m for the first 55 m of bird scaring line. <p>Additional design and deployment guidelines for bird-scaring lines are provided in Annex 1 of this Recommendation.</p>
Line weighting	Line weights to be deployed on the snood prior to setting	Greater than a total of 45 g attached within 1 m of the hook or; Greater than a total of 60 g attached within 3.5 m of the hook or; Greater than a total of 98 g weight attached within 4 m of the hook.

Supplemental Guidelines for Design and Deployment of Tori Lines

Preamble

Minimum technical standards for deployment of tori lines are found in **Table 1** of this Recommendation, and are not repeated here. These supplemental guidelines are designed to assist in preparation and implementation of tori line regulations for longline vessels. While these guidelines are relatively explicit, improvement in tori line effectiveness through experimentation is encouraged, within the requirements of **Table 1** in the Recommendation. The guidelines take into account environmental and operational variables such as weather conditions, setting speed and ship size, all of which influence tori line performance and design in protecting baits from birds. Tori line design and use may change to take account of these variables provided that line performance is not compromised. On-going improvement in tori line design is envisaged and consequently review of these guidelines should be undertaken in the future.

Tori line design

1. An appropriate towed device on the section of the tori line in the water can improve the aerial extension.
2. The above water section of the line should be sufficiently light that its movement is unpredictable to avoid habituation by birds and sufficiently heavy to avoid deflection of the line by wind.
3. The line is best attached to the vessel with a robust barrel swivel to reduce tangling of the line.
4. The streamers should be made of material that is conspicuous and produces an unpredictable lively action (e.g. strong fine line sheathed in red polyurethane tubing) suspended from a robust three-way swivel (that again reduces tangles) attached to the tori line.
5. Each streamer should consist of two or more strands.
6. Each streamer pair should be detachable by means of a clip so that line stowage is more efficient.

Deployment of tori lines

1. The line should be suspended from a pole affixed to the vessel. The tori pole should be set as high as possible so that the line protects bait a good distance astern of the vessel and will not tangle with fishing gear. Greater pole height provides greater bait protection. For example, a height of around 7 m above the water line can give about 100 m of bait protection.
2. If vessels use only one tori line it should be set to windward of sinking baits. If baited hooks are set outboard of the wake, the streamer line attachment point to the vessel should be positioned several meters outboard of the side of the vessel that baits are deployed. If vessels use two tori lines, baited hooks should be deployed within the area bounded by the two tori lines.
3. Deployment of multiple tori lines is encouraged to provide even greater protection of baits from birds.
4. Because there is the potential for line breakage and tangling, spare tori lines should be carried onboard to replace damaged lines and to ensure fishing operations can continue uninterrupted. Breakaways can be incorporated into the tori line to minimize safety and operational problems should a longline float foul or tangle with the in-water extent of a streamer line.
5. When fishers use a bait casting machine (BCM), they must ensure coordination of tori line and machine by:
 - i) ensuring the BCM throws directly under the tori line protection, and
 - ii) when using a BCM (or multiple BCMs) that allows throwing to both port and starboard, two tori lines should be used.
6. When casting branchline by hand, fishers should ensure that the baited hooks and coiled branchline sections are cast under the tori line protection, avoiding the propeller turbulence which may slow the sink rate.
7. Fishers are encouraged to install manual, electric or hydraulic winches to improve ease of deployment and retrieval of tori lines.

**RECOMMENDATION BY ICCAT ON INFORMATION COLLECTION
AND HARMONIZATION OF DATA ON BY-CATCH AND DISCARDS IN ICCAT FISHERIES**

(Entered into force: **June 7, 2012**)

RECALLING the findings of ICCAT's independent performance review in 2008, including the panel's recommendation that "ICCAT develop a stronger approach generally to by-catch and develop and adopt appropriate mitigation measures including reporting on the effectiveness of these measures throughout the fisheries";

ACKNOWLEDGING the findings of the International Workshop on Tuna RFMO Management of Issues Relating to Bycatch in June 2010, including the recommendation that RFMOs should assess fishery impacts on bycatch, using the best available data;

CONSIDERING that the FAO issued International Guidelines for By-catch Management and Reduction of Discards in January 2011, advising RFMOs to recognize the importance of addressing bycatch problems and to collaborate with other RFMOs to address common issues of concern;

FURTHER CONSIDERING the recommendations developed at the first meeting of the Joint Tuna RFMO Technical Working Group on Bycatch in July 2011;

RECOGNIZING that discussions within the Future of ICCAT Working Group have highlighted the importance of ecosystem considerations;

NOTING that the *Recommendation by ICCAT to Establish Minimum Standards for Fishing Vessel Scientific Observer Programs* [Rec. 10-10] requires CPCs to establish observer programs to collect data that quantify bycatch (including sharks, sea turtles, marine mammals, and seabirds) and report this information to the SCRS;

RESPONDING to recommendations from the SCRS Subcommittee on Ecosystems, including the need for all CPCs to collect and provide bycatch data to the SCRS;

FURTHER RECOGNIZING that the SCRS Sub-Committee on Ecosystems, together with the Working Group on Stock Assessment Methods, is developing guidelines for the presentation and analysis of bycatch statistics;

DETERMINED to improve data collection and reporting on bycatch in ICCAT fisheries, as a basis for future assessment by the SCRS of impacts of these fisheries on bycatch species and consideration of appropriate conservation and management measures by the Commission;

UNDERSCORING the importance of full and active involvement by ICCAT in the work of the Joint Tuna RFMO Technical Working Group on By-Catch, including the development of minimum standards for data collection;

FURTHER NOTING that although Recommendations 04-10, 07-07 and 10-09 established some reporting requirements for species encountered as bycatch in ICCAT fisheries, many CPCs have not taken the necessary steps to collect and report these data.

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

1. Notwithstanding other data collection and reporting programs and requirements adopted by ICCAT and noting continued obligations to fulfill those requirements, in particular those of Recommendation 10-10¹:

¹ Rec. 10-10 was replaced by Rec. 16-14.

- a) Contracting Parties and Cooperating non-Contracting Parties, Entities and Fishing Entities (CPCs) shall require the collection of bycatch and discard data in their existing domestic scientific observer programs and logbook programs;
 - b) CPCs that wish to employ an alternative scientific monitoring approach for vessels <15 meters, as specified in paragraph 1b) of Recommendation 10-10¹, shall describe their alternative approach as part of the observer program report that is due to the SCRS on July 31, 2012 (as required by paragraph 5 of Recommendation 10-10¹).
 - c) For artisanal fisheries that are not subject to ICCAT's minimum standards for scientific observer programs (Recommendation 10-10¹) or recording of catch requirements (Recommendation 03-13) CPCs shall implement measures to collect bycatch and discard data through alternative means and describe these efforts in their Annual Reports, beginning in 2012. The SCRS shall evaluate these measures in 2013 and provide advice to the Commission on this matter;
 - d) CPCs shall report the bycatch and discard data collected under paragraphs 1a and b to the Secretariat in the format specified by SCRS, in accordance with existing deadlines for data reporting;
 - e) CPCs shall report on steps taken to mitigate bycatch and reduce discards, and on any relevant research in this field, as part of their Annual Reports, beginning in 2012;
2. CPCs shall provide these data in a manner consistent with their domestic confidentiality requirements.
 3. Where possible, CPCs shall provide existing identification guides for sharks, seabirds and turtles and marine mammals caught in the Convention Area to the ICCAT Secretariat, and the Secretariat shall request sub-regional RFMOs to provide the Commission with relevant identification guides. The Secretariat shall share these guides with the T-RFMO Technical Working Group on Bycatch, as appropriate.
 4. The ICCAT Secretariat and SCRS will continue to support the work plan of the T-RFMO Joint Bycatch Technical Working Group.
 5. This recommendation applies to discards and bycatch of species caught in association with fisheries managed by ICCAT, as reflected in the FAO International Guidelines on Bycatch Management and the Reduction of Discards.

**RECOMMENDATION ON BIOLOGICAL SAMPLING OF PROHIBITED
SHARK SPECIES BY SCIENTIFIC OBSERVERS**

(Entered into force: **June 10, 2014**)

CONSIDERING that the SCRS recommended the adoption of measures to enable scientific observers to collect biological samples from the shark species for which retention is prohibited by ICCAT and which are dead at haulback, provided that such samples are for a research project notified to the SCRS.

TAKING INTO CONSIDERATION the shark research and data collection program developed by the Shark Working Group of the SCRS.

NOTING that for all these species there is an important lack of biological knowledge, for which the SCRS strongly recommends that such samples be collected.

FURTHER NOTING that, as recommended by the SCRS, to obtain approval of such research projects, the proposal should include a detailed document that describes the objective of the work, the number and type of sample that need to be collected and the time-area distribution of the sampling.

ACKNOWLEDGING the importance of promoting coordination between SCRS scientists and improving collaboration on research related to shark biology, as prioritised by the SCRS shark research and data collection program.

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

1. By derogation to ICCAT conservation measures providing for the prohibition of retaining on board certain shark species, the collection of biological samples during commercial fishing operations (e.g vertebrae, tissue, reproductive tracts, stomachs, skin samples, coil valves, jaws, whole fish or skeletons for taxonomic studies and fauna inventories) by scientific observers or individuals duly permitted by the CPC to collect biological samples is authorised under the following conditions:
 - a) The biological samples are collected only from animals which are dead at the haulback.
 - b) The biological samples are taken in the framework of a research project notified to the SCRS and developed taking into consideration the recommended research priorities of the SCRS Shark Group. The research project should include a detailed document that describes the objective of the work, the methodologies to be used, the number and type of samples to be collected, the time-area distribution of the sampling and a chronogram of the activities to be carried out.
 - c) The biological samples must be kept on board until the port of landing or transshipment.
 - d) The authorisation of the flag State CPC or, in the case of chartered vessels, of the chartering CPC and the flag State CPC, must accompany all such samples collected according to this Recommendation until the final port of landing. Such samples and other parts of the shark specimens sampled may not be marketed or sold.
2. An annual report of the results achieved by the research project should be presented to the Shark Species Group and the SCRS. The SCRS should review and assess this report and provide advice on follow up.
3. The sampling campaign can only start once the authorisation by the relevant State has been issued.

**RECOMMENDATION BY ICCAT AMENDING RECOMMENDATION 10-09
ON THE BY-CATCH OF SEA TURTLES IN ICCAT FISHERIES**

(Entered into force: **June 10, 2014**)

CONSIDERING that ICCAT adopted in 2010 a recommendation to mitigate the by-catch of sea turtles in ICCAT fisheries (Recommendation 10-09), which requested that the SCRS initiate an assessment of the impact of incidental catch of sea turtles no later than 2013 and advise on approaches to mitigate such incidental capture, including reducing the number of interactions and/or the mortality associated with those interactions.

NOTING that on that basis the SCRS in 2013 made specific recommendations to maintain the provisions of Recommendation 10-09 and to call for additional measures to reduce mortality of incidentally captured sea turtles through, safe-handling practices, such as the use of line cutters and the use of de-hooking devices.

ACKNOWLEDGING that it is necessary to amend Recommendation 10-09 to include the specific recommendations made by the SCRS in 2013.

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

1. The following sub-items are inserted after point 2. c) of Recommendation 10-09:

d) Regarding safe-handling practices:

- i) When a turtle is to be removed from the water, an appropriate basket lift or dip-net shall be used to bring aboard sea turtles that are hooked or entangled in gear. No turtle shall be hauled from the water by a fishing line attached to, or entangled upon the body of a turtle. If the turtle cannot be safely removed from the water, the crew should cut the line as close as possible to the hook, without inflicting additional unnecessary harm on the turtle.*
- ii) In cases where marine turtles are taken on board, vessel operators or crew shall assess the condition of sea turtles that are caught or entangled prior to release. Those turtles with difficulties to move or are unresponsive shall be kept on board to the extent practicable and assisted in a manner consistent with maximizing their survival prior to release. These practices are described further in the FAO's Guidelines to Reduce Sea Turtle Mortality in Fishing Operations.*
- iii) To the extent practicable, turtles handled in fishing operations or during national observer programs (e.g. tagging activities) shall be handled in a manner consistent with the FAO's Guidelines to Reduce Sea Turtle Mortality in Fishing Operations.*

e) Regarding the use of line cutters:

- i) Longline vessels shall carry on board line-cutters and use these when de-hooking is not possible without harming the marine turtle while releasing them.*
- ii) Other types of vessels that use gear that may entangle sea turtles shall carry on board line-cutters and use these tools to safely remove gear, and release sea turtles.*

f) Regarding the use of de-hooking devices:

Longline vessels shall carry on board de-hooking devices to effectively remove hooks from sea turtles.

When a hook is swallowed, no attempt shall be made to remove the hook. Instead, the line must be cut as close to the hook as possible without inflicting additional unnecessary harm on the turtle.

2. Points 4, 5 and 6 of Recommendation 10-09 are deleted and replaced by the following:

4. The SCRS shall continue to improve the ERA initiated for sea turtles in 2013 and shall advise the Commission on its plan for future sea turtle impact analyses at the 2014 meeting. Upon receipt of advice from the SCRS, the Commission shall consider additional measures to mitigate sea turtle by-catch in ICCAT fisheries, if necessary.

3. Points 7, 8 and 9 of Recommendation 10-09 become points 5, 6 and 7.

**RECOMMENDATION BY ICCAT ON
SHORTFIN MAKO CAUGHT IN ASSOCIATION WITH ICCAT FISHERIES**

(Entered into force **3 June 2015**)

CONSIDERING that shortfin mako sharks (*Isurus oxyrinchus*) are caught in association with fisheries managed by ICCAT;

RECALLING Recommendation by ICCAT concerning the Conservation of Sharks Caught in Association with Fisheries Managed by ICCAT [Rec. 04-10], Recommendation by ICCAT to Amend Recommendation [Rec. 04-10] concerning the Conservation of Sharks Caught in Association with Fisheries Managed by ICCAT [Rec. 05-05], Supplement Recommendation by ICCAT concerning Sharks [Rec. 07-06] and Recommendation by ICCAT on Atlantic Shortfin Mako Sharks Caught in Association with ICCAT Fisheries [Rec. 10-06], including the obligation of CPCs to annually report Task I and Task II data for catches of sharks from all ICCAT fisheries, in accordance with ICCAT data reporting procedures;

ALSO RECALLING that according to Recommendation by ICCAT on Atlantic Shortfin Mako Sharks Caught in Association with ICCAT Fisheries [Rec. 10-06] and Recommendation by ICCAT on Penalties Applicable in Case of non-Fulfillment of Reporting Obligations [Rec.11-15], CPCs that do not report Task I data, for one or more species (including sharks species) for a given year, shall be prohibited from retaining such species until such data have been received by the ICCAT Secretariat;

NOTING that, following the Shortfin Mako Stock Assessment carried out in June 2012, the SCRS recommended, as a precautionary approach, that the fishing mortality of shortfin mako sharks should not be increased until more reliable stock assessment results are available for both the north and south stocks;

FURTHER NOTING the continued high vulnerability ranking of shortfin mako sharks in the 2008 and 2012 Ecological Risk Assessments, the uncertainty associated to the stock assessment process and the relative low productivity of this species;

FURTHER NOTING that the 2014 management recommendations of the SCRS indicate that precautionary management measures should be considered for sharks stocks where there is the greatest biological vulnerability and conservation concern and that in particular for shortfin mako shark the SCRS has recommended that the catches of this species should not be increased with respect to current levels until more reliable stock assessment results are available for both the northern and southern stocks;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

1. CPCs shall improve their catch reporting systems to ensure the reporting of shortfin mako catch and effort data to ICCAT in full accordance with the ICCAT requirements for provision of Task I and Task II catch, effort and size data.
2. CPCs shall include in their annual reports to ICCAT information on the actions they have taken domestically to monitor catches and to conserve and manage shortfin mako sharks.
3. CPCs are encouraged to undertake research that would provide information on key biological/ecological parameters, life-history and behavioural traits, as well as on the identification of potential mating, pupping and nursery grounds of shortfin mako sharks. Such information shall be made available to the SCRS.
4. The SCRS shall endeavour to conduct a stock assessment for shortfin mako sharks by 2016, if the available data permit, and shall evaluate and advise the Commission on appropriate management measures.
5. This Recommendation replaces and repeals Recommendations 05-05 and 06-10 in their entirety.

**RECOMMENDATION BY ICCAT ON PORBEAGLE
CAUGHT IN ASSOCIATION WITH ICCAT FISHERIES**

(Entered into force 4 June 2016)

RECALLING that the Commission adopted the *Resolution by ICCAT on Atlantic Sharks* [Res. 01-11], the *Recommendation by ICCAT Concerning the Conservation of Sharks caught in association with fisheries managed by ICCAT* [Rec. 04-10], the *Recommendation of ICCAT to amend the Recommendation 04-10 on the Conservation of Sharks caught in association with the fisheries managed by ICCAT* [Rec. 05-05¹], the *Supplemental Recommendation by ICCAT concerning Sharks* [Rec. 07-06], including the obligation of CPCs to annually report Task I & II data for sharks; the *Resolution by ICCAT on Porbeagle Shark (Lamna nasus)* [Res. 08-08], and the *Recommendation by ICCAT on Compliance with Existing Management Measures on shark Conservation and Management* [Rec. 12-05²];

FURTHER RECALLING that the Commission has adopted management measures for shark species considered vulnerable to overfishing and caught in association with fisheries managed by ICCAT, including Bigeye Thresher sharks (*Alopias superciliosus*) [Rec. 09-07], oceanic whitetip sharks (*Carcharhinus longimanus*) [Rec. 10-07], hammerhead sharks (family *Sphyrnidae*) [Rec. 10-08] and silky sharks (*Carcharhinus falciformis*) [Rec. 11-08];

NOTING that in 2009, SCRS attempted an assessment of the four porbeagle stocks in the Atlantic Ocean (northwest, northeast, southwest and southeast) and concluded that data for southern hemisphere porbeagle stocks were too limited to provide a robust indication on the status of the stocks and allow definition of sustainable harvest levels, whereas recovery of the northern hemisphere stocks to B_{MSY} under no fishing mortality could take from 15 to 34 years for the northeast Atlantic stock and from 20 to 60 years for the northwest Atlantic stock (depending on the stock and model considered);

FURTHER NOTING that the 2008 and 2012 Ecological Risk Assessments undertaken by the SCRS concluded that porbeagle (*Lamna nasus*) was among the most vulnerable shark species which makes it more susceptible to overfishing even at low fishing mortality levels;

CONSIDERING that the report of 2015 meeting of the Standing Committee for Research and Statistics (SCRS) estimates that the biomass of northwest Atlantic and northeast Atlantic porbeagle shark is depleted to well below B_{MSY} , but recent fishing mortality is below F_{MSY} ;

FURTHER NOTING that ICES advice for the North-East Atlantic stock in 2015 recommended on the basis of the precautionary approach that no fishing for porbeagle should be permitted and that landings of porbeagle should not be allowed;

ACKNOWLEDGING that the North-East Atlantic Fisheries Commission (NEAFC) adopted Recommendation [2015-7] on Conservation and Management Measures for Porbeagle in the NEAFC Regulatory Area and agreed that no directed fishery for porbeagle shall be undertaken in the Regulatory Area until end 2015;

FURTHER ACKNOWLEDGING that the General Fisheries Commission for the Mediterranean (GFCM) has adopted Recommendation GFCM/36/2012/3 prohibiting to retain on board, transship, landing, transfer, storage, selling or displaying or offering for sale porbeagle specimens caught in the Mediterranean;

FURTHER ACKNOWLEDGING that in 2014, porbeagle shark was added to Appendix 2 of the *Convention on International Trade in Endangered Species*;

FURTHER NOTING that, according to SCRS advice precautionary management measures should be considered for shark stocks where there is the greatest biological vulnerability and conservation concern and for which there are few data and/or greater uncertainty in assessment results.

ACKNOWLEDGING that the 2015 SCRS advice recommended that porbeagle shark retrieved alive should be released alive, and all catches be reported;

¹ Repealed and replaced by Rec. 14-06

² Repealed and replaced by Rec. 18-06.

FURTHER ACKNOWLEDGING that the 2015 SCRS advice also recommended that porbeagle fishing mortality should be kept to levels in line with scientific advice and with catches not exceeding the current level.

FURTHER NOTING the intention of the SCRS to undertake, in partnership with International Council for the Exploration of the Sea, a joint stock assessment of northwest and northeast Atlantic porbeagle shark in 2019;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

1. Contracting Parties, and Cooperating non-Contracting Parties, Entities or Fishing Entities (hereafter referred to as CPCs) shall require their vessels to promptly release unharmed, to the extent practicable, porbeagle sharks caught in association with ICCAT fisheries when brought alive alongside for taking on board the vessel.
2. CPCs shall ensure the collection of Task I and Task II data for porbeagle sharks and their submission in accordance with ICCAT data reporting requirements. Discards and releases of porbeagle sharks shall be recorded with indication of status (dead or alive) and reported to ICCAT in accordance with ICCAT data reporting requirements.
3. In the event that catches of porbeagle caught in association with ICCAT fisheries increase beyond 2014 levels, the Commission will consider additional measures.
4. CPCs are encouraged to implement the research recommendations of the joint 2009 ICCAT-ICES inter-sessional meeting. In particular, CPCs are encouraged to implement research and monitoring projects at regional (stock) level, in the Convention area, in order to close gaps on key biological data for porbeagle and identify areas of high abundance of important life-history stages (e.g. mating, pupping and nursery grounds). SCRS should continue joint work with ICES Working Group on Elasmobranch Fishes.
5. This recommendation shall be reviewed after the next stock assessment of porbeagle shark stocks that will be performed by the SCRS or in collaboration with other recognized scientific organizations, as appropriate.

**RECOMMENDATION BY ICCAT TO REPLACE RECOMMENDATION 16-13 ON
IMPROVEMENT OF COMPLIANCE REVIEW OF CONSERVATION AND MANAGEMENT
MEASURES REGARDING SHARKS CAUGHT IN ASSOCIATION WITH ICCAT FISHERIES**

(Entered into force **21 June 2019**)

RECALLING that ICCAT has adopted several recommendations for sharks, either in a general or species-specific manner, in accordance with an ecosystem approach;

FURTHER RECALLING *Recommendation by ICCAT on Compliance with Existing Measures on Shark Conservation and Management* (Rec. 12-05) and *Recommendation by ICCAT on Improvement of Compliance Review of Conservation and Management Measures regarding Sharks Caught in Association with ICCAT Fisheries* (Rec. 16-13), which required CPCs to report on their implementation of and compliance with the shark conservation and management measures;

RECOGNIZING the need to improve the means to facilitate review process of implementation of and compliance with the shark conservation and management measures, while minimizing the reporting burden on CPCs;

DESIRING to streamline ICCAT reporting requirements, including by eliminating redundancies;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

1. All CPCs shall submit to the ICCAT Secretariat, with their Annual Reports, details of their implementation of and compliance with shark conservation and management measures using the check sheet in **Annex 1**, as may be revised by the ICCAT Secretariat in consultation with the COC and PA4 Chairs to reflect new shark measures adopted by the Commission.
2. If there are no changes from the previous year in a CPC's implementation of ICCAT shark measures covered by the check sheet in **Annex 1** and no additional reporting fields have been included to reflect new shark measures, the CPC shall not be required to submit a shark check sheet, provided that it affirms in its Annual Report that there are no changes. If there are changes from the previous year in a CPC's implementation, or the additional reporting fields have been included in the shark check sheet to reflect new shark measures, the CPC shall only be required to submit such updates regarding implementation or responses to new reporting fields with their Annual Reports. However, CPCs shall submit updated shark check sheets in full in the years when the Compliance Committee is scheduled to prioritize review of the shark check sheets in accordance with paragraph 4.
3. CPCs may be exempt from the submission of the check sheet when vessels flying their flag are not likely to catch any sharks species covered by the abovementioned Recommendations in paragraph 1, on the condition that the concerned CPCs obtained a confirmation by the Shark Species Group through necessary data submitted by CPCs for this purpose.
4. The Compliance Committee meeting shall prioritize review of CPC shark check sheets on an ICCAT meeting cycle as determined by the Committee, without prejudice to the competency of the Committee to consider shark measure implementation issues at annual meetings during other years as appropriate.
5. This Recommendation repeals the *Recommendation by ICCAT on Compliance with Existing Measures on Shark Conservation and Management* (Rec. 12-05) and the *Recommendation by ICCAT on Improvement of Compliance Review of Conservation and Management Measures regarding Sharks Caught in Association with ICCAT Fisheries* (Rec. 16-13).

Shark Implementation Check Sheet

Name of CPC: _____

Note: Each ICCAT requirement must be implemented in a legally binding manner. Just requesting fishermen to implement measures should not be regarded as implementation.

<i>Rec. #</i>	<i>Para #</i>	<i>Requirement</i>	<i>Status of implementation</i>	<i>Relevant domestic laws or regulations, as applicable (include text, references, or links to where this information is codified)</i>	<i>Note</i>
04-10	1	Contracting Parties, Cooperating non-Contracting Parties, Entities or Fishing Entities (CPCs) shall annually report Task I and Task II data for catches of sharks, in accordance with ICCAT data reporting procedures, including available historical data	Yes or No or N/A (Not applicable)		If "No" or "N/A", explain the reason. N/A is only permitted in the case of CPCs that have confirmed to the Secretariat that there was no relevant shark catch, in accordance with procedures implementing Rec. 11-15.
	2	CPCs shall take the necessary measures to require that their fishermen fully utilize their entire catches of sharks. Full utilization is defined as retention by the fishing vessel of all parts of the shark excepting head, guts and skins, to the point of first landing	Yes or No or N/A		If "Yes", explain the details of the measures, including ways to monitor the compliance. If "No" or "N/A", explain the reason.
	3	(1) CPCs shall require their vessels to not have onboard fins that total more than 5% of the weight of sharks onboard, up to the first point of landing	Yes or No or N/A		If "Yes", explain ways to monitor the compliance. If "No" or "N/A", explain the reason.

<i>Rec. #</i>	<i>Para #</i>	<i>Requirement</i>	<i>Status of implementation</i>	<i>Relevant domestic laws or regulations, as applicable (include text, references, or links to where this information is codified)</i>	<i>Note</i>
		(2) CPCs that currently do not require fins and carcasses to be offloaded together at the point of first landing shall take the necessary measures to ensure compliance with the 5% ratio through certification, monitoring by an observer, or other appropriate measures	Yes or No or N/A		If "Yes", explain the details of the measures, including ways to monitor the compliance. If "No" or "N/A", explain the reason.
	5	Fishing vessels are prohibited from retaining on board, transshipping or landing any fins harvested in contravention of this Recommendation	Yes or No or N/A		If "Yes", explain ways to monitor the compliance. If "No" or "N/A", explain the reason.
07-06	1	Contracting Parties, Cooperating non-Contracting Parties, Entities and Fishing Entities (hereinafter referred to as CPCs), especially those directing fishing activities for sharks, shall submit Task I and II data for sharks, as required by ICCAT data reporting procedures (including estimates of dead discards and size frequencies) in advance of the next SCRS assessment	Yes or No or N/A		If "No" or "N/A", explain the reason.

<i>Rec. #</i>	<i>Para #</i>	<i>Requirement</i>	<i>Status of implementation</i>	<i>Relevant domestic laws or regulations, as applicable (include text, references, or links to where this information is codified)</i>	<i>Note</i>
	2	Until such time as sustainable levels of harvest can be determined through peer reviewed stock assessments by SCRS or other organizations, CPCs shall take appropriate measures to reduce fishing mortality in fisheries targeting porbeagle (<i>Lamna nasus</i>) and North Atlantic shortfin mako sharks (<i>Isurus oxyrinchus</i>)	Yes or No or N/A		If "Yes", explain the details of the measures, including ways to monitor the compliance. If "No" or "N/A", explain the reason.
09-07	1	Contracting Parties, and Cooperating non-Contracting Parties, Entities or Fishing Entities (hereafter referred to as CPCs) shall prohibit, retaining onboard, transshipping, landing, storing, selling, or offering for sale any part or whole carcass of bigeye thresher sharks (<i>Alopias superciliosus</i>) in any fishery with exception of a Mexican small-scale coastal fishery with a catch of less than 110 fish	Yes or No or N/A		If "Yes", explain ways to monitor the compliance. If "No" or "N/A", explain the reason.
	2	CPCs shall require vessels flying their flag to promptly release unharmed, to the extent practicable, bigeye thresher sharks when brought	Yes or No or N/A		If "No" or "N/A", explain the reason.

<i>Rec. #</i>	<i>Para #</i>	<i>Requirement</i>	<i>Status of implementation</i>	<i>Relevant domestic laws or regulations, as applicable (include text, references, or links to where this information is codified)</i>	<i>Note</i>
		along side for taking on board the vessel			
	4	CPCs shall require the collection and submission of Task I and Task II data for <i>Alopias</i> spp other than <i>A. superciliosus</i> in accordance with ICCAT data reporting requirements. The number of discards and releases of <i>A. superciliosus</i> must be recorded with indication of status (dead or alive) and reported to ICCAT in accordance with ICCAT data reporting requirements	Yes or No or N/A		If "No" or "N/A", explain the reason.
10-06	1	CPCs shall include information in their 2012 Annual Reports on actions taken to implement Recommendations 04-10, 05-05, and 07-06, in particular the steps taken to improve their Task I and Task II data collection for direct and incidental catches	Yes or No or N/A		If "No" or "N/A", explain the reason.
10-07	1	Contracting Parties, and Cooperating non-Contracting Parties, Entities or Fishing Entities (hereafter referred to as CPCs) shall prohibit retaining onboard,	Yes or No or N/A		If "Yes", explain ways to monitor the compliance. If "No" or "N/A", explain the reason.

<i>Rec. #</i>	<i>Para #</i>	<i>Requirement</i>	<i>Status of implementation</i>	<i>Relevant domestic laws or regulations, as applicable (include text, references, or links to where this information is codified)</i>	<i>Note</i>
		transshipping, landing, storing, selling, or offering for sale any part or whole carcass of oceanic whitetip sharks in any fishery			
	2	CPCs shall record through their observer programs the number of discards and releases of oceanic whitetip sharks with indication of status (dead or alive) and report it to ICCAT	Yes or No or N/A		If "No" or "N/A", explain the reason.
10-08	1	Contracting Parties, and Cooperating non-Contracting Parties, Entities or Fishing Entities (hereafter referred to as CPCs) shall prohibit retaining onboard, transshipping, landing, storing, selling, or offering for sale any part or whole carcass of hammerhead sharks of the family Sphyrnidae (except for the <i>Sphyrna tiburo</i>), taken in the Convention area in association with ICCAT fisheries	Yes or No or N/A		If "Yes", explain ways to monitor the compliance. If "No" or "N/A", explain the reason.
	2	CPCs shall require vessels flying their flag, to promptly release unharmed, to the extent practicable, hammerhead sharks when	Yes or No or N/A		If "No" or "N/A", explain the reason.

<i>Rec. #</i>	<i>Para #</i>	<i>Requirement</i>	<i>Status of implementation</i>	<i>Relevant domestic laws or regulations, as applicable (include text, references, or links to where this information is codified)</i>	<i>Note</i>
		brought alongside the vessel			
	3	(1) Hammerhead sharks that are caught by developing coastal CPCs for local consumption are exempted from the measures established in paragraphs 1 and 2, provided these CPCs submit Task I and, if possible, Task II data according to the reporting procedures established by the SCRS. If it is not possible to provide catch data by species, they shall be provided at least by genus <i>Sphyrna</i>	Yes or No or N/A		If "No" or "N/A", explain the reason.
		(2) Developing coastal CPCs exempted from this prohibition pursuant to this paragraph should endeavor not to increase their catches of hammerhead sharks. Such CPCs shall take necessary measures to ensure that hammerhead sharks of the family Sphyrnidae (except of <i>Sphyrna tiburo</i>) will not enter international trade and shall notify the Commission of such measures	Yes or No or N/A		If "Yes", explain the details of the measures, including ways to monitor the compliance. If "No" or "N/A", explain the reason.

<i>Rec. #</i>	<i>Para #</i>	<i>Requirement</i>	<i>Status of implementation</i>	<i>Relevant domestic laws or regulations, as applicable (include text, references, or links to where this information is codified)</i>	<i>Note</i>
	4	CPCs shall require that the number of discards and releases of hammerhead sharks are recorded with indication of status (dead or alive) and reported to ICCAT in accordance with ICCAT data reporting requirements	Yes or No or N/A		If "No" or "N/A", explain the reason.
11-08	1	Contracting Parties, and Cooperating non-Contracting Parties, Entities or Fishing Entities (hereafter referred to as CPCs) shall require fishing vessels flying their flag and operating in ICCAT managed fisheries to release all silky sharks whether dead or alive, and prohibit retaining on board, transshipping, or landing any part or whole carcass of silky shark	Yes or No or N/A		If "Yes", explain ways to monitor the compliance. If "No" or "N/A", explain the reason.
	2	CPCs shall require vessels flying their flag to promptly release silky sharks unharmed, at the latest before putting the catch into the fish holds, giving due consideration to the safety of crew members. Purse seine vessels engaged in ICCAT fisheries shall endeavor to take additional measures to	Yes or No or N/A		If "No" or "N/A", explain the reason.

<i>Rec. #</i>	<i>Para #</i>	<i>Requirement</i>	<i>Status of implementation</i>	<i>Relevant domestic laws or regulations, as applicable (include text, references, or links to where this information is codified)</i>	<i>Note</i>
		increase the survival rate of silky sharks incidentally caught			
	3	CPCs shall record through their observer programs the number of discards and releases of silky sharks with indication of status (dead or alive) and report it to ICCAT	Yes or No or N/A		If "No" or "N/A", explain the reason.
	4	(1) Silky sharks that are caught by developing coastal CPCs for local consumption are exempted from the measures established in paragraphs 1 and 2, provided these CPCs submit Task I and, if possible, Task II data according to the reporting procedures established by the SCRS. CPCs that have not reported species-specific shark data shall provide a plan by July 1, 2012, for improving their data collection for sharks on a species specific level for review by the SCRS and Commission.	Yes or No or N/A		If "No" or "N/A", explain the reason.
		(2) Developing coastal CPCs exempted from the prohibition pursuant to this paragraph shall not increase their catches of silky	Yes or No or N/A		If "Yes", explain the details of the measures, including ways to monitor the compliance. If "No" or "N/A",

<i>Rec. #</i>	<i>Para #</i>	<i>Requirement</i>	<i>Status of implementation</i>	<i>Relevant domestic laws or regulations, as applicable (include text, references, or links to where this information is codified)</i>	<i>Note</i>
		sharks. Such CPCs shall take necessary measures to ensure that silky sharks will not enter international trade and shall notify the Commission of such measures			explain the reason.
	6	The prohibition on retention in paragraph 1 does not apply to CPCs whose domestic law requires that all dead fish be landed, that the fishermen cannot draw any commercial profit from such fish and that includes a prohibition against silky shark fisheries	Applicable or N/A		
11-15	1	CPCs shall include information in their Annual Reports on actions taken to implement their reporting obligations for all ICCAT fisheries, including shark species caught in association with ICCAT fisheries, in particular the steps taken to improve their Task I and Task II data collection for direct and incidental catches	Yes or No or N/A		If "Yes", explain the details of the actions. If "No" or "N/A", explain the reason.
14-06	1	CPCs shall improve their catch reporting systems to ensure the reporting of shortfin mako	Yes or No or N/A		If "No" or "N/A", explain the reason.

<i>Rec. #</i>	<i>Para #</i>	<i>Requirement</i>	<i>Status of implementation</i>	<i>Relevant domestic laws or regulations, as applicable (include text, references, or links to where this information is codified)</i>	<i>Note</i>
		catch and effort data to ICCAT in full accordance with the ICCAT requirements for provision of Task I and Task II catch, effort and size data			
	2	CPCs shall include in their annual reports to ICCAT information on the actions they have taken domestically to monitor catches and to conserve and manage shortfin mako sharks	Yes or No or N/A		If "No" or "N/A", explain the reason.
15-06	1	Contracting Parties, and Cooperating non-Contracting Parties, Entities or Fishing Entities (hereafter referred to as CPCs) shall require their vessels to promptly release unharmed, to the extent practicable, porbeagle sharks caught in association with ICCAT fisheries when brought alive alongside for taking on board the vessel.	Yes or No or N/A		If "No" or "N/A", explain the reason.
	2	CPCs shall ensure the collection of Task I and Task II data for porbeagle sharks and their submission in accordance with ICCAT data reporting requirements. Discards and releases of porbeagle sharks	Yes or No or N/A		If "No" or "N/A", explain the reason.

<i>Rec. #</i>	<i>Para #</i>	<i>Requirement</i>	<i>Status of implementation</i>	<i>Relevant domestic laws or regulations, as applicable (include text, references, or links to where this information is codified)</i>	<i>Note</i>
		shall be recorded with indication of status (dead or alive) and reported to ICCAT in accordance with ICCAT data reporting requirements.			

**RECOMMENDATION BY ICCAT ON THE CONSERVATION OF NORTH ATLANTIC STOCK
OF SHORTFIN MAKU CAUGHT IN ASSOCIATION WITH ICCAT FISHERIES**

(Entered into force **20 June 2020**)

CONSIDERING that shortfin mako is caught in association with ICCAT fisheries;

CONCERNED by the status of the North Atlantic shortfin mako being overfished and experiencing overfishing;

RECOGNIZING that the SCRS recommends that there will be a need for CPCs to strengthen their monitoring and data collection efforts to monitor the future status of this stock, including total estimated dead discards and the estimation of CPUE using observer data;

KNOWING that the result of the SCRS indicates that shortfin mako shark catches of 700 t are expected to immediately end overfishing, and catches of 500 t or less are expected to rebuild the stock by 2070;

COMMITTED to immediately taking actions to end overfishing of the North Atlantic shortfin mako stock with a high probability, as the first step in the development of a rebuilding plan;

CONSIDERING that the *Recommendation by ICCAT on the Principles of Decision Making for ICCAT Conservation and Management Measures* (Rec. 11-13) calls for the Commission to immediately adopt management measures, taking into account, *inter alia*, the biology of the stock and SCRS advice, designed to result in a high probability of ending overfishing in as short a period as possible;

CONSIDERING FURTHER that Rec. 11-13 calls for the Commission to adopt a plan to rebuild stocks in the red zone of the Kobe plot, taking into account, *inter alia*, the biology of the stock and SCRS advice;

ACKNOWLEDGING that according to SCRS studies, the survival rate after release of shortfin mako shark could be up to 77%;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

1. Contracting Parties, and Cooperating non-Contracting Parties, Entities or Fishing Entities (hereafter referred to as CPCs) shall require vessels flying their flag to promptly release North Atlantic shortfin mako in a manner that causes the least harm, while giving due consideration to the safety of crew members.
2. Notwithstanding the provisions in paragraph 1 above, CPCs may authorize their vessels to catch and retain on board, transship or land North Atlantic shortfin mako, provided that:
 - (1) For vessels whose length is greater than 12 m,
 - a) the vessel has either an observer or a functioning electronic monitoring system on board which can identify whether the fish is dead or alive;
 - b) shortfin mako is dead when brought along side for taking on board the vessel;
 - c) the observer collects data on the number of individuals hooked, body length, sex, condition, maturity (whether the individual is pregnant and its litter size) and weight of products for each shortfin mako caught as well as fishing effort; and
 - d) when shortfin mako is not retained, the number of dead discards and live releases shall be recorded by the observer or estimated from the records of the electronic monitoring system.

- (2) For vessels whose length is equal or smaller than 12 m,
- a) shortfin mako is dead when brought along side for taking on board the vessel.
3. Notwithstanding the provisions in paragraph 1 above, CPCs may authorize their vessels to catch and retain on board, transship or land North Atlantic shortfin mako provided that:
- a) shortfin mako is dead when brought along side for taking on board the vessel; and
 - b) the retention of shortfin mako does not exceed the fishing vessel's average shortfin mako landings while an observer is on board and this is verified by mandatory logbooks and landing inspection conducted on the basis of risk assessment.
4. Notwithstanding the provisions in paragraph 1 above, CPCs may authorize their vessels to catch and retain on board, transship or land North Atlantic shortfin mako whether dead or alive, when a CPC's domestic law requires a minimum size of at least 180 cm fork length for males and of at least 210 cm fork length for females.
5. Notwithstanding the provisions in paragraph 1 above, CPCs whose domestic law requires that all dead or dying fish be landed, provided that the fishermen may not draw any profit from such fish, may retain on board and land incidental by-catch of North Atlantic shortfin mako.
6. The observer is also encouraged to collect biological samples such as muscular tissues (for stock identification), reproductive organ with embryo (for identification of pregnancy cycle and reproductive output) and vertebrae (for estimation of growth curve). The biological samples collected by the observer should be analyzed by CPCs concerned and the result should be submitted to the SCRS by CPCs concerned.
7. CPCs shall endeavour to take further measures than those contained in this recommendation with the aim to stop overfishing and to rebuild the stock.
8. A Panel 4 intersessional meeting shall be convened in 2020 to develop and propose additional measures towards achieving conservation and management objectives for this stock. Panel 4 shall also develop appropriate requests for future work by the SCRS in this regard, as well as mechanisms to ensure the collection and provision of the requisite data by CPCs.
9. CPCs that authorize their vessels to catch and retain on board, transship or land North Atlantic shortfin mako in accordance with paragraphs 2 through 5 above shall provide to the Secretariat the amount of North Atlantic shortfin mako caught and retained on board as well as dead discards and live releases in 2019 one month prior to the 2020 Panel 4 intersessional meeting.
10. CPCs shall also report the number of dead discards and live releases of North Atlantic shortfin mako estimated based on the total fishing effort of their relevant fleets using data collected through observer programs or other relevant data collection programs. CPCs that do not authorize their vessels to catch and retain on board, transship or land North Atlantic shortfin mako in accordance with paragraphs 2 through 5 above shall also record through their observer programs the number of dead discards and live releases of North Atlantic shortfin mako and report it to SCRS.
11. The Commission, at its 2020 annual meeting, shall adopt a new management recommendation for North Atlantic shortfin mako, taking into account the scientific advice from the SCRS and the results of the 2020 Panel 4 intersessional meeting, in order to establish a rebuilding plan with a high probability of avoiding overfishing and rebuilding the stock to B_{MSY} within a timeframe that takes into account the biology of the stock.
12. Notwithstanding the provisions of Article VIII, paragraph 2 of the Convention, CPCs shall implement this recommendation as soon as possible in accordance with their regulatory procedures.

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**RECOMMENDATION BY ICCAT AMENDING THE RECOMMENDATION 16-12 ON
MANAGEMENT MEASURES FOR THE CONSERVATION OF THE NORTH ATLANTIC BLUE
SHARK CAUGHT IN ASSOCIATION WITH ICCAT FISHERIES**

(Entered into force **20 June 2020**)

RECALLING that the Commission adopted the *Resolution by ICCAT on Atlantic Sharks* (Res. 01-11), the *Recommendation by ICCAT Concerning the Conservation of Sharks caught in association with fisheries managed by ICCAT* (Rec. 04-10), the *Supplemental Recommendation by ICCAT concerning Sharks* (Rec. 07-06), including the obligation of CPCs to annually report Task I & II data for sharks in accordance with ICCAT data reporting procedures and the *Recommendation by ICCAT on the Development of Harvest Control Rules and of Management Strategy Evaluation* (Rec. 15-07);

FURTHER RECALLING that the Commission has adopted management measures for shark species considered vulnerable to overfishing and caught in association with fisheries managed by ICCAT;

RECOGNIZING that Atlantic blue sharks (*Prionace glauca*) are caught in large numbers in association with fisheries managed by ICCAT;

CONSIDERING that following the stock assessment undertaken in 2015, the SCRS report states that despite the positive signs of the stock status of the North Atlantic stock of blue shark, a high level of uncertainty in data inputs and in model structural assumptions remains and, therefore, the possibility of the stock being overfished and overfishing occurring could not be ruled out;

NOTING that, according to SCRS advice precautionary management measures should be considered for shark stocks for which there are few data and/or greater uncertainty in assessment results;

RECOGNIZING that the average of the total reported catch during the period 2011-2015 was 39,102 t;

SEEKING, therefore, to ensure that total catch does not exceed 39,102 t through establishment of an annual Total Allowable Catch (TAC);

RECALLING the provisions of *Resolution by ICCAT on Criteria for the Allocation of Fishing Possibilities* (Res. 15-13), notably the criteria for the allocation of fishing possibilities set out in part III, and the need to ensure that these are applied in a fair, equitable and transparent manner;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION OF
ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

1. To ensure the conservation of the North Atlantic blue shark stock in the Convention area, the following shall apply;

TAC and catch limits for blue shark

2. An annual TAC of 39,102 t for North Atlantic blue shark is established. The annual TAC may be revised subject to a decision of the Commission based on the updated advice of the SCRS in 2021, or at an earlier stage if enough information is provided by the SCRS.

3. The following CPCs shall be subject to the following catch limits:

<i>CPC</i>	
EU	32,578 t
Japan	4,010 t
Morocco	1,644 t

- a) All other CPCs shall endeavor to maintain their catches at recent levels.
- b) If in any year the total catches of the North Atlantic blue shark exceed the TAC, the Commission shall review the implementation of these measures. Based on the review and the results of the next stock assessment scheduled for 2021 or at an earlier stage if enough information is provided to the SCRS, the Commission shall consider introduction of additional measures.

Recording, reporting, and use of the catch information

4. Each CPC shall ensure that its vessels catching North Atlantic blue shark in association with ICCAT fisheries in the Convention area record their catch in accordance with the requirements set out in the *Recommendation by ICCAT Concerning the Recording of Catch by Fishing Vessels in the ICCAT Convention Area* (Rec. 03-13).
5. CPCs shall implement data collection programmes that ensure the reporting of accurate North Atlantic blue shark catch, effort, size and discard data to ICCAT in full accordance with the ICCAT requirements for provision of Task I and Task II data.
6. CPCs shall include in their shark implementation check sheet submitted to ICCAT pursuant to Recommendation 18-06 information on the actions they have taken domestically to monitor catches and to conserve and manage North Atlantic blue sharks.

Scientific research

7. CPCs are encouraged to undertake scientific research that would provide information on key biological/ecological parameters, life-history, migrations, post-release survivorship and behavioral traits of blue sharks. Such information shall be made available to the SCRS.
8. In the light of the results of the next stock assessment of North Atlantic blue shark, the SCRS shall provide, if possible, options of HCR with the associated limit, target and threshold reference points for the management of this species in the ICCAT Convention area.

Implementation and review

9. This recommendation shall be reviewed in light of the outcomes of the next stock assessment of the North Atlantic blue shark by the SCRS in 2021.
10. This Recommendation repeals and replaces *Recommendation by ICCAT on management measures for the conservation of Atlantic blue shark caught in association with ICCAT fisheries* (Rec. 16-12).

RECOMMENDATION BY ICCAT ON MANAGEMENT MEASURES FOR THE CONSERVATION OF SOUTH ATLANTIC BLUE SHARK CAUGHT IN ASSOCIATION WITH ICCAT FISHERIES

(Entered into force **20 June 2020**)

RECALLING that the Commission adopted the *Resolution by ICCAT on Atlantic Sharks* (Res. 01-11), the *Recommendation by ICCAT Concerning the Conservation of Sharks caught in association with fisheries managed by ICCAT* (Rec. 04-10), the *Supplemental Recommendation by ICCAT concerning Sharks* (Rec. 07-06), including the obligation of CPCs to annually report Task I & II data for sharks in accordance with ICCAT data reporting procedures and the *Recommendation by ICCAT on the Development of Harvest Control Rules and of Management Strategy Evaluation* (Rec. 15-07);

FURTHER RECALLING that the Commission has adopted management measures for shark species considered vulnerable to overfishing and caught in association with fisheries managed by ICCAT;

RECOGNIZING that Atlantic blue sharks (*Prionace glauca*) are caught in large numbers in association with fisheries managed by ICCAT;

CONSIDERING that in the last stock assessment of South Atlantic blue shark stock, all scenarios with the Bayesian surplus production model estimated that the stock was not overfished and that overfishing was not occurring. However, also noting that the estimates obtained with the state-space surplus production model formulation were generally less optimistic, predicting that the stock could be overfished and overfishing could be occurring in some cases;

NOTING that, according to SCRS advice precautionary management measures should be considered for shark stocks for which there are few data and/or greater uncertainty in assessment results;

CONSIDERING that given the uncertainty in stock status results for the South Atlantic blue shark, the SCRS strongly recommends the adoption of a precautionary approach for this stock;

FURTHER CONSIDERING that in order to protect and manage the South Atlantic blue shark, the SCRS recommends that the average catch of the final five years used in the assessment model (28,923 t for 2009-2013) could be used as an upper limit;

ACKNOWLEDGING that catches of blue shark in the South Atlantic have significantly increased in recent years, to values higher than the catch limits recommended by the SCRS;

RECOGNIZING the need to stabilize the exploitation patterns for this fishery, in particular to avoid large fluctuations of catches in the future, to the extent possible.

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

1. Contracting Parties and Cooperating non-Contracting Parties, Entities or Fishing Entities whose vessels fish blue shark in association with ICCAT fisheries in the Convention area shall implement management measures to ensure the conservation of the South Atlantic blue shark (*Prionace glauca*) in line with ICCAT's Convention objective.

Catch limits for blue shark

2. An annual Total Allowable Catch (TAC) of 28,923 t for South Atlantic blue shark is established. The Annual TAC may be revised subject to a decision of the Commission based on the updated advice of the SCRS in 2021, or at an earlier stage if enough information is provided by the SCRS.

3. On the basis of the stock assessment results, an allocation of the future TAC shall be decided by the Commission by 2021.

Recording, reporting, and use of the catch information

4. Each CPC shall ensure that its vessels catching South Atlantic blue shark in association with ICCAT fisheries in the Convention area record their catch in accordance with the requirements set out in the Recommendation by ICCAT Concerning the Recording of Catch by Fishing Vessels in the ICCAT Convention Area (Rec. 03-13).
5. CPCs shall implement data collection programmes that ensure the reporting of accurate South Atlantic blue shark catch, effort, size and discard data to ICCAT in full accordance with the ICCAT requirements for provision of Task I and Task II.
6. CPCs shall include in their shark implementation check sheet to ICCAT information on the actions they have taken domestically to monitor catches and to conserve and manage South Atlantic blue sharks.

Scientific research

7. CPCs are encouraged to undertake scientific research that would provide information on key biological/ecological parameters, life-history, migrations, post-release survivorship and behavioural traits of blue sharks. Such information shall be made available to the SCRS.
8. In the light of the results of the next stock assessment of South Atlantic blue shark, the SCRS shall provide, if possible, options of HCR with the associated limit, target and threshold reference points for the management of this species in the ICCAT Convention area.

ICCAT SCHEME OF JOINT INTERNATIONAL INSPECTION*Agreed by the Commission November, 1975*

Pursuant to paragraph 3 of Article IX of the Convention, the Commission recommends the establishment of the following arrangements for international control outside the waters under national jurisdiction for the purpose of ensuring the application of the Convention and the measures in force thereunder:

1. Control shall be carried out by inspectors of the fishery control services of Contracting Governments. The names of the inspectors appointed for that purpose by their respective governments shall be notified to the Commission.
2. Ships carrying inspectors shall fly a special flag or pennant approved by the Commission to indicate that the inspector is carrying out international inspection duties. The names of the ships so used for the time being, which may be either special inspection vessels or fishing vessels, shall be notified to the Commission, as soon as may be practical.
3. Each inspector shall carry a document of identity supplied by the authorities of the flag state in a form approved by the Commission and given him on appointment stating that he has authority to act under arrangements approved by the Commission.
4. Subject to the arrangements agreed under paragraph (9), a vessel employed for the time being in fishing for tuna or tuna-like fishes in the Convention area outside the waters under national jurisdiction shall stop when given the appropriate signal in the International Code of Signals by a ship carrying an inspector unless actually carrying out fishing operations, in which case it shall stop immediately once it has finished such operations. The master¹ of the vessel shall permit the inspector, who may be accompanied by a witness, to board it. The master shall enable the inspector to make such examination of catch or gear and any relevant documents as the inspector deems necessary to verify the observance of the Commission's recommendations in force in relation to the flag state of the vessel concerned and the inspector may ask for any explanations that he deems necessary.
5. On boarding the vessel an inspector shall produce the document described in (3) above. Inspections shall be made so that the vessel suffers the minimum interference and inconvenience and that degradation of the quality of the fish be avoided. An inspector shall limit his enquiries to the ascertainment of the fact in relation to the observance of the Commission's recommendations in force in relation to the flag state of the vessel concerned. In making his examination an inspector may ask the master for any assistance he may require. He shall draw up a report of his inspection in a form approved by the Commission. He shall sign the report in the presence of the master of the vessel who shall be entitled to add or have added to the report any observations which he may think suitable and must sign such observations. Copies of the report shall be given to the master of the vessel and to the inspector's government who shall transmit copies to the appropriate authorities of the flag state of the vessel and to the Commission. Where any infringement of the recommendations is discovered the inspector should, where possible, also inform the competent authorities of the flag state, as notified to the Commission, and any inspection ship of the flag state known to be in the vicinity.
6. Resistance to an inspector or failure to comply with his directions shall be treated by the flag state of the vessel in a manner similar to resistance to any inspector of that state or a failure to comply with his directions.
7. Inspectors shall carry out their duties under these arrangements in accordance with the rules set out in this recommendation but they shall remain under the operational control of their national authorities and shall be responsible to them.

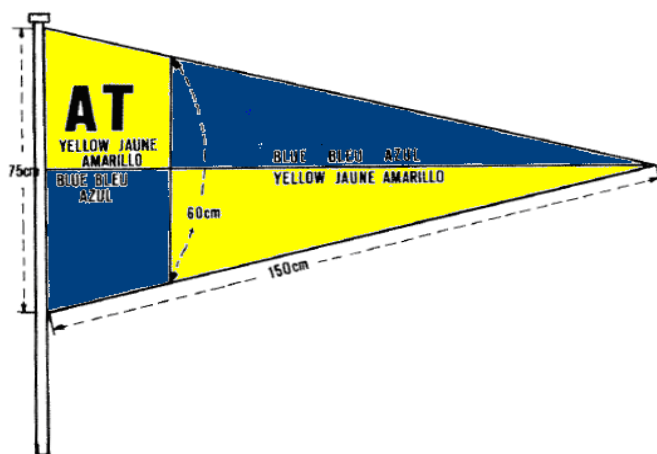
¹Master refers to the individual in charge of the vessel.

8. Contracting Governments shall consider and act on reports of foreign inspectors under these arrangements on a similar basis in accordance with their national legislation to the reports of national inspectors. The provisions of this paragraph shall not impose any obligation on a Contracting Government to give the report of a foreign inspector a higher evidential value than it would possess in the inspector's own country. Contracting Governments shall collaborate in order to facilitate judicial or other proceedings arising from a report of an inspector under these arrangements.
9. (i) Contracting Governments shall inform the Commission by the 1st of March each year of their provisional plans for participation in these arrangements in the following year and the Commission may make suggestions to Contracting Governments for the coordination of national operations in this field including the number of inspectors and ships carrying inspectors.

(ii) The arrangements set out in this recommendation and the plans for participation shall apply between Contracting Governments unless otherwise agreed between them; and such agreement shall be notified to the Commission:

Provided, however, that implementation of the scheme shall be suspended between any two Contracting Governments if either of them has notified the Commission to that effect, pending completion of an agreement.
10. (i) The fishing gear shall be inspected in accordance with the regulations in force for the subarea in which the inspection takes place. The inspector will state the nature of the violation in his report.
(ii) Inspectors shall have the authority to inspect all fishing gear in use or that fishing gear on deck ready for use.
11. The inspector shall affix an identification mark approved by the Commission to any fishing gear inspected which appears to be in contravention of the Commission's recommendations in force in relation to the flag state of the vessel concerned and shall record this fact in his report.
12. The inspector may photograph the gear in such a way as to reveal those features which in his opinion are not in conformity with the regulation in force, in which case the subjects photographed should be listed in the report and copies of the photographs should be attached to the copy of the report to the flag state.
13. The inspector shall have authority, subject to any limitations imposed by the Commission, to examine the characteristics of catches, to establish whether the Commission's recommendations are being complied with. He shall report his findings to the authorities of the flag state of the inspected vessel as soon as possible.

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**RECOMMENDATION BY ICCAT REGARDING COMPLIANCE IN THE BLUEFIN
TUNA AND NORTH ATLANTIC SWORDFISH FISHERIES**

(Entered into force: **August 4, 1997**)

CONSIDERING that the 1996 SCRS has identified Atlantic bluefin tuna and North Atlantic swordfish stocks as over-exploited;

GIVEN that statistics indicate that some Contracting Parties have exceeded their catch limits; and,

RECOGNIZING that compliance with catch limits is essential to conservation of Atlantic bluefin tuna and North Atlantic swordfish.

THEREFORE, with respect to the harvest of bluefin tuna in the western Atlantic, the eastern Atlantic, and the Mediterranean Sea, and swordfish in the North Atlantic,

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS RECOMMENDS THAT:

- 1 At the 1997 Commission Meeting, and each year thereafter, each Contracting Party whose landings, as provided in the Task I data, exceeded its catch limit for that species in the previous fishing year will explain to the Compliance Committee how the over-harvest occurred, and the actions already taken, or to be taken to prevent further over-harvest;
- 2 If, in the applicable management period, beginning in 1997, and each subsequent management period, any Contracting Party exceeds its catch limit, its catch limit will be reduced in the next subsequent management period by 100% of the amount in excess of such catch limit; and ICCAT may authorize other appropriate actions; and
- 3 Notwithstanding paragraph (2), if any Contracting Party exceeds its catch limit during any two consecutive management periods, the Commission will recommend appropriate measures, which may include, but are not limited to, reduction in the catch limit equal to a minimum of 125% of the excess harvest, and, if necessary, trade restrictive measures. Any trade measures under this paragraph will be import restrictions on the subject species and consistent with each Party's international obligations. The trade measures will be of such duration and under such conditions as the Commission may determine.

Treatment of Contracting Party under-harvest may be addressed as part of the Recommendation regarding total catch limits in the following management period.

**RESOLUTION BY ICCAT ON
LARGE-SCALE PELAGIC DRIFTNETS**

(Transmitted to Contracting Parties: **February 3, 1997**)

CONSIDERING that in November, 1993, and November, 1994, ICCAT adopted Resolutions in support of the Resolutions of the United Nations General Assembly, 44/225, 45/197 and 46/215, concerning large-scale, high seas, pelagic driftnets and their impact on the living marine resources of the world's oceans and seas, requesting its Contracting Parties to support these Resolutions;

CONSIDERING that it was brought to the attention of the Contracting Parties of the Commission that in 1995 such large-scale, high seas, pelagic driftnet fishing continued in the areas of ICCAT competence and that this activity in some fisheries was increasing;

CONSIDERING that the Commission continues to express its concern about the possibility that certain stocks under ICCAT mandate, as well as other marine resources, are being adversely affected by such fishing; and

CONSIDERING that the Commission has reaffirmed its commitment as regards the concept of responsible fishing, such as established within the framework of the FAO Code of Conduct,

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT):**

REAFFIRMS the importance it gives to compliance with the Resolutions of the United Nations 44/225, 45/197 and 46/215,

EXPRESSES its appreciation for the individual and collective efforts made by some of its members to apply and support the objective of these Resolutions.

REITERATES its serious concern about the potential negative impacts that large-scale pelagic driftnet fishing can have on the marine resources of the Atlantic Ocean and Mediterranean Sea, and its intention to carefully monitor the repercussions of this fishing on these stocks.

APPEALS to all its Contracting Parties to apply these Resolutions in their entirety and inform the Commission and the Secretary General of the United Nations on the regulatory measures adopted with a view towards assuring their application, in accordance with the Decisions of the United Nations 47/443 and 48/445.

APPEALS to all its Contracting Parties to commit themselves immediately as concerns their application, assuring that their nationals and their fishing vessels comply with Resolution 46/215, to provide all the necessary data relative to these fisheries in order that the scientists can study the effects of the utilization of these gears, and imposing adequate sanctions on their nationals and on their fishing vessels that act contrary to the terms of Resolution 46/215.

CHARGES the Compliance Committee and the Permanent Working Group for the Improvement of ICCAT Statistics and Conservation Measures (PWG) to monitor compliance with the U.N. Resolutions within the ICCAT Convention Area with a view to adopting adequate measures.

**RECOMMENDATION BY ICCAT TO
IMPROVE COMPLIANCE WITH MINIMUM SIZE REGULATIONS**

(Entered into force: **June 13, 1998**)

RECOGNIZING that some Contracting Parties are not complying with the minimum size regulations for ICCAT stocks;

ACKNOWLEDGING that compliance with minimum size regulations would improve the state of ICCAT stocks;

NOTING THAT to better assess all harvest of ICCAT stock, parties, entities or fishing entities should make every effort to submit timely and complete Task II information (catch and effort statistics in detailed time/area strata and size data by ICCAT sampling areas and quarterly periods).

Therefore,

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS:

- 1 That Contracting Parties immediately implement measures to ensure the monitoring and enforcement of the minimum size regulations for ICCAT stocks;
- 2 That at the 1998 Commission meeting, and each year thereafter, each Contracting Party who has harvested any bluefin tuna weighing less than 3.2 kg, or whose harvest of any ICCAT stock exceeds the specified minimum size tolerance level adopted by the Commission, explain to the Compliance Committee:
 - a) The magnitude of the over-harvest;
 - b) Domestic measures implemented to avoid further over-harvest;
 - c) Monitoring of compliance with domestic measures; and
 - d) Any other actions to be taken to prevent further over-harvest;
- 3 That beginning at the 2000 Commission Meeting, if any Contracting Party's actions pursuant to paragraph (2) have failed to prevent further over-harvest, the Commission may recommend measures to reduce harvest of undersized fish, which may include, but are not limited to, time and area closures, assignment of small fish quotas, and/or gear restrictions.

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**RECOMMENDATION BY ICCAT REGARDING
COMPLIANCE IN THE SOUTH ATLANTIC SWORDFISH FISHERY**

(Entered into force on **September 24, 1998**)

(Except for **Brazil, South Africa and Uruguay** who presented and reaffirmed objections)

RECOGNIZING that at its 1997 meeting the Commission addressed South Atlantic swordfish quotas;

NOTING that compliance with the quotas is essential to effective implementation;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

The Recommendation by ICCAT Regarding Compliance in the Bluefin Tuna and North Atlantic Swordfish Fisheries, adopted by the Commission at its Tenth Special Meeting (November 1996), be extended to include compliance in the South Atlantic swordfish fishery.

**RECOMMENDATION BY ICCAT
CONCERNING THE BAN ON LANDINGS AND TRANSHIPMENTS
OF VESSELS FROM NON-CONTRACTING PARTIES IDENTIFIES AS
HAVING COMMITTED A SERIOUS INFRINGEMENT**

(Entered into force: **June 21, 1999**)

RECOGNIZING the importance of ensuring compliance of vessels from non-contracting parties, entities or fishing entities with ICCAT rules;

CONSIDERING that ICCAT adopted in November 1997 a Recommendation concerning the transshipments and vessel sightings and that, therefore, Contracting Parties of ICCAT have an obligation to report immediately the sightings of vessels from non-contracting parties, entities or fishing entities fishing in contravention to ICCAT rules;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

- 1 A vessel flying the flag of a non-contracting party, entity or fishing entity, which has been sighted in the ICCAT Convention Area, in conformity with the conditions of paragraph 4 of the *Recommendation by ICCAT on Transshipment and Vessel Sightings*, adopted in November 1997¹, is presumed to be undermining ICCAT conservation measures.
- 2 When a vessel of a non-contracting party, entity or fishing entity referred to in paragraph 1 enters voluntarily a port of any Contracting Party, it shall be inspected by authorized Contracting Party officials knowledgeable of ICCAT measures and shall not be allowed to land or tranship any fish until this inspection has taken place. Such inspections shall include the vessel's documents, logbooks, fishing gear, catch on board and any other matter relating to the vessel's activities in the Convention Area.
- 3 Landings and transshipments of all fish from vessels of a non-contracting party, entity or fishing entity which have been inspected pursuant to paragraph 2, shall be prohibited in all Contracting Party ports if such inspection reveals that the vessel has onboard species subject to ICCAT conservation measures, unless the vessel establishes that the fish were caught outside the Convention Area or in compliance with the relevant ICCAT conservation measures and requirements under the Convention.
- 4 Information on the results of all inspections of vessels of non-contracting parties, entities or fishing entities, conducted in the ports of Contracting Parties, and any subsequent action, shall be transmitted immediately to the Commission. The Secretariat shall transmit this information to all Contracting Parties and to the relevant flag State(s).

¹ [Rec. 97-11, repealed and replaced by Rec. 19-09].

**RESOLUTION BY ICCAT CALLING FOR FURTHER ACTIONS AGAINST
ILLEGAL, UNREGULATED AND UNREPORTED FISHING ACTIVITIES BY LARGE-SCALE LONGLINE
VESSELS IN THE CONVENTION AREA AND OTHER AREAS**

(Transmitted to Contracting Parties: **December 16, 1999**)

RECALLING that ICCAT adopted at its 1998 meeting a *Resolution by ICCAT Concerning Unreported and Unregulated Catches of Tunas by Large Scale Longline Vessels in the Convention Area*, and a *Recommendation Concerning Registration and Exchange of Information of Bigeye Tuna Fishing Vessels*,

BEING CONCERNED that illegal, unregulated, and unreported fishing activities by large scale tuna longline vessels activities in the Convention area have continued and increased, and that such activities diminish the effectiveness of ICCAT conservation and management measures,

RECOGNIZING that there is evidence to indicate that many owners of vessels engaged in such fishing activities have reflagged their vessels to avoid compliance with ICCAT conservation and management measures and to evade the non-discriminatory trade restrictive measures that ICCAT has adopted,

BEING CONCERNED that many of these vessels are shifting their flag from Non-Contracting Parties to Contracting Parties,

BEING INFORMED that most of these vessels are owned and operated by Chinese Taipei's business entities while almost all of their products are being exported to Japan,

BEING AWARE that a majority of these vessels used to be Japanese vessels and were exported, whereas most of the remaining vessels were built in Chinese Taipei,

SUPPORTING the joint effort by Japan and Chinese Taipei to eliminate large-scale tuna longline vessels engaged in illegal, unregulated, and unreported fishing, i.e. scrapping of Japanese origin vessels and reflagging of Chinese Taipei built vessels to Chinese Taipei under its own registration,

RECOGNIZING with grave concern that a number of large-scale tuna longline vessels which are currently under construction in the Chinese Taipei's shipping yards with equipment/devices largely supplied from Japan, have high potential of engaging in illegal, unregulated, and unreported unregulated fishing activities,

BEING AWARE that further action must be taken to deter unreported and unregulated fishing activities in the Convention Area and other areas,

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RESOLVES THAT:

- 1 The Contracting Parties, Cooperating non-Contracting Parties, Entities or Fishing Entities shall ensure that large-scale tuna longline vessels under their registry do not carry out illegal, unregulated and unreported fishing activities in the Convention area and other areas (e.g. by means of denying such vessels a license to fish).
- 2 The Contracting Parties, Cooperating non-Contracting Parties, Entities or Fishing Entities shall take every possible action, consistent with the relevant laws,
 - i) to urge their importers, transporters and other concerned business people to refrain from engaging in transaction and transshipment of tunas and tuna-like species caught by vessels carrying out illegal, unregulated and unreported fishing activities in the Convention area and other areas.
 - ii) to inform their general public of illegal, unregulated and unreported fishing activities by tuna longline vessels which diminish the effectiveness of ICCAT conservation and management measures and urge them not to purchase fish harvested by such vessels, and

- iii) to urge their manufacturers and other concerned business people to prevent their vessels and equipment/devices from being used for the illegal, unregulated and unreported longline fishing operations in the Convention area and other areas.
- 3 The Commission urges all non-Contracting Parties, Entities or Fishing Entities not referred to above to act in conformity with operative paragraphs 1 and 2 of this Resolution.
- 4 Notwithstanding paragraph 1, the Commission praises Chinese Taipei's effort to establish a proper scheme to allow the registration of Chinese Taipei built vessels which have engaged in illegal, unregulated and unreported fishing activities and urges Chinese Taipei to continue and strengthen this effort. The Commission also urges Japan, in cooperation with Chinese Taipei, to scrap Japan-built vessels engaged in illegal, unregulated and unreported fishing activities in the Convention area and other areas.

RESOLUTION BY ICCAT CONCERNING THE NEED FOR NEW APPROACHES TO DETER ACTIVITIES THAT DIMINISH THE EFFECTIVENESS OF ICCAT CONSERVATION AND MANAGEMENT MEASURES

(Transmitted to Contracting Parties: **December 16, 1999**)

RECOGNIZING that ICCAT has adopted a wide variety of conservation and management measures designed to attain the goal of the Convention of maximum sustainable catches of tuna and tuna-like species in the ICCAT Convention Area;

CONCERNED that, despite the adoption of these measures, more than half of the major stocks of species managed by the Commission continue to be at levels below that necessary to provide maximum sustainable catch, while most other stocks appear to be at or near full exploitation levels;

REAFFIRMING the responsibility of flag States to ensure that vessels flying their flags do not engage in fishing activities that diminish the effectiveness of international conservation and management measures, such as those adopted by ICCAT;

NOTING that the 1995 Agreement for the Implementation of the Provisions of the United Nations Convention on the Law of the Sea of 10 December 1982 Relating to the Conservation and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks and the 1993 Agreement to Promote Compliance with International Conservation and Management Measure by Fishing Vessels on the High Seas, which set forth in detail the responsibility of flag States in this regard, have not yet entered into force;

AWARE that some flag States remain unable or unwilling to fulfill this responsibility;

ENDORSING, in this regard, paragraph 33 of the International Plan of Action for the Management of Fishing Capacity, adopted in 1999 by the Food and Agriculture Organization of the United Nations ("FAO"), which provides that "States should recognize the need to deal with the problem of those States which do not fulfill their responsibilities under international law as flag States with respect to their fishing vessels, and in particular those which do not exercise effectively their jurisdiction and control over their vessels which may operate in a manner that contravenes or undermines relevant rules of international law and international conservation and management measures";

CONVINCED that, to deal with this problem successfully, Contracting Parties, Non-Contracting Parties, Entities and Fishing Entities need to consider new measures and approaches beyond those that have been adopted by ICCAT to date;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RESOLVES THAT:**

- 1 The Commission fully endorse the initiative of the FAO to develop an international plan of action to combat illegal, unregulated and unreported fishing and encourages all Contracting Parties, Non-Contracting Parties, Entities and Fishing Entities to participate actively in this undertaking.
- 2 All Contracting Parties that have not yet done so should consider becoming party to the Agreement for the Implementation of the Provisions of the United Nations Convention on the Law of the Sea of 10 December 1982 Relating to the Conservation and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks, as well as the Agreement to Promote Compliance with International Conservation and Management Measure by Fishing Vessels on the High Seas as soon as possible.
- 3 The Commission encourages each Contracting Party, non-Contracting Party, Entity and Fishing Entity to participate in efforts to ensure the sustainability of marine living resources in the Convention area, as called for in the International Plan of Action for the Management of Fishing Capacity.

**RECOMMENDATION BY ICCAT REGARDING COMPLIANCE
WITH MANAGEMENT MEASURES WHICH DEFINE QUOTAS AND/OR CATCH LIMITS**

(Entered into force: **June 26, 2001**)

RECOGNIZING that the *Recommendation by ICCAT Regarding Compliance in the Bluefin Tuna and North Atlantic Swordfish Fisheries* was adopted at the 1996 Commission meeting and it was extended to include compliance in the South Atlantic swordfish fishery at the 1997 Commission meeting;

NOTING the treatment of overage and underage differs among the stocks and this complicates quota management and compliance;

RECOGNIZING the need to simplify the rules by generalizing the treatment of overage and underage to avoid future confusion;

THE INTERNATIONAL COMMISSION OF THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

For any species under quota/catch limit management, underages/overages from one year may be added to/must be subtracted from the quota/catch limit of the management period immediately after or one year after that year, unless any recommendation on a stock specifically deals with overages/underages, in which case that recommendation will take precedence.

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RECOMMENDATION BY ICCAT REGARDING THE TEMPORARY ADJUSTMENT OF QUOTAS

(Entered into force: **August 21, 2002**)

RECOGNIZING the results of the ICCAT Working Group on Allocation Criteria,

THE INTERNATIONAL COMMISSION FOR THE
CONSERVATION OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

Any temporary quota adjustments shall be done only under authorization by the Commission.

**- SUPPLEMENTAL RECOMMENDATION -
COMPLIANCE IN THE ATLANTIC BFT & SWO FISHERIES**

(Entered into force: **August 21, 2002**)

RECALLING the *Recommendation by ICCAT Regarding Compliance in the Bluefin Tuna and North Atlantic Swordfish Fisheries* adopted at the 1996 Commission Meeting, and the *Recommendation by ICCAT Regarding Compliance in the South Atlantic Swordfish Fishery*, adopted at the 1997 Commission Meeting;

AWARE that all the Contracting Parties may not have the necessary data at the moment to establish catch limits for a management period immediately following a management period during which overfishing was reported, and are not in condition to respect the provisions of application stipulated under paragraph 2 of the 1996 *Recommendation by ICCAT Regarding Compliance in the Bluefin Tuna and North Atlantic Swordfish Fisheries*, which were also applicable to the South Atlantic swordfish fisheries;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

Notwithstanding paragraph 2 of the 1996 *Recommendation by ICCAT Regarding Compliance in the Bluefin Tuna and North Atlantic Swordfish Fisheries*¹ which is also applicable to the South Atlantic swordfish fisheries, all unused portion (if this is specified in the pertinent management recommendation) or excess of the annual quota/catch limit shall be deducted from/may be added to, according to the case, the respective quota/catch limit during or before the adjustment year, in the following way:

	<i>Catch year</i>	<i>Adjustment year</i>
North Atlantic swordfish	2000	2002
	2001	2003
	2002	2004
East Atlantic/Mediterranean bluefin tuna	1999	2001
	2000	2002
	2001	2003

¹ [Rec. 96-14].

RESOLUTION BY ICCAT FURTHER DEFINING THE SCOPE OF IUU FISHING

(Transmitted to Contracting Parties: **March 22, 2002**)

RECALLING that ICCAT adopted at its 1999 meeting a *Resolution by ICCAT Calling for Further Actions Against Illegal, Unregulated, and Unreported Fishing Activities by Large-scale Longline Vessels in the Convention Area and Other Areas*;

RECOGNIZING that the International Plan of Action to Prevent, Deter, and Eliminate Illegal, Unregulated, and Unreported Fishing of the Food and Agriculture Organization of the United Nations establishes in Section 3.1 a clear definition of what constitutes IUU fishing;

MINDFUL of the need to ensure that actions taken to support ICCAT conservation and management measures are non-discriminatory and in accordance with international law;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RESOLVES THAT:

Contracting Parties and Cooperating non-Contracting Parties, Entities and Fishing Entities shall take every possible action, consistent with relevant laws, to instruct their importers, transporters, and other concerned business people to refrain from engaging in transaction and transshipment of tunas and tuna-like species caught by vessels carrying out illegal, unregulated, and unreported fishing activities, which include, *inter alia*, any fishing not in compliance with relevant ICCAT conservation and management measures, in the Convention Area or other areas.

**RESOLUTION BY ICCAT CONCERNING COOPERATIVE
ACTIONS TO ELIMINATE ILLEGAL, UNREPORTED AND UNREGULATED FISHING ACTIVITIES BY
LARGE-SCALE TUNA LONGLINE VESSELS**

(Transmitted to Contracting Parties: **December 4, 2002**)

RECALLING that ICCAT adopted at its 1999 meeting a *Resolution by ICCAT Calling for Further Actions against Illegal, Unregulated and Unreported Fishing Activities by Large-Scale Longline Vessels in the Convention Area and Other Areas*, in which ICCAT urged Japan and Chinese Taipei to scrap or to re-register to Chinese Taipei those vessels,

RECALLING that ICCAT, at its 2000 meeting, praised and strongly supported the Joint Programs implemented by Japan and Chinese Taipei to eliminate illegal, unreported and unregulated (IUU) large-scale tuna longline vessels (LSTLVs) in its *Supplemental Resolution by ICCAT to Enhance the Effectiveness of the ICCAT Measures to Eliminate Illegal, Unregulated and Unreported Fishing Activities by Large-Scale Tuna Longline Vessels in the Convention Area and Other Areas*,

RECOGNIZING that the ICCAT *Ad Hoc* Working Group on Measures to Combat IUU Fishing in Tokyo 2002 stressed the importance of the collaborative work between Chinese Taipei and Japan to study further the involvement of Chinese Taipei's residents and licensed vessels in IUU fishing and other activities assisting IUU fishing, and to work out effective measures to prevent such involvement,

RECOGNIZING that ICCAT adopted at its 2002 meeting a *Recommendation by ICCAT Concerning Establishment of an ICCAT Record of Vessels Over 24 Meters Authorized to Operate in the Convention Area [02-22]*¹ (the Recommendation),

CONCERNED that still around 100 IUU LSTLVs exist, while the Japan/Chinese Taipei Joint Program resulted in contracts for scrapping of 43 vessels and agreements for re-registration of 34 vessels,

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RESOLVES THAT:

- 1 Japan and Chinese Taipei should further work together to eliminate the remaining IUU LSTLVs owned and/or operated by Chinese Taipei's residents.
- 2 Japan should work closely with the flag States of LSTLVs and if appropriate take joint action, so as to implement the Recommendation smoothly and satisfactorily and to achieve the objective of paragraph 1 above.
- 3 The Commission urges Chinese Taipei to consider adopting appropriate domestic legislation to improve its ability to control its residents that invest in or otherwise support or engage in IUU fishing.
- 4 Contracting Parties, Cooperating non-Contracting Parties, Entities or Fishing Entities should urge and may instruct their residents to refrain from engaging in and/or associating with activities that may support IUU tuna longline fishing vessels and with any other activities that undermine the effectiveness of ICCAT conservation and management measures.

¹ Replaced by Rec. 13-13 as amended by Rec. 14-10.

**GENERAL OUTLINE OF INTEGRATED MONITORING
MEASURES ADOPTED BY ICCAT**

NEEDS AND PRINCIPLES

The monitoring measures should respond to the peculiarities of the different ICCAT areas and fisheries.

These measures should be applied by the Contracting Parties and *mutatis mutandis* by Cooperating non-Contracting Parties, Entities or Fishing Entities.

Effective monitoring measures should embody a number of principles, namely:

- i* Consistency with the ICCAT Convention and existing relevant international law.
- ii* Evaluation of the current ICCAT measures and possibly complementing them with new measures.
- iii* The general obligation to co-operate and a commitment to implement the following measures with transparency, taking into account requirements for confidentiality.
- iv* Two types of measures should be applied:
 - Measures applicable to all fisheries. Measures concerning vessels would apply only to vessels beyond a certain size.
 - Measures applicable on a case-by-case basis to certain fisheries, taking cost-effectiveness into account.
- v* Contribution to the improvement of the collection and timely transmission of statistics, for scientific as well as monitoring purposes.
- vi* Provision of a means to ensure compliance by both Contracting and non-Contracting Parties, and to prevent, deter and eliminate illegal, unreported and unregulated (IUU) fishing in the ICCAT Convention Area.
- vii* The special requirements of developing States should be fully recognized and active co-operation should be established to facilitate the implementation of the measures by them.

Under these circumstances, the ICCAT monitoring measures should consist of the following basic components:

1 Flag State duties

The following monitoring measures should be taken by the flag States in regard to vessels entitled to fly their flags in the ICCAT Convention area:

- i* Control of their vessels by:
 - a* adopting measures so that their vessels comply with and do not undermine ICCAT conservation and management measures;
 - b* authorizing their vessels to fish in the ICCAT Convention Area by means of fishing authorizations, licenses, or permits;
 - c* ensuring they do not authorize vessels to fish in the ICCAT Convention Area unless they are able to effectively exercise their responsibilities in respect of such vessels, including monitoring and controlling their fishing activities;

- d ensuring that their vessels do not conduct unauthorized fishing within areas under the national jurisdiction of other States, through appropriate cooperation with coastal States concerned, and other relevant means available to the flag State;
- e requiring their vessels fishing on the high seas to carry the license, authorization or permit on board at all times and to produce it on demand for inspection by a duly authorized person.
- ii Establishment of a national record of fishing vessels entitled to fly their flags and authorized to fish in the ICCAT Convention Area, which should include vessels of other States authorized under charter agreements, and transmission of this information to ICCAT.
- iii Regulation of transshipment.
- iv Measures regarding the operation and control of chartering.
- v Requirements for recording and timely reporting of vessel position, catch of target and non target species, fishing effort and other relevant fisheries data including an estimate of discards, unless ICCAT stipulates otherwise. These data should be verified for certain fisheries by observer programs, where these programs have been adopted by the Commission.
- vi Implementation of a vessel monitoring system (VMS).
- vii Investigation of, follow-up to, and report on actions taken in response to an alleged violation by a vessel.

2 Obligations of the Contracting Parties and Cooperating non-Contracting Parties, Entities or Fishing Entities

The obligations of the Contracting Parties and Cooperating non-Contracting Parties, Entities or Fishing Entities should include:

- i Provision to ICCAT, in the manner and at such regular intervals as may be required by ICCAT, of compliance reports and information concerning its fishing activities, including fishing area and fishing vessels, in order to facilitate the compilation of reliable fishing statistics (catch, effort, size samples, etc.), and the effective implementation of ICCAT's compliance program.
- ii Compliance with all ICCAT conservation and management measures.

3 Compliance and enforcement

The Contracting Parties, through the Commission, should establish an observation and inspection program to ensure compliance with ICCAT conservation and management measures.

The program may *inter alia* comprise the following elements:

- i High seas inspection.
- ii Procedures for an effective investigation of an alleged violation of ICCAT conservation and management measures, and for reporting to the Commission on the actions taken, including procedures for exchanging information.
- iii Provisions for appropriate action to be taken when inspections reveal serious violations as well as the expedient and transparent follow-up of such actions in order to uphold the Flag State's responsibility within the intended program.
- iv Port inspections.

- v Monitoring of landings and catches, including statistical follow-up for management purposes.
- vi Specific monitoring programs adopted by ICCAT, including boarding and inspection.
- vii Observer programs.

4 A program to promote compliance by vessels of non-Contracting Parties, Entities or Fishing Entities

Further to existing measures, ICCAT should examine measures consistent with international law to deter activities of such vessels which undermine the effectiveness of ICCAT conservation and management measures.

- Implementation of all the relevant elements of the FAO International Plan of Action to Prevent, Deter, and Eliminate Illegal, Unreported and Unregulated Fishing.
- Prohibition of landings and transshipments of ICCAT species by vessels of non-Contracting Parties, Entities or Fishing Entities, sighted in the ICCAT Convention Area, that do not comply with the relevant ICCAT conservation and management measures.

**RECOMMENDATION BY ICCAT CONCERNING
THE DUTIES OF CONTRACTING PARTIES AND COOPERATING
NON-CONTRACTING PARTIES, ENTITIES, OR FISHING ENTITIES IN RELATION TO
THEIR VESSELS FISHING IN THE ICCAT CONVENTION AREA**

(Entered into force: **June 19, 2004**)

IN ACCORDANCE WITH the Needs and Principles set forth in the General Outline of Integrated Monitoring Measures Adopted by ICCAT, adopted by the Commission in 2002 to ensure effective monitoring measures;

CONSIDERING the deliberations of the ICCAT Working Group to Develop Integrated Monitoring Measures held in Madeira from 26 to 28 May 2003;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION OF
ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

- 1 In order to control vessels entitled to fly their flags and authorized to fish species managed by ICCAT in the Convention area, flag Contracting Parties, Cooperating non-Contracting Parties, Entities or Fishing Entities (hereinafter referred to as CPCs) shall:
 - a) adopt measures so that their vessels comply with and do not undermine ICCAT conservation and management measures;
 - b) authorize their vessels to fish in the ICCAT Convention area by means of fishing authorizations, licenses, or permits;
 - c) ensure they do not authorize their vessels to fish in the ICCAT Convention area unless they are able to effectively exercise their responsibilities in respect of such vessels, including monitoring and controlling their fishing activities;
 - d) ensure that their vessels do not conduct unauthorized fishing within areas under the national jurisdiction of other States, through appropriate cooperation with coastal States concerned, and other relevant means available to the flag CPC;
 - e) require their vessels fishing on the high seas to carry the license, authorization or permit on board at all times and to produce it on demand for inspection by a duly authorized person;
 - f) investigate and follow-up on an alleged violation by a vessel and report the results of such investigation, as well as the actions taken whenever that violation has been confirmed.
- 2 Each flag CPC shall establish and maintain an up-to-date record of fishing vessels entitled to fly its flag and authorized to fish species managed by ICCAT in the Convention area, which should include vessels of other flags authorized under charter agreements.
- 3 Each flag CPC shall ensure that its fishing vessels authorized to fish species managed by ICCAT in the Convention area, as well as their fishing gears, are marked in such a way that they can be readily identified in accordance with generally accepted standards such as the FAO standard specification for the marking and the identification of fishing vessels.

**RECOMMENDATION BY ICCAT
CONCERNING THE RECORDING OF CATCH
BY FISHING VESSELS IN THE ICCAT CONVENTION AREA**

(Entered into force: **June 19, 2004**)

IN ACCORDANCE WITH the Needs and Principles set forth in the General Outline of Integrated Monitoring Measures Adopted by ICCAT, adopted by the Commission in 2002 to ensure effective monitoring measures;

CONSIDERING the deliberations of the ICCAT Working Group to Develop Integrated Monitoring Measures held in Madeira from 26 to 28 May 2003;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

Each flag Contracting Party, Cooperating non-Contracting Party, Entity or Fishing Entity shall ensure that all fishing vessels flying its flag and authorized to fish species managed by ICCAT in the Convention area be subject to a data recording system. All commercial fishing vessels over 24 m length overall shall keep a bound or electronic logbook recording the information required in the *ICCAT Field Manual for Statistics and Sampling*. In the case of sport fishing vessels, other comparable data-collection systems shall be acceptable.

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**RECOMMENDATION BY ICCAT TO ADOPT ADDITIONAL MEASURES
AGAINST ILLEGAL, UNREPORTED AND UNREGULATED (IUU) FISHING**

(Entered into force: **June 19, 2004**)

MINDFUL of the need to improve the control and management of quotas and catch limits fixed by ICCAT,

CONCERNED by the fact that the activities of IUU fishing in the ICCAT Convention area continue, and that these activities undermine the effectiveness of the ICCAT conservation and management measures,

NOTING that certain vessels catch, land, place in cages for farming, market and/or transship tuna and tuna-like species when their flag State has no quota, catch limit or effort allocation in accordance with ICCAT conservation and management measures,

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

Consistent with their rights and obligations under international law, Contracting Parties and Cooperating non-Contracting Parties, Entities or Fishing Entities (hereafter referred to as CPCs) take the necessary measures to prohibit landings from fishing vessels, placing in cages for farming and/or the transshipment within their jurisdiction of tunas or tuna-like species caught by IUU fishing activities.

**RECOMMENDATION BY ICCAT
TO ADOPT MEASURES CONCERNING SPORT
AND RECREATIONAL FISHING ACTIVITIES IN THE MEDITERRANEAN SEA**

(Entered into force: **June 13, 2005**)

TAKING INTO ACCOUNT the need to regulate sport and recreational fishing activities to ensure that these activities do not undermine sustainable exploitation of the stocks, notably the bluefin tuna stock, in the Mediterranean Sea,

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF THE ATLANTIC TUNA (ICCAT) RECOMMENDS THAT:

- 1 Contracting Parties, Entities, and Cooperating non-Contracting Parties, Entities or Fishing Entities (hereafter named CPCs) shall take the measures necessary to forbid the use within the framework of sport and recreational fishing of towed nets, encircling nets, seine sliding, dredgers, gill nets, trammel net and longline to fish for tuna and tuna-like species, notably bluefin tuna, in the Mediterranean Sea.
- 2 The CPCs shall ensure that catches of tuna and tuna-like species carried out in the Mediterranean Sea from sport and recreational fishing are not marketed.
- 3 The CPCs shall take the necessary measures so that catch data from sport and recreational fishing are collected and transmitted to the SCRS.

**RESOLUTION BY ICCAT CONCERNING
THE CHANGE IN THE REGISTRY AND FLAGGING OF VESSELS**

(Transmitted to Contracting Parties: **December 14, 2005**)

RECALLING that ICCAT has adopted an extensive variety of conservation and management measures aimed at achieving the objective of the Convention of maximum sustainable catches of tunas and tuna-like species in the Convention area,

CONCERNED that, in spite of the adoption of these measures, large longliners that carry out illegal, unregulated and unreported fishing activities in the Convention area resort to constant changes in vessel names, registration and flags as new stratagems to undermine the effectiveness of the ICCAT conservation and management measures,

CONVINCED of the need to adopt new measures that result in halting the use of these practices to evade the ICCAT conservation and management measures,

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RESOLVES THAT:

- 1 As a prior condition for the registration or flagging of vessels, the Contracting and non-Contracting Parties should require the presentation of a Certificate of Deletion from the previous Registry or flag or any other proof of consent to the transfer of the ship, issued by the previous Contracting Party or non-Contracting Party State.
- 2 Prior to the registry of any fishing vessel, the CPC should investigate the history of compliance of the subject vessel in ICCAT and other regional management organizations, in order to determine if such vessel is on the negative lists and/or is currently registered in the sanctioned CPCs or non-Contracting Parties.

RESOLUTION BY ICCAT ON CIRCLE HOOKS

(Transmitted to Contracting Parties: **December 14, 2005**)

RECOGNIZING that ICCAT Parties should already be reporting data on incidentally caught sea turtles to the SCRS;

IN SUPPORT OF the 2004 Food and Agricultural Organization (FAO) Technical Consultation on Sea Turtles Conservation and Fisheries and the Guidelines to Reduce Sea Turtle Mortality in Fishing Operations, which were adopted by the Committee on Fisheries (COFI) in March 2005;

RECALLING that the 2003 Resolution by ICCAT on Sea Turtles [Res. 03-11] encourages “technical measures to reduce the incidental catch of turtles” and resolves to “support efforts by FAO to address the conservation and management of sea turtles, through a holistic approach”;

NOTING that recent international scientific studies on circle hooks show a statistically significant decrease in sea turtle by-catch when such hooks are used in pelagic longline fishing, but that studies and trials continue in different geographic areas;

FURTHER NOTING that scientific studies indicate that, with the use of circle hooks, the hooking location can lead to a decrease in post-release mortality of incidentally caught species;

CONSIDERING that the United Nations Agreement on Straddling Fish Stocks and Highly Migratory Fish Stocks calls on nations to take ecosystem considerations into account and that many countries, including Contracting Parties, are moving to incorporate ecosystem considerations into fisheries management; and

ALSO RECALLING that both blue marlin and white marlin are currently under a rebuilding plan and the use of circle hooks has been experimentally shown to significantly reduce their post-release mortality;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS RESOLVES THAT:**

- 1 All Contracting Parties, Cooperating non-Contracting Parties, Entities, and Fishing Entities (CPCs) are encouraged to undertake research trials of appropriate-size circle hooks in commercial pelagic longline fisheries.
- 2 CPCs should also encourage research and trials on the use of circle hooks in recreational and artisanal fisheries.
- 3 CPCs are encouraged to exchange ideas regarding fishing methods and technological gear changes that improve the safe handling and release of incidentally caught species including, but not limited to, the use of de-hookers, line cutters, and scoop nets.
- 4 When feasible and appropriate, SCRS should present the Commission with an assessment of the impact of circle hooks on the dead discard levels in ICCAT pelagic longline fisheries.

RECOMMENDATION BY ICCAT CONCERNING TRADE MEASURES

(Entered into force: **June 13, 2007**)

NOTING that the objective of ICCAT is to maintain the populations of tuna and tuna-like species in the Atlantic at levels which will permit harvesting at maximum sustainable yield;

CONSIDERING the need for action to ensure the effectiveness of the ICCAT objectives;

CONSIDERING the obligation of all Contracting Parties and Cooperating non-Contracting Parties, Entities or Fishing Entities (hereinafter referred to as CPCs) to respect the ICCAT conservation and management measures;

AWARE of the necessity for sustained efforts by CPCs to ensure the enforcement of ICCAT's conservation and management measures, and the need to encourage non-Contracting Parties, Entities or Fishing Entities (hereinafter referred to as NCPs) to abide by these measures;

NOTING that trade restrictive measures should be implemented only as a last resort, where other measures have proven unsuccessful to prevent, deter and eliminate any act or omission that diminishes the effectiveness of ICCAT conservation and management measures;

ALSO NOTING that trade restrictive measures should be adopted and implemented in accordance with international law, including principles, rights and obligations established in World Trade Organization (WTO) Agreements, and be implemented in a fair, transparent and non-discriminatory manner.

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

1. CPCs that import tuna and tuna-like fish and/or fish products or in whose ports those products are landed, shall identify such products, collect and examine the relevant import, landing or associated data on such products, in order to submit the relevant information in a timely manner to the ICCAT Secretariat for distribution to the other CPCs to collect any additional element in order that the Commission can identify each year:
 - a) vessels that caught and produced such tuna or tuna-like species products,
 - i) name
 - ii) flag
 - iii) name and address of owners
 - iv) registration number
 - b) farming facilities
 - i) name
 - ii) location
 - iii) name and address of owners
 - iv) registration number
 - c) species (of tuna and tuna-like species) of the products,
 - d) areas of catch (Atlantic Ocean, Mediterranean Sea, or other area),
 - e) product weight by product type,
 - f) points of export,

2. a) The Commission, through the Conservation and Management Measures Compliance Committee (hereinafter Compliance Committee) or the Permanent Working Group for the Improvement of ICCAT Statistics and Conservation Measures (hereinafter PWG), shall identify each year:
 - i) The CPCs that have failed to discharge their obligations under the ICCAT Convention in respect of ICCAT conservation and management measures, in particular, by not taking measures or exercising effective control to ensure compliance with ICCAT conservation and management measures by the vessels flying their flag, or farming facilities subject to their jurisdiction; and/or
 - ii) The NCPs that have failed to discharge their obligations under international law to co-operate with ICCAT in the conservation and management of tuna and tuna-like species, in particular, by not taking measures or exercising effective control to ensure that their vessels or their farming facilities do not engage in any activity that undermines the effectiveness of ICCAT conservation and management measures.
 - b) These identifications should be based on a review of all information provided in accordance with paragraph 1 or, as appropriate, any other relevant information, such as: the catch data compiled by the Commission; trade information on these species obtained from national statistics; the ICCAT Bluefin Tuna Catch Documentation Programme, the ICCAT Bigeye Tuna and Swordfish Statistical Document Programmes; the list of the IUU vessels adopted by ICCAT, as well as any other relevant information.
 - c) In deciding whether to make identification, the Compliance Committee or the PWG should consider all relevant matters including the history, and the nature, circumstances, extent, and gravity of the act or omission that may have diminished the effectiveness of ICCAT conservation and management measures.
3. The Commission should request CPCs and NCPs concerned to rectify the act or omission identified under paragraph 2 so as not to diminish the effectiveness of the ICCAT conservation and management measures.
- The Commission should notify identified CPCs and NCPs of the following:
- a) the reason(s) for the identification with all available supporting evidence;
 - b) the opportunity to respond to the Commission in writing at least 30 days prior to the annual meeting of the Commission with regard to the identification decision and other relevant information, for example, evidence refuting the identification or, where appropriate, a plan of action for improvement and the steps they have taken to rectify the situation; and
 - c) in the case of a NCP, an invitation to participate as an observer at the annual meeting where the issue will be considered.
4. CPCs are encouraged jointly and individually to request the CPC/NCPs concerned to rectify the act or omission identified under paragraph 2 so as not to diminish the effectiveness of the ICCAT conservation and management measures.
5. The Executive Secretary should, by more than one means of communication, within 10 working days following the approval of the report of the Compliance Committee or the PWG, transmit the Commission's request to the identified CPC or NCP. The Executive Secretary should seek to obtain confirmation from the CPC or the NCP that it received the notification.
6. The Compliance Committee or the PWG should evaluate the response of the CPCs or NCPs, together with any new information, and propose to the Commission to decide upon one of the following actions:
- a) the revocation of the identification;
 - b) the continuation of the identification status of the CPC or NCP; or
 - c) the adoption of non-discriminatory trade restrictive measures.

Absence of response from the CPCs/NCPs concerned within the time limit shall not prevent action from the Commission.

In the case of CPCs, actions such as the reduction of existing quotas or catch limits should be implemented to the extent possible before consideration is given to the application of trade restrictive measures. Trade measures should be considered only where such actions either have proven unsuccessful or would not be effective.

7. If the Commission decides upon the action described in paragraph 6 c), it should recommend to the Contracting Parties pursuant to Article VIII of the Convention to take non-discriminatory trade restrictive measures, consistent with their international obligations. The Commission shall notify the CPCs and NCPs concerned of the decision and the underlying reasons in accordance with the procedures specified in paragraph 5.
8. CPCs shall notify the Commission of any measures that they have taken for the implementation of the non discriminatory trade restrictive measures adopted in accordance with paragraph 7.
9. In order for the Commission to recommend the lifting of trade restrictive measures, the Compliance Committee or the PWG shall review each year all trade restrictive measures adopted in accordance with paragraph 7. Should this review show that the situation has been rectified, the Compliance Committee or PWG shall recommend to the Commission the lifting of the non-discriminatory trade restrictive measures.

Such decisions should also take into consideration whether the CPCs and/or NCPs concerned have taken concrete measures capable of achieving lasting improvement of the situation.

10. Where exceptional circumstances so warrant or where available information clearly shows that, despite the lifting of trade-restrictive measures, the CPC or NCP concerned continues to diminish the effectiveness of ICCAT conservation and management measures, the Commission may immediately decide on action including, as appropriate, the imposition of trade-restrictive measures in accordance with paragraph 7.

Before making such a decision, the Commission shall request the CPC or NCP concerned to discontinue its wrongful conduct and shall provide the CPC or NCP with a reasonable opportunity to respond.

11. The Commission shall establish annually a list of CPCs and NCPs that have been subject to a trade-restrictive measure pursuant to paragraph 7 and, with respect to NCPs, are considered as non-Cooperating non-Contracting Parties to ICCAT.
12. The *Resolution by ICCAT Concerning Trade Measures* [Res. 03-15] is repealed and replaced by the present Recommendation. For the purposes of this paragraph, CPCs and NCPs that are under sanction pursuant to Resolution 03-15 are deemed to be sanctioned under the present Recommendation, provided that this will not result in any greater level of sanction than that already imposed.

**RECOMMENDATION BY ICCAT TO PROMOTE
COMPLIANCE BY NATIONALS OF CONTRACTING PARTIES,
COOPERATING NON-CONTRACTING PARTIES, ENTITIES, OR
FISHING ENTITIES WITH ICCAT CONSERVATION AND MANAGEMENT MEASURES**

(Entered into force: **June 13, 2007**)

CONVINCED that illegal, unreported and unregulated (IUU) fishing compromises the objectives of the Convention,

CONCERNED that some flag States do not comply with their obligations regarding jurisdiction and control according to international law in respect of fishing vessels entitled to fly their flag that carry out their activities in the Convention area, and that as a result these vessels are not under the effective control of such flag States,

AWARE that the lack of effective control facilitates fishing by these vessels in the Convention area in a manner that undermines the effectiveness of ICCAT conservation and management measures, and can lead to illegal, unreported and unregulated (IUU) catches of fish,

CONCERNED that vessels that carry out activities in the Convention area which do not comply with the ICCAT conservation and management measures are benefiting from the support provided by persons subject to the jurisdiction of Contracting Parties, Cooperating non-Contracting Parties, Entities or Fishing Entities (CPCs), including, *inter alia*, through participation in transshipment, transport and trade of illegally harvested catches or engagement on board or in the management of these vessels,

NOTING that the FAO International Plan of Action to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing calls on States to take measures to discourage nationals subject to their jurisdiction from supporting and engaging in any activity that undermines the effectiveness of international conservation and management measures,

RECALLING that CPCs should cooperate in taking appropriate action to deter any activities which are not consistent with the objective of the Convention,

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

1. Without prejudice to the primacy of the responsibility of the flag State, the Contracting Parties shall take appropriate measures, subject to and in accordance with their applicable laws and regulations:
 - (i) to investigate allegations and/or reports concerning the engagement of any natural or legal persons subject to their jurisdiction are engaged in the activities described, *inter alia*, in Recommendation 06-12, paragraph 1, *Recommendation by ICCAT to Establish a List of Vessels Presumed to Have Carried Out Illegal, Unreported and Unregulated Fishing Activities in the ICCAT Convention Area* [Rec. 06-12]¹.
 - (ii) take appropriate action in response to any verified activities referred to in paragraph 1(i); and
 - (iii) cooperate for the purpose of implementing the measures and actions referred to in paragraph 1(i). To this end, relevant agencies of CPCs should cooperate to implement ICCAT conservation and management measures and CPCs shall seek cooperation by industries within their jurisdiction.
2. To assist with the implementation of this recommendation, CPCs shall submit reports subject to the national laws of confidentiality to the ICCAT Secretariat and the CPCs on the actions and measures taken in accordance with paragraph 1, in a timely fashion.
3. These provisions shall be applicable from 1 July 2008. Contracting Parties may voluntarily decide to implement these provisions prior to this date.

¹ Recommendation 06-12 was replaced by Recommendation 11-18, which was repealed and replaced by Rec. 18-08.

**RECOMMENDATION BY ICCAT CONCERNING DATA EXCHANGE FORMAT
AND PROTOCOL IN RELATION TO THE VESSEL MONITORING SYSTEM (VMS)
FOR THE BLUEFIN TUNA FISHERY IN THE ICCAT CONVENTION AREA**

(Entered into force: **June 4, 2008**)

IN ACCORDANCE WITH paragraph 49 of the *Recommendation by ICCAT to Establish a Multi-annual Recovery Plan for Bluefin Tuna in the Eastern Atlantic and Mediterranean* [Rec. 06-05¹];

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

1. Each flag Contracting Party, Cooperating non-Contracting Party, Entity or Fishing Entity (hereinafter referred to as "CPCs") shall implement a vessel monitoring system (VMS) for its bluefin tuna fishing vessels referred to in paragraph 49 of the *Recommendation by ICCAT to Establish a Multi-annual Recovery Plan for Bluefin Tuna in the Eastern Atlantic and Mediterranean* [Rec. 06-05]¹, in accordance with the *Recommendation by ICCAT Concerning Minimum Standards for the Establishment of a Vessel Monitoring System in the ICCAT Convention Area* [Rec. 03-14]².
2. The autonomous system referred to in paragraph 1(a) of the *Recommendation by ICCAT Concerning Minimum Standards for the Establishment of a Vessel Monitoring System in the ICCAT Convention Area* [Rec. 03-14]² shall be in conformity with the specifications and schedule set out in **Annex 1**.
3. Each CPC shall communicate electronically the messages pursuant to paragraph 1 here above to the ICCAT Secretariat. In the event of technical malfunction, the messages shall however be transmitted electronically to the ICCAT Secretariat within 24 hours of receipt.
4. Not later than 31 January 2008, the CPCs shall transmit the messages to the ICCAT Secretariat every six hours at least when operating in the ICCAT Convention area. The messages should be sequentially numbered (with a unique identifier) in order to avoid duplication.
5. Each CPC shall ensure that the messages transmitted by their corresponding Fishing Monitoring Centre (hereinafter referred to as "FMCs") to the ICCAT Secretariat shall be in accordance with the data exchange format set out in **Annex 2**.
6. CPCs engaged in inspection at sea operations in the Convention area in accordance with the ICCAT Scheme of Joint International Inspection referred to in paragraphs 56 and 57 of the *Recommendation by ICCAT to Establish a Multi-annual Recovery Plan for Bluefin Tuna in the Eastern Atlantic and Mediterranean* [Rec. 06-05¹] shall request the ICCAT Secretariat to make available the messages received under paragraph 3 for all fishing vessels within 100 n miles of the inspection vessel(s) at sea.
7. CPCs shall take the necessary measures to assure that all messages shall be treated in a confidential manner, and be limited for the inspection at sea operations referred to in paragraph 6. The ICCAT Secretariat shall ensure the confidential treatment of the messages received. Data three years old or more shall be available to the SCRS for scientific purposes, given due consideration of data confidentiality.

¹ Recommendation 06-05 was replaced by Recommendation 14-04, later by 17-07 and currently by Rec. 18-02.

² Recommendation 13-14 was replaced by Recommendation 14-09, which was replaced by Rec. 18-10.

Annex 1

1. Each CPC shall establish and operate fishing monitoring centres, hereinafter referred to as “FMC”, which shall monitor the fishing activities of vessels flying their flags. The FMC shall be equipped with computer hardware and software enabling automatic data processing and electronic data transmission. Each CPC shall provide for back-up and recovery procedures in case of system failures.
2. The CPC of the vessel shall take the necessary measures to ensure that the data received from its fishing vessels to which VMS applies are recorded in computer readable form for a period of three years.
3. The satellite tracking devices installed on board the fishing vessels shall ensure the automatic transmission to the FMC of the flag CPC, at all applicable times.
4. Each CPC shall take the necessary measures to ensure that its FMC receives the requested VMS data.

Format for the Communication of VMS messages by fishing vessels

A. Content of the position message

Data element	Field code	Mandatory /optional	Remarks
Start record	SR	M	Message detail; indicates start of record
Address	AD	M	Destination: ICCAT
Sequence No.	SQ	M ¹	Message detail; message serial number in current year
Type of message	TM ²	M	Message detail; "POS" as Position message to be communicated by VMS or other means by vessels with a defective satellite tracking device
Radio call sign	RC	M	Vessel registration detail; international radio call sign of the vessel
Trip No.	TN	O	Activity detail; fishing trip serial number in current year
Vessel name	NA	O	Vessel registration detail; name of the vessel
Contracting Party internal reference No.	IR	O	Vessel registration detail. Unique Contracting Party vessel number as flag State 3-alpha country code followed by number
External registration No.	XR	O	Vessel registration detail; the side number of the vessel or IMO number in the absence of a side number
Latitude	LA	M ³	Activity detail; position at time of transmission
Longitude	LO	M ³	Activity detail; position at time of transmission
Latitude (decimal)	LT	M ⁴	Activity detail; position at time of transmission
Longitude (decimal)	LG	M ⁴	Activity detail; position at time of transmission
Date	DA	M	Message detail; date of transmission
Time	TI	M	Message detail; time of transmission
End of record	ER	M	System detail; indicates end of the record

¹ Optional in case of a VMS message.

² Type of message shall be "ENT" for the first VMS message from the Convention area as detected by the FMC of the Contracting Party. Type of message shall be "EXI" for the first VMS message from outside the Convention area as detected by the FMC of the Contracting Party, and the values for latitude and Longitude are, in this type of message, optional.

Type of message shall be "MAN" for reports communicated by vessels with a defective satellite tracking device.

³ Mandatory for manual messages.

⁴ Mandatory for VMS messages.

B. Structure of the position message:

Each data transmission is structured as follows:

- Double slash (//) and the characters "SR" indicate the start of a message.
- A double slash (//) and field code indicate the start of a data element.
- A single slash (/) separates the field code and the data.
- Pairs of data are separated by space.
- The characters "ER" and a double slash (//) indicate the end of a record.

**RECOMMENDATION BY ICCAT TO ESTABLISH A PROCESS FOR
THE REVIEW AND REPORTING OF COMPLIANCE INFORMATION**

(Entered into force: **June 17, 2009**)

RECOGNIZING the international obligations regarding flag state responsibilities to ensure compliance with management measures and to immediately and fully investigate allegations of non-compliance,

ACKNOWLEDGING that effective monitoring and control is required to achieve compliance with agreed upon ICCAT management measures so that the goals of such management measures have a chance of being achievable,

ACKNOWLEDGING that the Commission has historically suffered from a lack of information as well as data deficiencies thus resulting in an inability to identify relevant instances of non-compliance with management measures,

NOTING that, in a responsible, open, transparent and non-discriminatory manner, the Commission should be made aware of any and all available information that may be relevant to the work of the Commission in identifying and holding accountable instances of non-compliance with management measures,

FURTHER NOTING ICCAT's Guidelines for the Dissemination of Information Submitted by Contracting Parties, Cooperating Non-Contracting Parties, Entities and Fishing Entities,

RECOGNIZING that, the Compliance Officer position is authorized and financed by the members of the Commission to assist the Secretariat specifically with the Commission's ongoing work to strengthen ICCAT; particularly in regards to overseeing, coordinating, and executing actions on compliance matters of relevance to the Commission,

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF THE ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

1. Contracting Parties, Cooperating non-Contracting Parties, Entities or Fishing Entities (CPCs) should submit to the Secretariat documented information that indicates possible non-compliance with ICCAT Conservation and Management Measures at least 120 days before the annual meeting.
2. The Executive Secretary shall transmit this information to the CPCs involved in any reports of non-compliance at least 90 days before the annual meeting.
3. CPCs shall, consistent with domestic laws, provide the Executive Secretary with the findings of any investigation taken in relation to the allegations of non-compliance and any actions taken to address compliance concerns at least 30 days before the annual meeting. If such investigation is ongoing, CPCs shall advise the Executive Secretary of the expected length of the investigation and provide periodic updates in their progress until completed.
4. The Executive Secretary shall circulate to all CPCs, at least two weeks in advance of the annual meeting a summary report of information received, including responses by CPCs, which shall be considered by the Compliance Committee and the PWG, as appropriate in a responsible, open, transparent and non-discriminatory manner.
5. Non-governmental organizations may submit reports on non-compliance with ICCAT conservation and management measures to the Secretariat at least 120 days before the annual meeting for circulation to the CPCs. Organizations submitting reports may request to present such reports to the Compliance Committee and the Permanent Working Group. In adopting the Agendas for meetings of the respective bodies CPCs shall determine if such presentations can be accommodated.

**RECOMMENDATION BY ICCAT TO HARMONIZE THE MEASUREMENT
OF LENGTH OF THE VESSELS AUTHORIZED TO FISH IN
THE AREA OF THE CONVENTION**

(Entered into force: **June 17, 2009**)

NOTING that several ICCAT recommendations and resolutions refer to the length of the vessels,

ALSO NOTING that there exist different definitions of the length of the vessels in ICCAT recommendations and resolutions,

WHEREAS it would be advisable to use identical rules for determining the length of the vessels,

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF THE ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

The length of a vessel referred in the recommendations and the resolutions adopted by ICCAT corresponds to the length overall, defined as the distance measured in a straight line between the foremost point of the bow and the aftermost point of the stern.

**RECOMMENDATION BY ICCAT AMENDING THREE RECOMMENDATIONS IN
CONFORMITY WITH THE 2009 RECOMMENDATION BY ICCAT CONCERNING THE ESTABLISHMENT
OF AN ICCAT RECORD OF VESSELS 20 METERS IN LENGTH OVERALL OR GREATER AUTHORIZED TO
OPERATE IN THE CONVENTION AREA**

(Entered into force: **June 1, 2010**)

RECOGNISING that the 2009 Recommendation by ICCAT Concerning the Establishment of an ICCAT Record of Vessels 20 Meters in Length Overall or Greater Authorized to Operate in the Convention Area [Rec. 09-08] replaces the 2002 Recommendation by ICCAT Concerning the Establishment of an ICCAT Record of Vessels Over 24 Meters Authorized to Operate in the Convention Area [Rec. 02-22¹];

NOTING three previously adopted Recommendations that make reference to Recommendation 02-22¹, in some cases adopting the conditions and procedures established in that Recommendation *mutatis mutandis*,

THE INTERNATIONAL COMMISSION FOR THE
CONSERVATION OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

1. References to the 2002 “Recommendation by ICCAT Concerning the Establishment of an ICCAT Record of Vessels Over 24 Meters Authorized to Operate in the Convention Area” [Rec. 02-22]¹ be replaced by “Recommendation by ICCAT Concerning the Establishment of an ICCAT Record of Vessels 20 Meters in Length Overall or Greater Authorized to Operate in the Convention Area” in the following provisions:
 - i) Recommendation by ICCAT Concerning the Amendment of the Forms of the ICCAT Bluefin/Bigeye/Swordfish Statistical Documents [Rec. 03-19], in the first paragraph of the preamble;
 - ii) Recommendation Amending the Recommendation by ICCAT to Establish a Multi-annual Recovery Plan for Bluefin Tuna in the Eastern Atlantic and Mediterranean [Rec. 08-05²], in paragraph 56 and 58.
 - iii) Recommendation by ICCAT Amending Ten Recommendations and Three Resolutions [Rec. 08-11³] in Paragraph 2 (iii) and Paragraph 5.
2. References to “Recommendation [02-22]” be replaced by “Recommendation [09-08¹]” in the second paragraph of the preamble of the Recommendation by ICCAT Concerning the Amendment of the Forms of the ICCAT Bluefin/Bigeye/Swordfish Statistical Documents [Rec. 03-19].

¹ Recommendation 02-22 was replaced by Recommendation 09-08, then by Rec. 11-12 and currently by Rec. 13-13 as amended by Rec. 14-10.

² Recommendation 08-05 was replaced by Recommendation 14-04, later by Rec. 17-07 and currently by Rec. 18-02.

³ Rec. 08-11 was repealed and replaced by Rec. 18-14.

**RECOMMENDATION BY ICCAT TO CLARIFY THE APPLICATION OF COMPLIANCE
RECOMMENDATIONS AND FOR DEVELOPING THE COMPLIANCE ANNEX**

(Entered into force: **June 7, 2012**)

RECOGNIZING the need to clarify the procedures regarding implementation of ICCAT's compliance recommendations that address the treatment of under/over harvest of catch limits and minimum size tolerances, including the deadline and process for the submission of compliance tables and for developing the Compliance Annex;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

1. By 15 September of each year, Contracting Parties and Cooperating Non-Contracting Parties, Entities, and Fishing Entities (CPCs) shall complete and submit the following to ICCAT using Commission-approved tables and forms provided by the Secretariat:
 - an "ICCAT Compliance Reporting Table" covering each of its applicable fisheries, and
 - a form for each stock or species, as appropriate, showing how adjusted quotas or catch limits were calculated taking into account ICCAT's rules on under and overharvests.

The Compliance Reporting Table shall cover the current reporting year and any revisions of previous years' data, which should be highlighted for ease of reference. The table format shall include, *inter alia*, current catches, balance, adjusted quotas/catch limits, and, where applicable, minimum size data. CPCs shall submit their compliance reporting table and forms for the application of underharvests/overharvests electronically in the format provided by the Secretariat.

2. Upon submission of the ICCAT Compliance Reporting Tables to the Commission, the Secretariat in consultation with the Compliance Committee Chairman shall prepare and distribute to CPCs a "Compliance Annex." The Annex will reflect: (1) all catch limits and minimum sizes/tolerances to which each CPC is subject; (2) each CPC's catch statistics submitted to the SCRS for the current reporting year, and any revisions to previous years' data; (3) any underharvests or overharvests; (4) all catch limit reductions that each Party must take pursuant to applicable rules and any catch limit increases a CPC may choose to take due to underharvest; and (5) the dates by when such reductions or increases will be taken. In the Compliance Annex, the Secretariat shall also note where compliance table submissions by CPCs indicate actions that may be inconsistent with ICCAT recommendations for consideration by the Compliance Committee.
3. At each annual meeting, the Compliance Committee shall review and adjust, as necessary, the Compliance Annex to ensure it reflects the proper application of ICCAT's compliance recommendations. In support of this review, each CPC shall report on the information presented in its ICCAT Compliance Reporting Table, including a detailed explanation of any overharvest of a catch limit and/or minimum size tolerance level, the actions already taken, or to be taken, to prevent further overharvest, and the dates by which such actions will be taken. CPCs shall also report any changes to the compliance information provided in previous years and explain, in detail, any changes to their Compliance Reporting Table made after the 15 September deadline¹. If a CPC's compliance data differs substantially from relevant statistics reported to SCRS, the Committee shall seek an explanation for the difference, where necessary and appropriate.
4. At each annual meeting, the Compliance Committee will present the results of its deliberations on the application of ICCAT's compliance recommendations, as reflected in a final Compliance Annex, for endorsement, in whole or in part, by the Commission. The Compliance Annex will be appended to the meeting report.
5. This Recommendation replaces *Recommendation by ICCAT on Application of Three Compliance Recommendations* (98-14) in its entirety.

¹ This deadline was changed to 15 August through Rec. 18-07.

**RECOMMENDATION BY ICCAT ON THE PRINCIPLES OF DECISION
MAKING FOR ICCAT CONSERVATION AND MANAGEMENT MEASURES**

(Entered into force: **June 7, 2012**)

RECALLING the Recommended Course of Actions from the first Global Summit of Tuna RFMOs in Kobe, Japan, noted that management decisions should be based upon scientific advice and consistent with the precautionary approach;

NOTING that participants of the first Global Summit of Tuna RFMOs in 2007 in Kobe, Japan agreed that stock assessment results be presented in a standardized “four quadrant, red-yellow-green” format that is now referred to as the “Kobe Plot,” which is widely embraced as a practical, user-friendly method to present stock status information;

FURTHER NOTING that, at the Second Joint Meeting of Tuna RFMOs in June 2009 in San Sebastian, Spain, a “Strategy Matrix” was adopted to provide fisheries managers with the statistical probability of meeting management targets, including ending overfishing and rebuilding overfished stocks, in a standardized manner as a result of potential management actions;

ACKNOWLEDGING that the Strategy Matrix is a harmonized format for RFMO science bodies to convey advice, and that this format for presenting stock assessment results facilitates the application of the precautionary approach by providing Commissions with the basis to evaluate and adopt management options at various levels of probability of success;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

To support the achievement of the ICCAT Convention objective, the following principles, based on the status of stocks as represented by the Kobe Plot, shall guide the development of management measures for ICCAT-managed stocks:

1. For stocks that are not overfished and not subject to overfishing (i.e., stocks in the green quadrant of the Kobe plot), management measures shall be designed to result in a high probability of maintaining the stock within this quadrant.
2. For stocks that are not overfished, but are subject to overfishing, (i.e., stocks in the upper right yellow quadrant of the Kobe plot), the Commission shall immediately adopt management measures, taking into account, *inter alia*, the biology of the stock and SCRS advice, designed to result in a high probability of ending overfishing in as short a period as possible.
3. For stocks that are overfished and subject to overfishing (i.e., stocks in the red quadrant of the Kobe plot), the Commission shall immediately adopt management measures, taking into account, *inter alia*, the biology of the stock and SCRS advice, designed to result in a high probability of ending overfishing in as short a period as possible. In addition, the Commission shall adopt a plan to rebuild these stocks taking into account, *inter alia*, the biology of the stock and SCRS advice.
4. For stocks that are overfished and not subject to overfishing (i.e. stocks in the lower left yellow quadrant of the Kobe plot), the Commission shall adopt management measures designed to rebuild these stocks in as short a period as possible, taking into account, *inter alia*, the biology of the stock and SCRS advice.

**RESOLUTION BY ICCAT TO STANDARDIZE THE PRESENTATION OF
SCIENTIFIC INFORMATION IN THE SCRS ANNUAL REPORT
AND IN WORKING GROUP DETAILED REPORTS**

(Entered into force: **December 7, 2011**)

NOTING that the presentation of scientific information in the Standing Committee for Research and Statistics (SCRS) annual report to the Commission can vary by stock;

STRESSING the importance of standardizing the presentation of scientific information to facilitate an easier appropriation and utilization by the Commission;

RECALLING recommendations of the Kobe II Workshop of Experts to Share Best Practices on the Provision of Scientific Advice and of the Kobe III recommendations, in particular on development on research activities to better quantify the uncertainty and understand how this uncertainty is reflected in the risk assessment inherent in the Kobe II strategy matrix;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS RESOLVES AS FOLLOWS:**

1. In support of the SCRS scientific advice, the Executive Summaries within the SCRS annual report which present the results of the stock assessment results should include, when possible:
 - i) A statement characterizing the robustness of methods applied to assess stock status and to develop the scientific advice. This statement should focus on modeling approaches and on assumptions.
 - ii) Three Kobe matrices, in accordance with the format set out in Annex **Table 2**:
 - a) A Kobe II strategy matrix indicating the probability of $B > B_{MSY}$ for different levels of catch across multiple years.
 - b) A Kobe II strategy matrix indicating the probability of $F < F_{MSY}$ for different levels of catch across multiple years.
 - c) A Kobe II strategy matrix indicating the probability of $B > B_{MSY}$ and $F < F_{MSY}$ for different levels of catch across multiple years.
 - d) Kobe II strategy matrices to be prepared by the SCRS should highlight in a similar format as shown in Annex **Table 2** a progression of probabilities over 50 % and in the range of 50-59 %, 60-69 %, 70-79 %, 80-89 % and ≥ 90 %.
 - e) When the Commission agrees on acceptable probability levels on a stock by stock basis and communicates them to the SCRS, the SCRS should prepare and include, in the annual report, the Kobe II strategy matrices using color coding corresponding to these thresholds.
 - iii) A statement concerning the reliability of long term projections period.
 - iv) A Kobe plot chart showing:
 - a) Management reference points expressed as $F_{CURRENT}$ on F_{MSY} (or a proxy) and as $B_{CURRENT}$ on B_{MSY} (or a proxy);
 - b) The estimated uncertainty around current stock status estimates;
 - c) The stock status trajectory.
in accordance with the format set out in Annex **Figure 1**.
 - v) A pie chart summarizing the stock status showing the proportion of model outputs that are within the green quadrant of the Kobe plot chart (not overfished, no overfishing), the yellow quadrant (overfished or overfishing), and the red quadrant (overfished and overfishing), in accordance with the format set out in Annex **Figure 2**.

- vi) An indication of the modeling approaches used by the SCRS to conduct the stock assessment shall be included in the caption and in the corresponding text accompanying the introduction of the matrices and the charts.
 - vii) Statements, where needed, reflecting the different opinions expressed regarding the SCRS scientific advice during the endorsement process.
2. The Kobe plot chart described in paragraph 1 should reflect the uncertainties on the estimates of the relative Biomass (B_{CURRENT} on B_{MSY} or its proxy) and of the relative fishing mortality (F_{CURRENT} on F_{MSY} or its proxy), provided that statistical methods to do so have been agreed upon by SCRS and that sufficient data exist to do so.
 3. The SCRS should review recommendations and templates for the Kobe II strategy matrices, plot and pie charts as laid down in this resolution and should advise the Commission on possible improvements.
 4. If the Commission adopts alternative reference points, such as limit reference points associated to the precautionary approach, the SCRS should also provide in its annual report versions of the elements described in paragraphs 1 and 2 calculated with respect to these alternative reference points and following the format specified in the same paragraphs.
 5. The SCRS should indicate in its annual report those cases where the modeling approaches used during the assessment and/or data limitation did not allow for the preparation of the elements mentioned above.
 6. The Kobe II strategy matrices are intended to reflect the scientists understanding of the uncertainties associated with their model estimates. Therefore, where models and/or data are insufficient to quantify those uncertainties, the SCRS should consider alternative means of representing them in ways that are useful to the Commission.
 7. When, due to data limitations, the SCRS is unable to develop Kobe II strategy matrices and associated charts or other estimates of current status relative to benchmarks, the SCRS should develop its scientific advice on fisheries indicators in the context of Harvest Control Rules, if previously agreed upon by the Commission.
 8. The SCRS should also include in its annual report any other tables and/or graphics that it considers useful to provide advice to the Commission.
 9. The Commission encourages the SCRS to also include in the detailed reports, where possible, the following additional elements:
 - i) A scoring table addressing data completeness and quality with the format set out in Annex **Table 1**;
 - ii) Information on the by-catches of the different fleet segments and fisheries, as well as other ecosystems considerations.

Possible Templates for Kobe II Strategy Matrices, Plot and Pie Charts

Table 1. Possible format for reporting scores on data completeness and quality as included in the 2011 SRCS Annual Report.

[illegible]

Table 2. Format of a Kobe II strategy matrix indicating the probability of $B > B_{MSY}$, or $F < F_{MSY}$ or $B > B_{MSY}$ and $F < F_{MSY}$ for different levels of catch limits and years.

	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021
0	25%	51%	70%	78%	84%	87%	89%	91%	92%	93%
250	24%	48%	66%	76%	81%	85%	87%	89%	90%	92%
500	24%	45%	63%	73%	78%	82%	85%	87%	89%	90%
750	24%	43%	59%	69%	75%	79%	82%	84%	86%	87%
1000	24%	40%	54%	65%	71%	75%	78%	81%	82%	84%
1250	24%	37%	49%	59%	66%	70%	73%	76%	78%	80%
1500	23%	35%	45%	53%	59%	64%	67%	70%	72%	74%
1750	23%	32%	40%	46%	51%	55%	58%	61%	64%	65%
2000	23%	29%	35%	39%	43%	45%	47%	49%	51%	53%
2250	22%	26%	29%	31%	33%	34%	36%	36%	37%	38%
2500	20%	21%	22%	22%	22%	21%	21%	21%	21%	21%

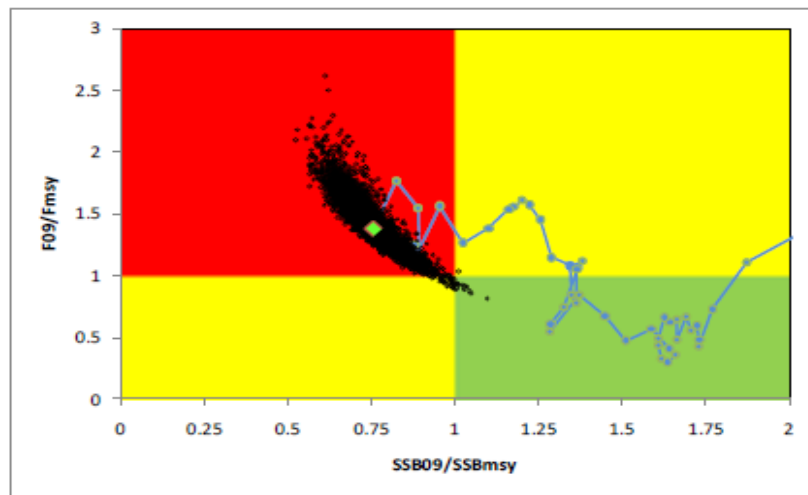


Figure 1. Example of a Kobe plot chart showing the stock status trajectory (intervals around relative biomass and relative fishing mortality will be included when available).

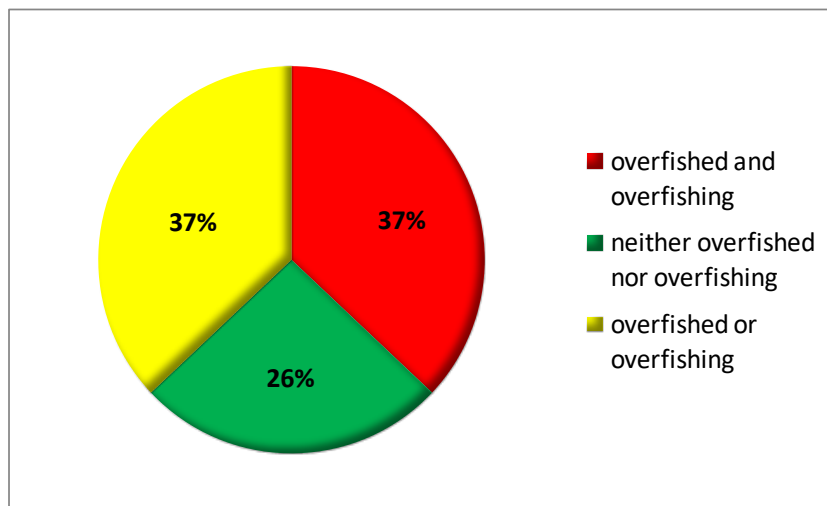


Figure 2. Example of pie chart summarizing the stock status showing the proportion of model outputs that are within each quadrant of the Kobe plot chart.

**RECOMMENDATION BY ICCAT ON PENALTIES APPLICABLE
IN CASE OF NON FULFILMENT OF REPORTING OBLIGATIONS**

(Entered into force: **June 7, 2012**)

GIVEN that following Article IX of the Convention, Contracting Parties agree to supply, on the request of the Commission, any available statistical, biological and other scientific information that the Commission may need for the purposes of this Convention and that all Task I and II data should be submitted annually to the Secretariat by July the year following the fishing activities;

RECALLING the *Resolution by ICCAT on the Deadlines and Procedures for Data Submission* [Res. 01-16] and the *Recommendation by ICCAT on Compliance with Statistical Reporting Obligations* [Rec. 05-09];

FURTHER RECALLING that the ICCAT *Criteria for the Allocation of Fishing Possibilities* (Ref. 01-25¹) clearly links fisheries access with the obligation to provide accurate data on fishing effort and catch;

TAKING INTO ACCOUNT the *Recommendation by ICCAT on Atlantic Shortfin Mako Sharks Caught in Association with ICCAT Fisheries* [Rec. 10-06], which provides that “CPCs that do not report Task I data for Atlantic shortfin mako sharks, in accordance with SCRS data reporting requirements, shall be prohibited from retaining this species, beginning in 2013 until such data have been received by the ICCAT Secretariat”;

NOTING that incomplete reporting or no data reporting also concerns species other than shortfin mako and that, despite the adoption of numerous measures intended to address the matter, lack of compliance with reporting obligations still is a problem for the Scientific Committee and for the Commission;

FURTHER NOTING that, in order that all ICCAT fisheries are managed in line with the precautionary approach, it is necessary to take measures aimed at eliminating or reducing non-reporting and misreporting;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION OF
ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

1. CPCs shall include information in their Annual Reports on actions taken to implement their reporting obligations for all ICCAT fisheries, including shark species caught in association with ICCAT fisheries, in particular the steps taken to improve their Task I and Task II data collection for direct and incidental catches;
2. Actions taken by CPCs, as described in paragraph 1, shall be reviewed annually by ICCAT’s Compliance Committee, beginning in 2013;
3. CPCs that do not report Task I data, including zero catches, for one or more species for a given year, in accordance with SCRS data reporting requirements, shall be prohibited from retaining such species as of the year following the lack or incomplete reporting until such data have been received by the ICCAT Secretariat.

¹ Adopted as Res. 15-13.

RESOLUTION BY ICCAT ON BEST AVAILABLE SCIENCE

(Transmitted to Contracting Parties: **December 7, 2011**)

RECOGNIZING the importance of sound scientific advice as the centerpiece for the conservation and management of tuna and tuna-like species in the Atlantic and the Mediterranean in line with international law and recommendations and Article VIII of the ICCAT Convention,

AWARE that the availability of adequate scientific information is fundamental to carrying out the objectives of the Convention laid down in Article IV of the Convention,

EMPHASIZING the importance of the effective participation of CPCs in the work of the Standing Committee on Research and Statistics (SCRS) and its working groups,

ACKNOWLEDGING the need to strengthen the data availability and quality for scientific advice, including on by-catch and discards,

NOTING that external expert participation may advance the quality assurance of the scientific work of the SCRS,

RECOGNIZING the need for broadening and streamlining the scope of financial support for capacity building for the purpose of this resolution,

BUILDING on the recommendations of the SCRS and of the Kobe process,

NOTING the importance of regular assessments of the performance of regional fisheries management organizations, including the functioning of their scientific committees,

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION OF ATLANTIC TUNAS (ICCAT) RESOLVES THAT:

CPCs undertake to:

1. Take all measures which would be appropriate

- i) To improve the communication between CPCs, the Commission and the SCRS by enabling a constant and regular dialogue;
- ii) To improve the implementation of data collection and provision to the SCRS, including on by-catches,
- iii) To support research programs and projects supporting the work of the SCRS;
- iv) To facilitate participation in working groups and SCRS meetings of scientists from all CPCs, as well as other relevant scientific bodies;
- v) To contribute to the training of scientific researchers, including young scientists;

2. Preserve and promote the independence and excellence of the SCRS and its working groups by:

- i) Enhancing the participation of scientists to meetings of the SCRS and its Working Groups, including scientists involved in other tunas' RFMOs and other relevant scientific bodies;
- ii) Adopting, publishing and implementing SCRS rules, including a code of conduct for scientists and for observers. For this purpose, SCRS will develop such rules to avoid conflict of interests and ensure the independence of the scientific process and, where applicable, maintain the confidentiality of the data used;
- iii) Ensuring that independent and objective scientific input, based on the best available and peer-reviewed scientific deliverables, is presented by the SCRS to the Commission;

- iv) Ensuring that sources and history of revisions of all documents submitted to and assessed by the SCRS and its working groups are fully documented;
 - v) Providing clear, transparent, and standardized scientific findings and advice to the Commission;
 - vi) Providing for well-defined rules for efficient decision-making to arrive at scientific advice to be endorsed, released and published by the SCRS;
 - vii) Reflecting different opinions in the scientific reports and during the endorsement process of SCRS' scientific advice to foster transparency of the scientific advisory process.
3. Strengthen peer review mechanisms within the SCRS by participation of outside experts (e.g., from other RFMOs or from academia) in the SCRS activities, particularly for stock assessments.
 4. Continue to support the SCRS' initiatives to publish its scientific findings in the scientific peer-reviewed literature.
 5. With the aim of meeting the above-mentioned objectives, consider broadening financial support and mechanisms, including *inter alia*, contributing to the "Meeting Participation Fund for Developing ICCAT Contracting Parties", for the purpose of the implementation of this Resolution, in particular to:
 - i) Contribute to the scientific capacity building of the developing CPCs and to enhance their effective participation in the work of the SCRS and its working groups;
 - ii) Provide necessary resources for the SCRS and its working groups.
 6. The next independent performance review of ICCAT should include an assessment of the functioning of the SCRS and its working groups through a total quality management process, including an evaluation of the potential role of external reviews.

**RECOMMENDATION BY ICCAT ON THE RULES OF PROCEDURE
FOR THE STANDING COMMITTEE ON RESEARCH AND STATISTICS (SCRS)**

(Entered into force: **June 10, 2014**)

RECALLING that Resolution 11-17 urges CPCs to adopt SCRS rules, including a code of conduct for scientists and observers;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

1. Pursuant to paragraph 2(ii) of Resolution 11-17, SCRS shall develop rules of procedure, including a code of conduct for scientist and observers, in the framework of its Strategic Plan, and submit this to the 2015 Commission annual meeting for endorsement.
2. Until the Commission endorses such rules of procedure for SCRS, the rules of procedure of the Commission shall be applied, *mutatis mutandis*, to the operation of SCRS.

**RECOMMENDATION BY ICCAT CONCERNING THE ESTABLISHMENT OF
AN ICCAT RECORD OF VESSELS 20 METRES IN LENGTH OVERALL OR GREATER
AUTHORIZED TO OPERATE IN THE CONVENTION AREA**

(Entered into force: **June 10, 2014**)

RECALLING that ICCAT adopted at its 2000 meeting a *Recommendation by ICCAT Concerning Registration and Exchange of Information of Fishing Vessels Fishing for Tuna and Tuna-like Species in the Convention Area* [Rec. 00-17],

FURTHER RECALLING that ICCAT adopted at its 1994 meeting a *Resolution by ICCAT Regarding the Agreement to Promote Compliance with International Conservation and Management Measures by Fishing Vessels on the High Seas* [Res. 94-08],

FURTHER RECALLING that the Commission has been taking various measures to prevent, deter and eliminate the illegal, unreported and unregulated (IUU) fisheries conducted by large-scale tuna fishing vessels,

NOTING that large-scale fishing vessels are highly mobile and easily change fishing grounds from one ocean to another, and have high potential of operating in the Convention area without timely registration with the Commission,

RECALLING that the FAO Council adopted on June 23, 2001 an International Plan of Action (IPOA) aiming to prevent, to deter and to eliminate illegal, unreported and unregulated fishing, that this plan stipulates that the regional fisheries management organization should take action to strengthen and develop innovative ways, in conformity with international law, to prevent, deter and eliminate IUU fishing and in particular to establish records of vessels authorized and records of vessels engaged in IUU fishing,

FURTHER RECALLING that the Commission, in 2002, established an ICCAT Record of Vessels 24 meters in length overall or greater and then, in 2009, expanded the list to include all vessels 20 meters in length overall or greater,

FURTHER NOTING that the International Maritime Organization's Maritime Safety Committee, at its 92nd meeting, approved amendments to the IMO Ship Identification Number Scheme that remove the exclusion of vessels solely engaged in fishing; which will be considered for final adoption by IMO Assembly at its 28th meeting in November 2013,

RECOGNIZING the utility and practicality of using IMO numbers as a unique vessel identifier (UVI) for fishing vessels,

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF THE ATLANTIC TUNA (ICCAT) RECOMMENDS THAT:**

1. The Commission shall establish and maintain an ICCAT record of fishing vessels 20 meters in length overall or greater (hereinafter referred to as "large scale fishing vessels" or "LSFVs") authorized to fish for tuna and tuna-like species in the Convention Area. For the purpose of this recommendation, LSFVs not entered into the record are deemed not to be authorized to fish for, retain on board, transship or land tuna and tuna-like species.
2. Each CPC shall submit to the ICCAT Executive Secretary, the list of its LSFVs that are authorized to operate in the Convention area. The initial list and any subsequent changes shall be submitted electronically in a format provided by the Secretariat. This list shall include the following information:
 - Name of vessel, register number
 - IMO or LR number (if assigned)
 - Previous name (if any)
 - Previous flag (if any)
 - Previous details of deletion from other registries (if any)
 - International radio call sign (if any)

- Type of vessels, length, and gross registered tonnage (GRT), or, where possible, Gross Tonnage (GT)
- Name and address of owner(s) and operator(s)
- Gear used
- Time period authorized for fishing and/or transshipping. However, in no case shall the authorization period include dates more than 30 days¹ prior to the date of submission of the list to the Secretariat.

The ICCAT record shall consist of all LSFVs submitted under this paragraph.

3. Each CPC shall promptly notify the ICCAT Executive Secretary of any addition to, any deletion from and/or any modification of the ICCAT record at any time such changes occur. Periods of authorization for modifications or additions to the list shall not include dates more than 30 days¹ prior to the date of submission of the changes to the Secretariat. The Secretariat shall remove from the ICCAT Record of Vessels any vessel for which the period of authorization has expired.
4. The ICCAT Executive Secretary shall maintain the ICCAT record, and take any measure to ensure publicity of the record and make the record available through electronic means, including placing it on the ICCAT website, in a manner consistent with confidentiality requirements noted by CPCs.
5. The flag CPCs of the vessels on the record shall:
 - a) Authorize their LSFVs to operate in the Convention area only if they are able to fulfill in respect of these vessels the requirements and responsibilities under the Convention and its conservation and management measures;
 - b) Take necessary measures to ensure that their LSFVs comply with all the relevant ICCAT conservation and management measures;
 - c) Take necessary measures to ensure that their LSFVs on the ICCAT record keep on board valid certificates of vessel registration and valid authorization to fish and/or transship;
 - d) Ensure that their LSFVs on the ICCAT record have no history of IUU fishing activities or that, if those vessels have such history, the new owners have provided sufficient evidence demonstrating that the previous owners and operators have no legal, beneficial or financial interest in, or control over those vessels, or that having taken into account all relevant facts, their LSFVs are not engaged in or associated with IUU fishing;
 - e) Ensure, to the extent possible under domestic law, that the owners and operators of their LSFVs on the ICCAT record are not engaged in or associated with tuna fishing activities conducted by LSFVs not entered into the ICCAT record in the Convention area; and
 - f) Take necessary measures to ensure, to the extent possible under domestic law, that the owners of the LSFVs on the ICCAT record are citizens or legal entities within the flag CPCs so that any control or punitive actions can be effectively taken against them.

5bis. Effective January 1, 2016, flag CPCs shall authorize their commercial LSFVs to operate in the Convention area only if the vessel has an IMO number or a number in the seven-digit numbering sequence allocated by IHS-Fairplay (LR number), as applicable. Vessels without such a number shall not be included in the ICCAT record.

5tris. Paragraph 5bis shall not apply to:

- a) LSFVs unable to obtain an IMO/LR number, provided that the flag CPC provides an explanation of its inability to obtain an IMO/LR number in its submission of information pursuant to paragraph 2.

¹ This period was extended to 45 days through Recommendation 14-10.

- b) Wooden LSFVs that are not authorized to fish on the high seas, provided that the flag CPC notifies the Secretariat of the LSFVs for which it is exercising this exemption in its submission of information pursuant to paragraph 2.
6. CPCs shall review their own internal actions and measures taken pursuant to paragraph 5, including punitive and sanction actions and in a manner consistent with domestic law as regards disclosure, report any relevant results of the review to the Commission at its annual meeting. In consideration of any CPC reports on the relevant results of such reviews, the Commission shall, if appropriate, request the flag CPCs of LSFVs on the ICCAT record to take further action to enhance compliance by those vessels to ICCAT conservation and management measures.
 7.
 - a) CPCs shall take measures, under their applicable legislation, to prohibit the fishing for, the retaining on board, the transshipment and landing of tuna and tuna-like species by the LSFVs which are not entered into the ICCAT record.
 - b) To ensure the effectiveness of the ICCAT conservation and management measures pertaining to species covered by Statistical Document Programs:
 - i) Flag CPCs or, if the vessel is under a charter arrangement, the exporting CPC shall validate statistical documents only for the LSFVs on the ICCAT record,
 - ii) CPCs shall require that the species covered by Statistical Document Programs caught by LSFVs in the Convention area, when imported into the territory of a Contracting Party be accompanied by statistical documents validated for the vessels on the ICCAT record and,
 - iii) CPCs importing species covered by Statistical Document Programs and the flag States of vessels shall cooperate to ensure that statistical documents are not forged or do not contain misinformation.
 8. Each CPC shall notify the ICCAT Executive Secretary of any factual information showing that there are reasonable grounds for suspecting LSFVs not on the ICCAT record to be engaged in fishing for and/or transshipment of tuna and tuna-like species in the Convention area.
 9.
 - a) If a vessel mentioned in paragraph 8 is flying the flag of a CPC, the Executive Secretary shall request that CPC to take measures necessary to prevent the vessel from fishing for tuna and tuna-like species in the Convention area.
 - b) If the flag of a vessel mentioned in paragraph 8 cannot be determined or is of a non-Contracting Party without cooperating status, the Executive Secretary shall compile such information for future consideration by the Commission.
 10. The Commission and the CPCs concerned shall communicate with each other, and make the best effort with FAO and other relevant regional fishery management bodies to develop and implement appropriate measures, where feasible, including the establishment of records of a similar nature in a timely manner so as to avoid adverse effects upon tuna resources in other oceans. Such adverse effects might consist of excessive fishing pressure resulting from a shift of the IUU LSFVs from the Atlantic to other oceans.
 - 10bis. At the 2014 meeting of the Working Group on Integrated Monitoring Measures and at the 2014 Annual Meeting, the Commission shall review relevant developments on vessel numbering at the IMO, FAO, and other international fora and consider revisions, as necessary, to this Recommendation for adoption prior to the January 1, 2016 effective date of paragraph 5bis.
 11. *The Recommendation by ICCAT Concerning the Establishment of an ICCAT Record of Vessels 20 Meters in Length Overall or Greater Authorized to Operate in the Convention Area [Rec. 11-12]* is replaced in its entirety by this recommendation.

RECOMMENDATION BY ICCAT ON VESSEL CHARTERING

(Entered into force: **June 10, 2014**)

RECOGNIZING that, under the ICCAT Convention, Contracting Parties shall cooperate in maintaining the populations of tuna and tuna-like fish at levels that will permit the maximum sustainable catch;

RECALLING that, according to Article 92 of the United Nations Convention on the Law of the Sea, of 10 December 1982, ships shall sail under the flag of one State only and shall be subject to its exclusive jurisdiction on the high seas except as otherwise provided in relevant international instruments,

ACKNOWLEDGING the needs and interests of all States to develop their fishing fleets so as to enable them to fully utilize the fishing opportunities available to them under relevant ICCAT recommendations;

MINDFUL that the practice of charter arrangements, whereby fishing vessels do not change their flag, might seriously undermine the effectiveness of conservation and management measures established by ICCAT unless properly regulated;

REALIZING that there is a need for ICCAT to regulate charter arrangements with due regard to all relevant factors;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

The chartering of fishing vessels, other than bareboat chartering, shall observe the following provisions:

1. Charter arrangements may be allowed, predominantly as an initial step in the fishery development of the chartering nation. The period of the chartering arrangement shall be consistent with the development schedule of the chartering nation.
2. Chartering nations shall be Contracting Parties to the ICCAT Convention.
3. Fishing vessels to be chartered shall be registered to responsible Contracting Parties, Cooperating non- Contracting Parties, Entities or Fishing Entities or by other responsible non-Contracting Parties, Entities or Fishing Entities, which explicitly agree to apply ICCAT conservation and management measures and enforce them on their vessels. All flag Contracting Parties or Cooperating non-Contracting Parties, Entities or Fishing Entities concerned shall effectively exercise their duty to control their fishing vessels to ensure compliance with ICCAT conservation and management measures.
4. Both the chartering Contracting Party and the flag Contracting Parties or Cooperating non-Contracting Parties, Entities or Fishing Entities shall ensure compliance by chartered vessels with relevant conservation and management measures established by ICCAT, in accordance with their rights, obligations and jurisdiction under international law.
5. Catches taken pursuant to the chartering arrangement of vessels that operate under these provisions shall be counted against the quota or fishing possibilities of the chartering Contracting Party.
6. The chartering Contracting Party shall report to ICCAT catches and other information required by SCRS.
7. Vessel Monitoring Systems (VMS) and, as appropriate, tools for differentiation of fishing areas, such as fish tags or marks, shall be used, according to the relevant ICCAT measures, for effective fishery management.

8. There shall be observer coverage of at least 10% of fishing effort, as measured in the manner specified in paragraph 1 of recommendation 10-10¹, for chartered vessels. All other provisions of recommendation 10-10 apply *mutatis mutandis* in the case of chartered vessels.
9. The chartered vessels shall have a fishing license issued by the chartering nation, and shall not be on the ICCAT IUU list as established by the *Recommendation by ICCAT Further Amending Recommendation 09-10 Establishing a List of Vessels Presumed to Have Carried out Illegal, Unreported, and Unregulated Fishing Activities in the ICCAT Convention Area* [Rec.11-18].
10. When operating under charter arrangements, the chartered vessels shall not, to the extent possible, be authorized to use the quota or entitlement of the flag Contracting Parties or Cooperating non-Contracting Parties, Entities or Fishing Entities. In no case, shall the vessel be authorized to fish under more than one chartering arrangement at the same time.
11. Unless specifically provided in the chartering arrangement, and consistent with relevant domestic law and regulation, the catches of the chartered vessels shall be unloaded exclusively in the Ports of the chartering Contracting Party or under its direct supervision in order to assure that the activities of the chartered vessels do not undermine ICCAT conservation and management measures. The chartering company must be legally established in the chartering Contracting Party.
12. Any transshipment at sea shall be consistent with the 2012 *Recommendation by ICCAT on a Programme for Transshipment* [Rec. 12-06²]. Any transshipment at sea shall also be previously and duly authorized by the chartering nation and shall occur only under the supervision of an observer on board.
13. a) At the time the chartering arrangement is made, the chartering Contracting Party shall provide the following information to the Executive Secretary:
 - i. the name (in both native and Latin alphabets) and registration of the chartered vessel;
 - ii. the name and address of the owner(s) of the vessel;
 - iii. the description of the vessel, including the length, type of vessel and the type of fishing method(s);
 - iv. species of fish covered by the charter and quota allocated to the chartering Party;
 - v. the duration of the chartering arrangement;
 - vi. the consent of the flag Contracting Party or Cooperating non-Contracting Party, Entity or Fishing Entity; and
 - vii. the measures adopted to implement these provisions.
- b) At the time the chartering arrangement is made, the flag Contracting Party or Cooperating non-Contracting Party, Entity or Fishing Entity shall provide the following information to the Executive Secretary:
 - i. its consent to the chartering arrangement; and
 - ii. the measures adopted to implement these provisions.
 - iii. its agreement to comply with ICCAT conservation and management measures.
- c) Both the chartering Contracting Party and the flag Contracting Party or Cooperating non-Contracting Party, Entity or Fishing Entity shall inform the Executive Secretary of the termination of the charter;
- d) The Executive Secretary of ICCAT shall circulate all the information without delay to all Contracting Parties and Cooperating non-Contracting Parties, Entities or Fishing Entities.
14. The chartering Contracting Party shall report to the Executive Secretary of ICCAT by July 31 each year, and for the previous calendar year, the particulars of charter arrangements made and carried out under this recommendation, including information of catches taken and fishing effort deployed by the chartered vessels as well as the level of observer coverage achieved on the chartered vessels, in a manner consistent with confidentiality requirements.

¹ Rec. 10-10 was repealed and replaced by Rec. 16-14.

² Rec. 12-06 was repealed and replaced by Rec. 16-15.

15. Each year the Executive Secretary of ICCAT shall present a summary of all the chartering arrangements to the Commission which, at its annual meeting, shall review compliance with this recommendation.
16. Recommendation [02-21] is repealed and replaced by the present Recommendation.

**RESOLUTION BY ICCAT TO COMPLETE THE STANDARDIZATION
OF THE PRESENTATION OF SCIENTIFIC INFORMATION IN THE SCRS ANNUAL REPORT**

(Transmitted to Contracting Parties: **December 10, 2013**)

RECOGNIZING that, in response to ICCAT Resolution 11-14, the presentation of scientific information in the Standing Committee for Research and Statistics (SCRS) annual report and inter-sessional meeting reports have significantly improved.

NOTING, however, that the standardization of information included in the SCRS reports with respect to the quality and reliability of input data and projections of stock status can be further enhanced;

RECALLING the recommendation of the Kobe II Workshop of Experts to Share Best Practices on the Provision of Scientific Advice that the Executive Summaries of scientific reports should be standardized to the extent possible;

RECALLING that the Kobe III Workshop of Experts on Science recognized that substantial uncertainties still remain in the assessments and recommended that the Scientific Committees and Bodies of the t-RFMOs develop research activities to better quantify the whole uncertainty and understand how uncertainty is reflected in the risk assessment inherent in the Kobe II Strategy Matrix;

CONSIDERING the utility of distinguishing, where possible, between the inherent variability in natural system (*i.e.* life history parameters) which is unavoidable, and the uncertainty related to the quality of the state of knowledge of the system and of the fishery data, which could potentially be reduced through improvements to the available data and/or the models applied;

FURTHER NOTING that the SCRS, as part of its 2015-2020 Strategic Plan for Science, will develop specific formats to provide scientific advice in line with the needs of the Commission.

FINALLY STRESSING that the best way to tackle uncertainties related to fisheries data consists for CPCs in complying with their fundamental obligations of reporting basic catch and effort statistics, including reliable Task I and Task II data, in a due time to ensure their availability to the SCRS.

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS RESOLVES AS FOLLOWS:**

- 1) The SCRS should clearly identify sources of variability and uncertainty and clearly explain how this variability and uncertainty affect the stock assessment results and the interpretation of the Kobe II Strategy Matrices.
- 2) The SCRS should further standardize the presentation of information included in its reports.
- 3) Therefore, in addition to the minimum elements required by Resolution 11-14, the SCRS may further score the quality of the fisheries data and related to the knowledge of the species (e.g. biological parameters, fishery distribution patterns historical data, selectivity) used as inputs to stock assessments. Qualitative scores on input data and assumptions may be detailed and should summarize the state of knowledge of the different inputs and report on:
 - a) the quality, the reliability and, where relevant, the representativeness of input data and information, such as, but not limited to, (i) fisheries statistics and fisheries indicators (e.g. catch and effort, catch-at-size and catch-at-age matrices by sex and, when applicable, fisheries dependent indices of abundance), (ii) biological information (e.g. growth parameters, natural mortality, maturity and fecundity, migrations patterns and stock structure, fisheries independent indices of abundance) and (iii) complementary information (*i.e.* consistencies among available abundance indices, influence of the environmental factors on the dynamic of the stock, changes in fishing effort distribution, selectivity and fishing power, changes in target species),

- b) limitations of the assessment models used with respect to the type and the quality of the input data,
 - c) potential biases in the assessment results associated with uncertainties of the input data.
- 4) For the purpose of paragraphs 2 and 3, the SCRS may consider a specific table or any other alternate format to be included in its annual report in association to the Kobe plot in order to summarize the information required in this resolution.
- 5) In cases where the SCRS utilizes different modeling approaches and/or scenarios (*i.e.*, sensitivity runs or alternative hypotheses) to characterize uncertainty in stock assessments, the SCRS should clearly identify what it considers as the most defensible or the most likely scenario (*i.e.*, 'base case') and provide the rationale for its decision. In cases where these different approaches and/or scenarios would finally be considered as equally plausible, this model or structural uncertainty should be accounted for in the calculation of the stock assessment parameters.

RECOMMENDATION BY ICCAT ON ACCESS AGREEMENTS

(Entered into force 3 June 2015)

MINDFUL of the data reporting requirements for all CPCs and the importance of complete statistical reporting to the work of SCRS and the Commission;

MINDFUL of the need to ensure transparency among CPCs in respect of conditions for accessing the waters of coastal States, in particular to facilitate joint efforts to combat illegal, unreported, and unregulated fishing;

RECALLING the *Recommendation by ICCAT on Vessel Chartering* [Rec. 02-21] that establishes reporting and other requirements for chartering arrangements;

RECALLING the *Recommendation by ICCAT Concerning the Duties of Contracting Parties and Cooperating non-Contracting Parties, Entities or Fishing Entities in Relation to their Vessels in the ICCAT Convention Area* [Rec. 03-12], which requires CPCs to ensure that their vessels do not conduct unauthorized fishing within areas under the national jurisdiction of other States, through appropriate cooperation with coastal States concerned, and other relevant means available to the flag CPC;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

1. Contracting Parties and Cooperating non-Contracting Parties, Entities, and Fishing Entities (CPCs) that allow foreign-flagged vessels to fish in waters under their jurisdiction for species managed by ICCAT, and CPCs whose vessels fish in waters under the jurisdiction of another CPC or non-Contracting party (NCP) for species managed by ICCAT pursuant to an agreement, shall, individually or jointly, notify the Commission prior to beginning fishing activities of the existence of such agreements and provide to the Commission information concerning these agreements, including:
 - The CPCs, NCPs, or other entities involved in the agreement;
 - The time period or periods covered by the agreement;
 - The number of vessels and gear types authorized;
 - The stock or species authorized for harvest, including any applicable catch limits;
 - The CPC's quota or catch limit to which the catch will be applied;
 - Monitoring, control, and surveillance measures required by the flag CPC and coastal State involved with, for the coastal State, a particular specification of:
 - i) the National authority (contact coordinates) responsible for issuing fishing licenses or permits,
 - ii) the National authority (contact coordinates) responsible for MCS activities.
 - Data reporting obligations stipulated in the agreement, including those between the parties involved, as well as those regarding information that must be provided to the Commission;
 - A copy of the written agreement.
2. For agreements in existence prior to the entry into force of this recommendation, the information specified in paragraph 1 shall be provided in advance of the 2015 Commission meeting.
3. When an access agreement is modified in a manner that changes any of the information specified in paragraph 1, these changes shall be promptly notified to the Commission.
4. Consistent with ICCAT data reporting requirements, flag CPCs involved in the agreements specified in paragraph 1 shall ensure that all target and incidental catches made pursuant to these agreements are reported to the SCRS.

5. Flag CPCs and coastal CPCs involved in the agreements specified in paragraph 1 shall provide a summary of the activities carried out pursuant to each agreement, including all catches made pursuant to these agreements, in their annual report to the Commission.
6. In cases where coastal CPCs allow foreign-flagged vessels to fish in waters under their jurisdiction for species managed by ICCAT through a mechanism other than a CPC-to-CPC or CPC-to-NCP agreement, the coastal CPC shall be solely responsible for providing the information required by this Recommendation. Flag CPCs with vessels involved in such an agreement, however, shall endeavour to provide to the Commission relevant information regarding that agreement as indicated in paragraph 1.
7. The Secretariat shall develop a form for reporting the information specified in this Recommendation and annually compile CPC submissions into a report to be presented to the Commission for consideration at its Annual meeting.
8. This recommendation does not apply to chartering arrangements covered by the *Recommendation by ICCAT on Vessel Chartering* [Rec. 02-21]¹
9. All information provided pursuant to this Recommendation shall be consistent with domestic confidentiality requirements.
10. The *Recommendation by ICCAT on Access Agreements* [Rec. 11-16] is replaced by this Recommendation.

¹ Recommendation 02-21 was replaced by Recommendation 13-14.

**RECOMMENDATION BY ICCAT TO SUPPORT EFFECTIVE IMPLEMENTATION
OF RECOMMENDATION 12-07 BY ICCAT FOR AN ICCAT SCHEME FOR
MINIMUM STANDARDS FOR INSPECTION IN PORT**

(Entered into force 3 June 2015)

RECALLING the 2009 Agreement on Port State Measures to Combat Illegal, Unreported, and Unregulated (IUU) fishing;

FURTHER RECALLING Recommendation by the International Commission for the Conservation of Atlantic Tuna (ICCAT) for an ICCAT Scheme for Minimum Standards for Inspection in Port (12-07);

HIGHLIGHTING, in particular, that Recommendation 12-07 requires Contracting Parties and Cooperating Non-Contracting Parties, Entities, and Fishing Entities (CPCs), either directly or through the ICCAT Secretariat, to provide assistance to developing CPCs in order to, among other things, (1) develop their capacity to support and strengthen the development and implementation of an effective system of port inspection; (2) facilitate their participation in meetings and/or training programs of relevant organizations that promote the effective development and implementation of such a system, and (3) assess the special requirements of developing CPCs concerning the implementation of Recommendation 12-07;

RECOGNIZING that the Commission, through Resolution 03-21 and Recommendations 11-26 and 13-19, has established several funds to facilitate attendance at meetings of the Commission and its subsidiary bodies, enhance the scientific capacity of developing state scientists, and improve data collection and quality assurance;

ALSO RECOGNIZING that a fund has been established under Part VII of the Agreement for the Implementation of the Provisions of the United Nations Convention of the Law of the Seas of December 1982 relating to the Conservation and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks (UNFSA) to provide assistance to developing States Parties to the Agreement for a number of purposes, including to build capacity for activities in key areas such as monitoring, control and surveillance;

NOTING that several Contracting Parties, on their own initiative, have been carrying out capacity building activities to assist developing coastal States in improving their management of ICCAT fisheries, including tools and approaches for collecting and assessing data, conducting monitoring, control, and surveillance activities, and enhancing domestic legal frameworks;

DESIRING to take further concrete steps in ICCAT to support the implementation of CPC capacity building responsibilities with regard to Recommendation 12-07 to ensure the program is as effective as possible in promoting compliance with ICCAT conservation and management measures;

THE INTERNATIONAL COMMISSION FOR THE
CONSERVATION OF ATLANTIC TUNA (ICCAT) RECOMMENDS THAT:

1. A special Monitoring, Control, and Surveillance Fund (MCSF) be established to support and strengthen the development and implementation of effective systems of port inspection by developing CPCs in order to meet or exceed the minimum standards set out in *Recommendation by ICCAT for an ICCAT Scheme for Minimum Standards for Inspection in Port (12-07)*.
2. Funds from the MCSF shall be used to provide technical assistance to port inspectors and other relevant enforcement personnel from developing CPCs. Such technical assistance can include, among other things, conducting or arranging for in country training activities and supporting the participation of relevant developing CPC personnel in training programs or exchanges offered by other CPCs or organizations that promote the effective development and implementation of port inspection systems, including monitoring, control and surveillance, enforcement and legal proceedings for infractions, and the resolution of disputes pursuant to Recommendation 12-07.

3. Notwithstanding paragraph 2, for participation in meetings of the Commission or its subsidiary bodies where port inspection issues may be discussed, developing CPCs should seek funding support through the Meeting Participation Fund established per ICCAT Recommendation 11-26. Further, all eligible applicants for support through the MCSF should explore alternative avenues of funding available to developing CPCs, such as the UNSFA Part VII fund, prior to applying to the MCSF. The Secretariat will advise eligible applicants whether alternate ICCAT funding sources may be appropriate to support that CPC's particular capacity building needs.
4. The MCSF shall be financed, at least initially, by ICCAT's Working Capital Fund. The amount of Working Capital funds allocated to the MCSF shall be decided by the Commission. CPCs are encouraged to supplement the MCSF through voluntary contributions. The fund may also be supplemented from other sources as the Commission may identify. The Commission will identify a procedure for supplying funds to the MCSF in the future as needed.
5. The initial allocation to the MCSF will be determined based on an assessment of developing CPC needs. In that regard, developing CPCs interested in seeking assistance from the MCSF should provide a report to the Commission on their progress in implementing Recommendation 12-07 and identify specific areas where training or other assistance is needed.
6. The ICCAT Secretariat will administer the MCSF in accordance with the same financial controls as apply to regular budget appropriations.
7. The ICCAT Executive Secretary shall:
 - a) establish a process for notifying CPCs annually of the level of available funds in the MCSF;
 - b) develop a timeline and describe the format for the submission of applications for assistance, circulate this information to the Commission for intersessional review and approval, and, once agreed, post it on the public portion of the ICCAT website.
 - c) develop and circulate to the Commission for intersessional review and approval, a process and procedures for evaluating requests for assistance from the MCSF to determine the level and type of assistance to provide taking into account available resources, Commission priorities, and the need to ensure fair and balanced access to the fund;
 - d) notify the Commission and the requesting developing CPC of the details of the assistance to be provided without delay; and
 - e) submit an annual report to the Commission on the status of the MCSF, including a financial statement of contributions to and disbursements from the fund and a summary of all assistance provided.
8. CPCs with the ability to provide relevant technical assistance to developing CPCs are strongly encouraged to explore bilateral or other arrangements to provide such assistance. CPCs are also encouraged to consider ways they may be able to support any ICCAT-sponsored initiatives, such as by providing relevant experts to conduct trainings.
9. The Commission shall coordinate, where feasible and appropriate, its port inspection capacity building activities with such activities of other RFMOs, the FAO, and other relevant entities.
10. This recommendation will be evaluated and reviewed at the latest in 2017.

**RECOMMENDATION BY ICCAT TO HARMONIZE AND GUIDE
THE IMPLEMENTATION OF ICCAT VESSEL LISTING REQUIREMENTS**

(Entered into force **3 June 2015**)

RECALLING the discussion at the 2014 intersessional meeting of the Working Group on Integrated Monitoring Measures (IMM) on the need to clarify, harmonize, and guide implementation of ICCAT's vessel listing requirements;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

1. *The Recommendation by ICCAT Concerning the Establishment of an ICCAT Record of Vessels 20 meters in length overall or greater authorized to operate in the Convention Area* [Rec. 13-13] shall be amended as follows:
 - a) For the final item listed in paragraph 2, change the number of days specified for authorization periods from 30 days to 45 days, so it reads as follows:
 - Time period authorized for fishing and/or transshipping. However, in no case shall the authorization period include dates more than 45 days prior to the date of submission of the list to the Secretariat.
 - b) For paragraph 3, make a corresponding change to the days specified, so it reads as follows:

Each CPC shall promptly notify the ICCAT Executive Secretary of any addition to, any deletion from and/or any modification of the ICCAT record at any time such changes occur. Periods of authorization for modifications or additions to the list shall not include dates more than 45 days prior to the date of submission of the changes to the Secretariat. The Secretariat shall remove from the ICCAT Record of Vessels any vessel for which the period of authorization has expired.
2. Paragraph 2 of the *Recommendation by ICCAT Concerning the Limitation of Fishing Capacity on Northern Albacore* [Rec. 98-08] is repealed.

**RECOMMENDATION BY ICCAT ON THE DEVELOPMENT OF
HARVEST CONTROL RULES AND OF MANAGEMENT STRATEGY EVALUATION**

(Entered into force **4 June 2016**)

RECALLING Recommendation by ICCAT on the Principles of Decision Making for ICCAT Conservation and Management Measures [Rec. 11-13] to support the achievement of the ICCAT Convention objective;

NOTING that the 2010 ICCAT Working Group for Stock Assessment Methods held in April 2010 in Madrid (Spain) endorsed the definitions on reference points presented during the 1999 *ad hoc* Meeting of the ICCAT Working Group on Precautionary Approach held in Dublin in May 1999;

ACKNOWLEDGING that the discussions held in the First Meeting of the ICCAT Working Group to Enhance Dialogue between Fisheries Scientists and Managers suggested that a dialogue of a general nature should continue on issues such as acceptable levels of risk, targets, limits and time horizons based on Rec. [11-13];

ALSO ACKNOWLEDGING that the Second Meeting of the ICCAT Working Group to Enhance Dialogue between Fisheries Scientists and Managers recommended to examine ways to further define the management framework building on Rec. [11-13], in particular in relation to reference points, associated probabilities and timeframes;

FURTHER ACKNOWLEDGING that one of the main goals of the SCRS Science Strategic Plan 2015-2020 is to evaluate precautionary management reference points and robust harvest control rules (HCRs) through management strategy evaluations (MSE);

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

1. For the purposes of this Recommendation, the following working definitions apply:
 - a) The management strategy evaluation (MSE) is an inclusive, interactive and iterative process for evaluating, *inter alia*, the performance of proposed harvest control rules and reference points in relation to management objectives, including the risk associated with not achieving those objectives;
 - b) A limit is a conservation reference point based on a level of biomass (B_{LIM}) that should be avoided considering that beyond such limits, the sustainability of the stock may be in danger;
 - c) A target is a management objective based on a level of biomass (B_{TARGET}) or a fishing mortality rate (F_{TARGET}) that should be achieved and maintained;
 - d) A threshold is a level of biomass ($B_{THRESHOLD}$) reflecting the precautionary approach that triggers pre-agreed management actions to reduce the risk of breaching the limits. Thresholds should be set sufficiently far away from limits so that there is low probability that the limits will be exceeded; and
 - e) Harvest Control Rules (HCRs) are decision rules that aim to achieve the target reference point and avoid the limit reference point by specifying pre-agreed management actions when $B_{THRESHOLD}$, F_{TARGET} or B_{LIM} are breached.
2. The above definition should be considered by the SCRS during its process of revising the ICCAT glossary. Based on SCRS input, the Commission should revise the definitions, as appropriate.

3. As first steps of MSE implementation for a specific stock, the Commission shall provide guidance to the SCRS. Therefore, beginning in 2016 and consistent with priorities to be agreed by the Commission in light of the SCRS work program, the relevant ICCAT Panels will identify the following management inputs on a stock-by-stock basis, for, *inter alia*, northern albacore, bluefin tuna, North Atlantic swordfish, and tropical tunas:
 - a) Management objectives, such as maximizing average catch, minimizing inter-annual fluctuations in TAC levels, returning or maintaining the stock in the green quadrant of the Kobe plot, etc., taking into account the requirements of Rec. [11-13];
 - b) Acceptable quantitative level(s) of probability of achieving and/or maintaining stocks in the green zone of the Kobe plot and avoiding limit reference points; and
 - c) Timeframes for halting overfishing on a stock and/or rebuilding an overfished stock.
4. As the next steps in MSE implementation and taking into account the inputs mentioned above, as soon as feasible for stocks subject to assessment and where possible, the SCRS shall advise the Commission on options for limit, target and threshold reference points and associated HCRs. In 2016, the SCRS will start by evaluating candidate HCRs during the assessment process planned for the northern albacore stock and will provide the Commission with a 5-year schedule for the establishment of species-specific HCRs.
5. In light of SCRS advice and in establishing the HCR for a particular stock, the Commission shall then determine pre-agreed management actions that will be triggered to halt or reduce fishing mortality if limit or threshold reference points are breached. When defining those actions, principles, included in **Annex 1**, might be taken into account by the Commission together with the requirements of Rec. [11-13].
6. The SCRS will be requested to continue developing appropriate MSE methods to test the robustness of alternative limit, target and threshold reference points, and associated HCRs in relation to the management objectives, probabilities and timeframes determined by the Commission.

Annex 1

When determining pre-agreed management actions associated to HCRs and reference points, Panels might refer to the following principles

- i) In the case where the stock biomass is assessed as being above $B_{\text{THRESHOLD}}$, but the fishing mortality is assessed as exceeding F_{TARGET} , management actions shall be adopted to reduce the fishing mortality rate in as short a period as possible to F_{TARGET} .
- ii) In the case where the stock biomass is assessed as being below $B_{\text{THRESHOLD}}$, management actions shall be implemented to reduce the fishing mortality rate in as short a period as possible to the F specified in the HCR.
- iii) In the case where the stock biomass is assessed as being below B_{LIM} , severe management actions shall be adopted immediately to reduce the fishing mortality rate, including, *inter alia*, the suspension of the fishery and the initiation of scientific monitoring.

**RECOMMENDATION BY ICCAT AMENDING
DEADLINES OF TWO ICCAT RECOMMENDATIONS**

(Entered into force 4 June 2016)

RECOGNISING that the change in the form of certain reporting requirements adopted by the Commission in 2014 has resulted in multiple submissions being required of CPCs;

DESIRING to reduce the burden of unnecessary reporting requirements;

RECOGNISING that current deadlines for certain reporting requirements do not significantly affect the work of the Commission:

THE INTERNATIONAL COMMISSION FOR THE CONSERVAION OF ATLANTIC TUNAS (ICCAT)
RECOMMENDS THAT:

1. Paragraph 56 of *Recommendation by ICCAT Amending the Recommendation 13-07 by ICCAT to Establish a Multi-Annual Recovery Plan for Bluefin Tuna in the Eastern Atlantic and Mediterranean* [Rec. 14-04] shall be amended to read:
 56. By 31 July each year, each CPC shall notify to the ICCAT Secretariat detailed information on bluefin tuna catches in the eastern Atlantic and Mediterranean in the preceding fishing year. This information should include: a) the name and ICCAT number of each catching vessel; b) the period of authorisation(s) for each catching vessel; c) the total catches of each catching vessel including nil returns throughout the period of authorisation(s); d) the total number of days each catching vessel fished in the eastern Atlantic and Mediterranean throughout the period of authorisation(s); and e) the total catch outside their period of authorisation (by-catch) including nil returns. For all vessels which were not authorised to fish actively for bluefin tuna in the eastern Atlantic and Mediterranean but which caught bluefin tuna as by-catch: a) the name and ICCAT number or national registry number of the vessel, if not registered with ICCAT; b) the total catches of bluefin tuna.
2. Paragraph 4 of the *Recommendation By ICCAT for Management Measures for Mediterranean Swordfish in the Framework of ICCAT* [Rec. 13-04] shall be amended to read:
 4. By 31 July each year CPCs shall submit to the ICCAT Secretariat the list of the special fishing permits delivered for the previous year.
3. Paragraph 14 of the *Recommendation By ICCAT for Management Measures for Mediterranean Swordfish in the Framework of ICCAT* [Rec. 13-04] shall be amended to read:
 14. By 31 July each year, CPCs shall communicate specific information for the fishing vessels that were authorized to carry out pelagic longline fisheries and harpoons in the Mediterranean during the preceding year:
 - a) Specific information on the fishing vessel:
 - Name of the vessel (if no name, the registry number without country initials should be indicated);
 - Registry number;
 - ICCAT list number.

CPCs shall communicate this list electronically to the ICCAT Secretariat according to the format set out in the Guidelines for Submitting Data and Information Required by ICCAT.

b) Specific information related to fishing activities, based on sampling or for the whole fleet:

- Fishing period(s) and total annual number of fishing days of the vessel, by target species and area;
- Geographical areas, by ICCAT statistical rectangles, for the fishing activities carried out by the vessel, by target species and area;
- Type of vessel, by target species and area;
- Number of hooks used by the vessel, by target species and area;
- Number of longline units used by the vessel, by target species and area;
- Overall length of all longline units for the vessel, by target species and area.

c) Specific data on the catches, in the smallest time-area possible:

- Size and, if possible, age distributions of the catches;
- Catches and catch composition per vessel; and
- Fishing effort (average fishing days per vessel, average number of hooks per vessel, average longline units per vessel, average overall length of longline per vessel).

These data shall be provided to SCRS in the format required by ICCAT.

**RESOLUTION BY ICCAT ESTABLISHING
GUIDELINES FOR THE IMPLEMENTATION OF THE
RECOMMENDATION 11-15 BY ICCAT ON PENALTIES APPLICABLE
IN THE CASE OF NON-FULFILMENT OF REPORTING OBLIGATIONS**

(Transmitted to Contracting Parties: **4 December 2015**)

RECALLING that the Commission considered draft guidelines to facilitate the application of Recommendation 11-15 in 2012;

FURTHER RECALLING that the Commission, through its Compliance Committee, applied these draft guidelines on a trial basis in 2013 and 2014;

RECOGNIZING the utility of the draft guidelines and agreeing that their application should continue;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION OF
ATLANTIC TUNAS (ICCAT) RESOLVES THAT:

1. The Commission will follow the schedule and steps set forth below to guide application of paragraph 3 of Recommendation 11-15:

<i>Data review year (starting in 2013 and annually thereafter)</i>	<i>Following the decision on retention prohibition</i>
<ol style="list-style-type: none"> 1. CPCs submit Task I data to the Secretariat in accordance with Commission requirements and SCRS procedures; 2. The Secretariat, in consultation with the SCRS, compiles and circulates a report to the COC and CPCs detailing data submission status by species or stock (e.g., complete, incomplete, or missing) for each CPC; 3. COC reviews the report and any other relevant information provided by the Secretariat, the SCRS, and CPCs. Based on this review, the COC identifies in its report those CPCs that did not submit required data (i.e., data are missing or incomplete) and notifies them that they are prohibited from retaining the concerned species/stock from the relevant fishery as of the following year unless and until the data are provided to the Secretariat. 4. COC also considers if any other actions consistent with Recommendations 05-09 and/or 06-13 should be recommended. 	<ol style="list-style-type: none"> 1. CPCs with a finding of "missing" or "incomplete" data submissions cannot retain those species; 2. Such CPCs should seek to rectify the situation by sending the missing data to the Secretariat as soon as feasible; 3. In consultation, as necessary and appropriate, with the Chairs of the COC and the Commission, the Secretariat will review the new data submission in a timely manner to determine if it is complete. If the data appear to be complete, the Secretariat will promptly inform the CPC in question that it can resume retention of the concerned species/stock in the relevant fishery. 4. At the Annual Meeting following the intersessional provision of data and the decision to permit resumption of retention, the COC reviews this decision and, if it considers that data are still incomplete, the COC will again take the actions specified in the previous column, paragraphs 3 and 4.

2. To facilitate the reporting of zero catches as required under paragraph 3 of Recommendation 11-15, the following process and procedures will apply:
 - a. As part of the ST02-T1NC electronic form used to report nominal catches, the Secretariat will include a matrix by stock and main ICCAT gear groups (see **Annex** for example reporting matrix), as recommended in the protocol developed by the SCRS.
 - b. CPCs, as part of their Task I nominal catch data reporting, will complete the cells in the matrix with either a value of 'one' (1) to indicate where that CPC had catches (positive catch) for a particular stock/gear combination or a value of 'zero' (0) to indicate where that CPC had no catches (zero landings + zero discards) for a particular stock/gear combination.
 - c. The 'Catch attributes' section of the electronic form ST02-T1NC will only include reports of positive catches.
 - d. In light of the terms of Recommendation 11-15, consideration will be given to expanding the matrix in the future to include additional stocks/species under the competence of ICCAT as well as other stock/gear combinations, as appropriate.

Example reporting matrix

T1 "zero" catch matrix			Gear grp codes													
			LL	PS	BB	HL	TP	TW	TR	GN	HP	RR	HS	TL	TN	
			Gear codes													
Species group	Species (code /sci. name)		Stock/MUnit	LL	PS	BB	HAND	TRAP	TRAW	TROL	GILL	HARP	RR	HS	TL	TN
Major temperate tunas	ALB	<i>Thunnus alalunga</i>	ALB-N ALB-S ALB-M													
	BFT	<i>Thunnus thynnus</i>	BFT-E BFT-W													
Major tropical tunas	BET	<i>Thunnus obesus</i>	BET-A													
	SKJ	<i>Katsuwonus pelamis</i>	SKJ-E SKJ-W													
	YFT	<i>Thunnus albacares</i>	YFT-E YFT-W													
	SWO	<i>Xiphias gladius</i>	SWO-N SWO-S SWO-M													
Major tuna like sp.	BUM	<i>Makaira nigricans</i>	BUM-N BUM-S													
	WHM	<i>Tetrapturus albidus</i>	WHM-N WHM-S													
	SAI	<i>Istiophorus albicans</i>	SAI-E SAI-W													
	SPF	<i>Tetrapturus pfluegeri</i>	SPF-E SPF-W													
Small tuna species	BON	<i>Sarda sarda</i>	(all)													
	LTA	<i>Euthynnus alletteratus</i>	(all)													
	KGM	<i>Scomberomorus cavalla</i>	(all)													
	FRI	<i>Auxis thazard</i>	(all)													
	SSM	<i>Scomberomorus maculatus</i>	(all)													
Major shark species	BRS	<i>Scomberomorus brasiliensis</i>	(all)													
	BSH	<i>Prionace glauca</i>	BSH-N BSH-S													
	POR	<i>Lamna nasus</i>	POR-N POR-S													
	SMA	<i>Isurus oxyrinchus</i>	SMA-N SMA-S													
Other regulated sharks species	FAL	<i>Carcharhinus falciformis</i>	(all)													
	SPK	<i>Sphyrna mokarran</i>	(all)													
	SPL	<i>Sphyrna lewini</i>	(all)													
	SPZ	<i>Sphyrna zygaena</i>	(all)													
	OCS	<i>Carcharhinus longimanus</i>	(all)													
	ALV	<i>Alopias vulpinus</i>	(all)													
	BTH	<i>Alopias superciliosus</i>	(all)													
PTH	<i>Alopias pelagicus</i>	(all)														

Gear grp codes

GearGrpCode	GearGroup
LL	Longline
PS	Purse seine
TP	Trap
BB	Bait boat
TW	Trawl
TR	Troll
GN	Gillnet
RR	Rod & Reel
TN	Trammel net
TL	Tended line
HP	Harpoon
SU	Surface Uncl.
HS	Haul Seine
HL	Handline
SP	Sport
MP	Multi-purpose

**RECOMMENDATION BY ICCAT TO ESTABLISH MINIMUM STANDARDS FOR
FISHING VESSEL SCIENTIFIC OBSERVER PROGRAMS**

(Entered into force **12 June 2017**)

RECALLING that Article IX of the Convention requires Contracting Parties to furnish, on the request of the Commission, any available statistical, biological and other scientific information needed for the purposes of the Convention;

FURTHER RECALLING the 2001 *Resolution by ICCAT on the Deadlines and Procedures for Data Submission* [Res. 01-16], in which the Commission established clear guidelines for the submission of Task I and Task II data;

ACKNOWLEDGING that poor quality data impacts the ability of the SCRS to complete robust stock assessments and provide management advice as well as the ability of the Commission to adopt effective conservation and management measures;

DETERMINED to ensure the collection of data accounting for all sources of mortality in ICCAT fisheries, for both target species and by-catch, to improve the certainty of future scientific advice while taking into account ecosystem considerations;

RECOGNIZING that observer programmes are used at both the national and RFMOs level for the purposes of collecting scientific data;

RECOGNIZING the international nature of the fishing activity on and management of ICCAT species and the consequent need to embark well-trained observers to improve the collection of relevant data, in terms of consistency and quality;

TAKING INTO ACCOUNT the needs of developing States with regard to capacity building;

RECOGNIZING the United Nations General Assembly Sustainable Fisheries Resolution 63/112, that encourages the development of observer programmes by RFMOs and arrangements to improve data collection;

CONSIDERING that the SCRS suggested that the current level of scientific observers (5%) seems to be inappropriate to provide reasonable estimates of total by-catch and recommended increasing the minimum level to 20%;

FURTHER CONSIDERING that the SCRS recommended studying the issue further, in order to determine the level of coverage appropriate to meet management and scientific objectives;

RECOGNIZING that the SCRS noted that the current mandatory level of observer coverage of 5% may have not been implemented by many of the fleets and underlined the need for achieving those minimum coverages so the SCRS could address the mandate given by the Commission;

ACKNOWLEDGING that electronic monitoring systems were successfully tested in some fisheries and that the SCRS adopted minimum standards for their implementation for the tropical purse seine fleet;

RECALLING the *Recommendation by ICCAT to Establish Minimum Standards for Fishing Vessel Scientific Observer Programs* [Rec. 10-10] and desiring to enhance its provisions to improve the availability of scientific data and the safety of observers;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

General Provisions

1. Notwithstanding additional observer program requirements that may be in place or adopted by ICCAT in the future for specific fisheries or fishing activities, each Contracting Party and Cooperating non-Contracting Party, Entity, or Fishing Entity (CPC) shall implement the following minimum standards and protocols with respect to their domestic scientific observer programs to ensure the collection and reporting of relevant scientific information from ICCAT fisheries.

Qualifications of Observers

2. Without prejudice to any training or technical qualifications recommended by the SCRS, CPCs shall ensure that their observers have the following minimum qualifications to accomplish their tasks:
 - a) sufficient knowledge and experience to identify ICCAT species and fishing gear configurations;
 - b) the ability to observe and record accurately the information to be collected under the Program;
 - c) the capability of performing the tasks set forth in paragraph 7 below;
 - d) the ability to collect biological samples; and
 - e) minimum and adequate training in safety and sea survival.
3. In addition, in order to ensure the integrity of their domestic observer program, CPCs shall ensure the observers:
 - a) are not crew members of the vessel being observed;
 - b) are not employees of the owner or beneficial owner of the fishing vessel being observed ; and
 - c) do not have current financial or beneficial interests in the fisheries being observed.

Observer Coverage

4. Each CPC shall ensure the following with respect to its domestic observer programs:
 - a) A minimum of 5% observer coverage of fishing effort in each of the pelagic longline, purse seine, and, as defined in the ICCAT glossary, baitboat, traps, gillnet and trawl fisheries. The percentage coverage will be measured:
 - i. for purse seine fisheries, in number of sets or trips;
 - ii. for pelagic longline fisheries, in fishing days, number of sets, or trips;
 - iii. for baitboat and trap fisheries, in fishing days;
 - iv. for gillnet fisheries, in fishing hours or days; and
 - v. for trawl fisheries, in fishing hauls or days.
 - b) Notwithstanding paragraph a), for vessels less than 15 meters, where an extraordinary safety concern may exist that precludes deployment of an onboard observer, a CPC may employ an alternative scientific monitoring approach that will collect data equivalent to that specified in this recommendation in a manner that ensures comparable coverage. In any such cases, the CPC wishing to avail itself of an alternative approach must present the details of the approach to the SCRS for evaluation. The SCRS will advise the Commission on the suitability of the alternative approach for carrying out the data collection obligations set forth in this Recommendation. Alternative approaches implemented pursuant to this provision shall be subject to the approval of the Commission at the annual meeting prior to implementation.

- c) Representative temporal and spatial coverage of the operation of the fleet to ensure the collection of adequate and appropriate data as required under this Recommendation and any additional domestic CPC observer program requirements, taking into account characteristics of the fleets and fisheries;
 - d) Data collection on pertinent aspects of the fishing operation, including catch, as detailed in paragraph 7.
5. CPCs may conclude bilateral arrangements whereby one CPC places its domestic observers on vessels flying the flag of another CPC, as long as all provisions of this Recommendation are complied with.
 6. CPCs shall endeavour to ensure that observers alternate vessels between their assignments.

Tasks of the Observer

7. CPCs shall require, *inter alia*, observers to:
 - a) record and report upon the fishing activity of the observed vessel, which shall include at least the following:
 - i. data collection, that includes quantifying total target catch, discards and by-catch (including sharks, sea turtles, marine mammals, and seabirds), estimating or measuring size composition as practicable, disposition status (i.e., retained, discarded dead, released alive), the collection of biological samples for life history studies (e.g., gonads, otoliths, spines, scales);
 - ii. collect and report on all tags found;
 - iii. fishing operation information, including:
 - location of catch by latitude and longitude;
 - fishing effort information (e.g., number of sets, number of hooks, etc.);
 - date of each fishing operation, including, as appropriate, the start and stop times of the fishing activity;
 - use of fish aggregating objects, including FADs; and
 - general condition of released animals related to survival rates (i.e. dead/alive, wounded, etc.).
 - b) observe and record the use of by-catch mitigation measures and other relevant information;
 - c) to the extent possible, observe and report environmental conditions (e.g., sea state, climate and hydrologic parameters, etc.).
 - d) observe and report on FADs, in accordance with the ICCAT Observer program adopted under the multi-annual conservation and management programme for tropical tuna; and
 - e) perform any other scientific tasks as recommended by SCRS and agreed by the Commission.

Obligations of the Observer

8. CPCs shall ensure that the observer:
 - a) does not interfere with the electronic equipment of the vessel;
 - b) is familiar with the emergency procedures aboard the vessel, including the location of life rafts, fire extinguishers and first aid kits;
 - c) communicates as needed with the Master on relevant observer issues and tasks;

- d) does not hinder or interfere with the fishing activities and the normal operations of the vessel;
- e) participates in a debriefing session(s) with appropriate representatives of the scientific institute or the domestic authority responsible for implementing the observer program;

Obligations of the Master

9. CPCs shall ensure that the Master of the vessel to which the observer is assigned:

- a) permits appropriate access to the vessel and its operations;
- b) allows the observer to carry out his/her responsibilities in an effective way, including by:
 - i. providing appropriate access to the vessel's gear, documentation (including electronic and paper logbooks), and catch;
 - ii. communicating at any time with appropriate representatives of the scientific institute or domestic authority;
 - iii. ensuring appropriate access to electronics and other equipment pertinent to fishing, including but not limited to:
 - Satellite navigation equipment
 - Electronic means of communication;
 - iv. ensuring that no one on board the observed vessel tampers with or destroys observer equipment or documentation; obstructs, interferes with, or otherwise acts in a manner that could unnecessarily prevent the observer from performing his/her duties; intimidates, harasses, or harms the observer in any way; or bribes or attempts to bribe the observer.
- c) provides accommodation to observers, including berthing, food and adequate sanitary and medical facilities, equal to those of officers;
- d) provides the observer adequate space on the bridge or pilot house to perform his/her tasks, as well as space on deck adequate for carrying out observer tasks;

Duties of the CPCs

10. Each CPC shall:

- a) require its vessels, when fishing for ICCAT species, to carry a scientific observer in accordance with the provisions of this recommendation.;
- b) oversee the safety of its observers;
- c) encourage, where feasible and appropriate, their scientific institute or domestic authority to enter into agreements with the scientific institutes or domestic authorities of other CPCs for the exchange of observer reports and observer data between them;
- d) provide in its Annual Report for use by the Commission and the SCRS, specific information on the implementation of this recommendation, which shall include:
 - i. details on the structure and design of their scientific observer programs, including, *inter alia*:
 - the target level of observer coverage by fishery and gear type as well as how measured;
 - data required to be collected;
 - data collection and handling protocols in place;
 - information on how vessels are selected for coverage to achieve the CPC's target level of observer coverage;

- observer training requirements; and
 - observer qualification requirements;
- ii. the number of vessels monitored, the coverage level achieved by fishery and gear type, and details on how those coverage levels were calculated;
- e) following the initial submission of the information required under paragraph 10(d)(i), report changes to the structure and/or design of its observer programs in its Annual Reports only when such changes occur. CPCs shall continue to report the information required pursuant to paragraph 10(d)(ii) to the Commission annually.
 - f) each year, using the designated electronic formats that are developed by the SCRS , report to the SCRS information collected through domestic observer programs for use by the Commission, in particular for stock assessment and other scientific purposes, in line with procedures in place for other data reporting requirements and consistent with domestic confidentiality requirements.
 - g) ensure implementation of robust data collection protocols by its observers, when carrying out their tasks referred to in paragraph 7, including, as necessary and appropriate, the use of photography.

Duties of the Executive Secretary

11. The Executive Secretary facilitates access by SCRS and the Commission to relevant data and information submitted pursuant to this recommendation;

Duties of the SCRS

12. The SCRS shall:
 - a) develop, as needed and appropriate, an observer working manual for voluntary use by CPCs in their domestic observer programs, that includes model data collection forms and standardized data collection procedures, taking into account observer manuals and related materials that may already exist through other sources, including CPCs, regional and sub-regional bodies, and other organizations;
 - b) develop fisheries specific guidelines for electronic monitoring systems;
 - c) provide the Commission with a summary of the scientific data and information collected and reported pursuant to this recommendation and any relevant associated findings;
 - d) make recommendations, as necessary and appropriate, on how to improve the effectiveness of scientific observer programs in order to meet the data needs of the Commission, including possible revisions to this Recommendation and/or with respect to implementation of these minimum standards and protocols by CPCs.

Electronic Monitoring Systems

13. Where they have been determined by SCRS to be effective in a particular fishery, electronic monitoring systems may be installed on board fishing vessels to complement or, pending SCRS advice and a Commission decision, to replace the human observer on board.
14. CPCs should consider any applicable guidelines that are endorsed by SCRS on the use of electronic monitoring systems.
15. CPCs are encouraged to report to the SCRS their experiences in the use of electronic monitoring systems in their ICCAT fisheries to complement human observer programs. CPCs who have not yet implemented such systems are encouraged to explore their use and report their findings to the SCRS.

Support to Developing States

16. Developing States shall report to the Commission on their special requirements in the implementation of the provisions of this Recommendation. The Commission shall take due regard of these special requirements.
17. Available ICCAT funds will be used to support the implementation of scientific observer programs in developing States, notably the training of observers.

Final provisions

18. The Commission shall review this Recommendation no later than its 2019 annual meeting and consider revising it, in particular, in the light of information provided by CPCs and of SCRS recommendations.
19. Recommendation [10-10] is repealed and replaced by this Recommendation.

RECOMMENDATION BY ICCAT ON TRANSHIPMENT

(Entered into force 12 June 2017)

TAKING ACCOUNT of the need to combat illegal, unregulated and unreported (IUU) fishing activities because they undermine the effectiveness of the conservation and management measures already adopted by ICCAT;

EXPRESSING GRAVE CONCERN that organized tuna laundering operations have been conducted and a significant amount of catches by IUU fishing vessels have been transhipped under the names of duly licensed fishing vessels;

IN VIEW THEREFORE OF THE NEED to ensure the monitoring of the transhipment activities on tuna and tuna-like species and other species caught in association with these species that were harvested in the ICCAT Convention area, in particular by large-scale pelagic longline vessels (LSPLVs), including the control of their landings;

TAKING ACCOUNT of the need to ensure collection of catch data from such LSPLVs to improve the scientific assessments of those stocks;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

SECTION 1. GENERAL RULES

1. All at-sea transhipment operations:
 - a) within the Convention area of tuna and tuna-like species and other species caught in association with these species, and
 - b) outside the Convention area of tuna and tuna-like species and other species caught in association with these species that were harvested in the ICCAT Convention area,

are prohibited, except that large scale pelagic longline vessels, defined as those greater than 24 meters length overall, may conduct at-sea transhipment under the program established in Section 3 below. All other transhipments must take place in port.
2. The flag Contracting Party, Cooperating non-Contracting Party, Entity or Fishing Entity (hereafter referred to as CPCs) shall take the necessary measures to ensure that fishing vessels flying their flag comply with the obligations set out in **Appendix 3**, when transshipping tuna and tuna-like species and other species caught in association with these species in port.
3. This Recommendation does not apply to harpoon vessels engaged in the transhipment of fresh swordfish¹ at sea.
4. This Recommendation does not apply to transhipments outside the Convention area where such transhipment is subject to a comparable monitoring program established by another regional fisheries management organization.
5. This Recommendation is without prejudice to additional requirements applicable to transhipment at sea or in port in other ICCAT recommendations.

¹ For the purpose of this Recommendation, "fresh swordfish" means swordfish that are alive, whole or gutted / dressed but not further processed or frozen.

SECTION 2. RECORD OF CARRIER VESSELS AUTHORISED TO RECEIVE TRANSHIPMENT IN THE ICCAT AREA

6. Transshipment of tuna and tuna-like species and other species caught in association with these species may only be authorized with regard to carrier vessels authorized in accordance with this Recommendation.
7. An ICCAT Record of Carrier Vessels authorized to receive tuna and tuna-like species and other species caught in association with these species in the Convention area shall be established. For the purposes of this Recommendation, carrier vessels not entered on the record are deemed not to be authorized to receive tuna and tuna-like species and other species caught in association with these species in transshipment operations.
8. In order for its carrier vessels to be included on the ICCAT Record List of Carrier Vessels, a flag CPC or flag non-Contracting Party (NCP) shall submit each calendar year, electronically, and in the format specified by the ICCAT Executive Secretary, a list of the carrier vessels that are authorized to receive transshipments in the Convention area. This list shall include the following information:
 - Name of vessel, register number
 - ICCAT Record Number (if any)
 - IMO number
 - Previous name (if any)
 - Previous flag (if any)
 - Previous details of deletion from other registries (if any)
 - International radio call sign
 - Type of vessels, length, gross registered tonnage (GRT) and carrying capacity
 - Name and address of owner(s) and operator(s)
 - Type of transshipment authorised (i.e., in port and/or at sea)
 - Time period authorised for transshipping
9. Each CPC shall promptly notify the ICCAT Executive Secretary of any addition to, any deletion from and/or any modification of the ICCAT Record of Carrier Vessels, at any time such changes occur.
10. The ICCAT Executive Secretary shall maintain the ICCAT Record of Carrier Vessels and take measures to ensure publicity of the Record through electronic means, including placing it on the ICCAT website, in a manner consistent with domestic confidentiality requirements.
11. Carrier vessels authorized for transshipment shall be required to install and operate a VMS in accordance with all applicable ICCAT recommendations, including the *Recommendation by ICCAT Amending Recommendation 03-14 by ICCAT concerning Minimum Standards for the Establishment of a Vessel Monitoring System in the ICCAT Convention Area* [Rec. 14-09²], or any successor recommendation, including any future revisions thereto.

SECTION 3. PROGRAMME TO MONITOR TRANSHIPMENT AT SEA

12. At sea transshipment by LSPLVs for tuna and tuna-like species and other species caught in association with these species may only be authorized in accordance with the provisions set forth in this Section, in Section 4, and **Appendix 1 and 2** below.

Large Scale Pelagic Longline Vessels (LSPLVs) authorized to tranship at sea

13. Each flag CPC that authorizes its LSPLVs to tranship at sea shall submit each calendar year electronically and in the format specified by the Executive Secretary, the list of its LSPLVs that are authorized to tranship at sea.

² Repealed and replaced by Rec. 18-10.

This list shall include the following information:

- Name of vessel, register number
- ICCAT Record Number
- Time period authorized for transshipping at sea
- Flag(s), name(s) and register number(s) of the carrier vessel(s) authorized for use by the LSPLVs

Upon receipt of the lists of LSPLVs authorized to transship at sea, the Executive Secretary shall provide to the flag CPCs of the carrier vessels the list of LSPLVs authorized to operate with its carrier vessels.

Coastal State authorization

14. Transshipments by LSPLVs in waters under the jurisdiction of a CPC are subject to prior authorization from that CPC. An original or copy of the documentation of coastal State prior authorization must be retained on the vessel and made available to the ICCAT observer when requested. CPCs shall take the necessary measures to ensure that LSPLVs flying their flag comply with the provisions of this Section:

Flag CPC authorization

15. LSPLVs are not authorized to transship at sea unless they have obtained prior authorization from their flag State. An original or copy of the documentation of prior authorization must be retained on the vessel and made available to the ICCAT observer when requested.

Notification obligations

Large Scale Pelagic Longline Vessels (LSPLVs):

16. To receive the prior authorization mentioned in paragraph 14 and 15 above, the master and/or owner of the LSPLV must notify the following information to its flag CPC authorities, and, where applicable, the coastal CPC, at least 24 hours in advance of the intended transshipment:
 - the name of the LSPLV and its number in the ICCAT record of fishing vessels,
 - the name of the carrier vessel and its number in the ICCAT record of carrier vessels authorized to receive transshipments in the ICCAT area, and the product to be transshipped, by species, where known, and, if possible, by stock,
 - the quantities of tuna and tuna-like species and, if possible, by stock, to be transshipped,
 - the quantities of other species caught in association with tuna and tuna-like species by species, where known, to be transshipped,
 - the date and location of transshipment,
 - the geographic location of the catches by species and, where appropriate, by stock, consistent with ICCAT statistical areas.

The LSPLV concerned shall complete and transmit to its flag CPC, and, where applicable, the coastal CPC not later than 15 days after the transshipment, the ICCAT transshipment declaration, along with its number in the ICCAT record of fishing vessels in accordance with the format set out in **Appendix 1**.

Receiving carrier vessel:

17. The master of the receiving carrier vessel shall complete and transmit the ICCAT transshipment declaration to the ICCAT Secretariat and the flag CPC of the LSPLV, along with its number in the ICCAT record of carrier vessels authorized to receive transshipment in the ICCAT area, within 24 hours of the completion of the transshipment.
18. The master of the receiving carrier vessel shall, 48 hours before landing, transmit an ICCAT transshipment declaration, along with its number in the ICCAT record of vessels authorized to receive transshipment in the ICCAT Convention area, to the competent authorities of the State where the landing is to take place.

ICCAT Regional Observer Program

19. Each CPC shall ensure that all carrier vessels transshipping at sea have on board an ICCAT observer in accordance with the ICCAT regional observer program specified in **Appendix 2**. The ICCAT observer shall observe the adherence to this Recommendation, and, notably, that the transhipped quantities are consistent with the reported catch in the ICCAT transshipment declaration and, as feasible, as recorded in the fishing vessel logbook.
20. Vessels shall be prohibited from commencing or continuing transshipping at sea in the ICCAT Convention area without an ICCAT regional observer on board, except in cases of *force majeure* duly notified to the ICCAT Secretariat.

SECTION 4. GENERAL PROVISIONS

21. To ensure the effectiveness of the ICCAT conservation and management measures pertaining to species covered by Catch and Statistical Document Programs:
 - a) In validating the Catch or Statistical Documents, flag CPCs of LSPLVs shall ensure that transshipments are consistent with the reported catch amount by each LSPLV.
 - b) The flag CPC of LSPLVs shall validate the Catch or Statistical Documents for the transhipped fish, after confirming that the transshipment was conducted in accordance with this Recommendation. This confirmation shall be based on the information obtained through the ICCAT Observer Program.
 - c) CPCs shall require that the species covered by the Catch or Statistical Document Programs caught by LSPLVs in the Convention area, when imported into the area or territory of a CPC, be accompanied by catch or statistical documents validated for the vessels on the ICCAT record and a copy of the ICCAT transshipment declaration.
22. The flag CPCs of LSPLVs which have transhipped during the previous year and the flag CPCs of carrier vessels accepting transshipments shall report annually before 15 September to the Executive Secretary:
 - The quantities of tuna and tuna-like catches by species (and, if possible, by stock) transhipped during the previous year.
 - The quantities of other species caught in association with tuna and tuna-like species by species, where known, transhipped during the previous year.
 - The list of the LSPLVs which have transhipped during the previous year.
 - A comprehensive report assessing the content and conclusions of the reports of the observers assigned to carrier vessels which have received transshipment from their LSPLVs.

These reports shall be made available to the Commission and relevant subsidiary bodies for review and consideration. The Secretariat shall post these reports to a password protected website.
23. All tuna and tuna-like species and other species caught in association with those species landed in or imported into the area or territory of CPCs, either unprocessed or after having been processed on board and which are transhipped, shall be accompanied by the ICCAT transshipment declaration until the first sale has taken place.
24. The Flag CPC of the LSPLV engaged in at-sea transshipments, and the coastal CPC, where applicable, shall review the information received pursuant to the provisions of this Recommendation to determine consistency between the reported catches, transshipments, and landings of each vessel, including in cooperation with the landing State as necessary. This verification shall be carried out so that the vessel suffers the minimum interference and inconvenience and that degradation of the fish is avoided.
25. At its request, and subject to ICCAT confidentiality requirements, the Standing Committee on Research and Statistics (SCRS) shall have access to the data collected under this Recommendation.

26. Each year, the Executive Secretary of ICCAT shall present a report on the implementation of this Recommendation to the annual meeting of the Commission which shall, *inter alia*, review compliance with this Recommendation.
27. This Recommendation replaces the *Recommendation by ICCAT on a Programme for Transshipment* [Rec. 12-06].

Vessel Name and radio call sign:
Flag Country/Entity/Fishing Entity:
Flag State authorization number:
Domestic Registration Number:
ICCAT Record Number:
IMO Number:

Vessel Name and radio call sign:
Flag CPC:
Flag CPC authorization number:
Domestic Registration Number:
ICCAT Record Number, if applicable:
IMO Number:
External identification:

	Day	Month	Hour	Year	2_ 0_ _ _	Agent's name:	Fishing vessel Master's name:	Carrier vessel Master's name:
Departure	_ _	_ _	_ _	from	_ _ _			
Return	_ _	_ _	_ _	to	_ _ _	Signature:	Signature:	Signature:
Transshipment	_ _	_ _	_ _		_ _ _			

Indicate the weight in kilograms or the unit used (e.g. box, basket) and the landed weight in kilograms of this unit: kilograms

LOCATION OF TRANSHIPMENT.....

[illegible]

ICCAT Observer signature and date (if transshipment at sea):

¹ Type of Product should be indicated as Round (RD), Gilled and Gutted (GG), Dressed (DR), Fillet (FL), Steak (ST), Other (OT) (describe the type of product).

² A list of species by stock, with their geographic delineations, is included on the back of this form. Please provide as much detail as possible.

³Atlantic, Mediterranean, Pacific, Indian.

*If stock level information is not available, please provide explanation.

ICCAT Regional Observer Programme

1. Each CPC shall require carrier vessels included in the ICCAT record of vessels authorized to receive transshipments in the ICCAT area and which tranship at sea, to carry an ICCAT observer during each transshipment operation in the Convention area.
2. The Secretariat of the Commission shall appoint the observers and shall place them on board the carrier vessels authorized to receive transshipments in the ICCAT area from LSPLVs flying the flag of CPCs that implement the ICCAT observer program.
3. The ICCAT Secretariat shall ensure observers are properly equipped to perform their duties.

Designation of the observers

4. The designated observers shall have the following qualifications to accomplish their tasks:
 - demonstrated ability to identify ICCAT species and fishing gear with a strong preference given to those with experience as observers on pelagic longline vessels;
 - satisfactory knowledge of the ICCAT conservation and management measures;
 - the ability to observe and record accurately;
 - a satisfactory knowledge of the language of the flag of the vessel observed.

Obligations of the observer

5. Observers shall:
 - a) have completed the technical training required by the guidelines established by ICCAT;
 - b) to the extent possible, not be nationals or citizens of the flag State of the receiving carrier vessel;
 - c) be capable of performing the duties set forth in point 6 below;
 - d) be included in the list of observers maintained by the Secretariat of the Commission;
 - e) not be a crew member of the LSPLV or the carrier vessel or an employee of the LSPLV or carrier vessel company.
6. The observer shall monitor the LSPLVs and carrier vessel's adherence to the relevant conservation and management measures adopted by the Commission. The observers' tasks shall be, in particular, to:
 - 6.1 Visit the LSPLV intending to tranship to a carrier vessel, taking into account the safety concerns reflected in point 10 of this Appendix, and before the transshipment takes place, to:
 - a) Check the validity of the fishing vessel's authorization or license to fish for tuna and tuna-like species and other species caught in association with those species in the Convention area;
 - b) Inspect the fishing vessel's prior authorizations to tranship at sea from the flag CPC and, if appropriate, the coastal State;
 - c) Check and record the total quantity of catch on board by species and, if possible, by stock, and the quantities to be transhipped to the carrier vessel;
 - d) Check that the VMS is functioning and examine the logbook and verify entries, if possible;
 - e) Verify whether any of the catch on board resulted from transfers from other vessels, and check the documentation on such transfers;
 - f) In the case of indication that there are any violations involving the LSPLV, immediately report the violation(s) to the master of the carrier vessel (taking due regard of any safety considerations) and to the observer program implementing company, who shall promptly forward it to the flag CPC authorities of the LSPLV; and
 - g) Record the results of these duties on the LSPLV in the observer's report.
 - 6.2 Observe the activities of carrier vessel and:
 - a) record and report upon the transshipment activities carried out;
 - b) verify the position of the vessel when engaged in transshipping;

- c) observe and estimate quantities of tuna and tuna-like species transhipped by species, if known, and, if possible, by stock;
- d) the quantities of other species caught in association with tuna and tuna-like species by species, where known;
- e) verify and record the name of the LSPLV concerned and its ICCAT record number;
- f) verify the data contained in the transhipment declaration, including through comparison with the LSPLV logbook, where possible;
- g) certify the data contained in the transhipment declaration;
- h) countersign the transhipment declaration; and
- i) observe and estimate quantities of product by species when offloaded in the port where the observer is disembarked to verify consistency with quantities received during at sea transhipment operations.

6.3 In addition, the observer shall:

- a) issue a daily report of the carrier vessel's transhipping activities;
 - b) establish general reports compiling the information collected in accordance with the observer's duties and provide the captain the opportunity to include therein any relevant information;
 - c) submit to the Secretariat the aforementioned general report within 20 days from the end of the period of observation;
 - d) exercise any other functions as defined by the Commission.
7. Observers shall treat as confidential all information with respect to the fishing operations of the LSPLV and of the LSPLV owners and accept this requirement in writing as a condition of appointment as an observer.
 8. Observers shall comply with requirements established in the laws and regulations of the flag State and, where relevant, the coastal State, which exercises jurisdiction over the vessel to which the observer is assigned.
 9. Observers shall respect the hierarchy and general rules of behaviour which apply to all vessel personnel, provided such rules do not interfere with the duties of the observer under this program, and with the obligations of vessel personnel set forth in point 10 of this program.

Responsibilities of the Flag States of carrier vessels

10. The conditions associated with implementation of the regional observer program *vis à vis* the flag States of the carrier vessels and their captains include the following, notably:
 - a) Observers shall be allowed access to the vessel personnel, pertinent documentation, and to the gear and equipment;
 - b) Upon request, observers shall also be allowed access to the following equipment, if present on the vessels to which they are assigned, in order to facilitate the carrying out of their duties set forth in point 6:
 - i) satellite navigation equipment;
 - ii) radar display viewing screens when in use;
 - iii) VMS
 - iv) electronic means of communication; and
 - v) scale used for weighing transhipped product.
 - c) Observers shall be provided accommodations, including lodging, food and adequate sanitary facilities, equal to those of officers;
 - d) Observers shall be provided with adequate space on the bridge or pilot house for clerical work, as well as space on deck adequate for carrying out observer duties;

- e) Observers shall be allowed to determine the most advantageous location and method for viewing transshipment operations and estimating species/stocks and quantities transhipped. In this regard, the master of the carrier vessel, giving due regard to safety and practical concerns, shall accommodate the needs of the observer in this regard, including, upon request, temporarily placing product on the carrier vessel deck for inspection by the observer and providing adequate time for the observer to carry out his/her duties. Observations shall be conducted in a manner that minimizes interference and avoids compromising the quality of the products transhipped.
- f) In light of the provisions of point 11, the master of the carrier vessel shall ensure that all necessary assistance is provided to the observer to ensure safe transport between the carrier and fishing vessels should weather and other conditions permit such an exchange; and
- g) The flag States shall ensure that captains, crew and vessel owners do not obstruct, intimidate, interfere with, influence, bribe or attempt to bribe an observer in the performance of his/her duties.

The Secretariat, in a manner consistent with any applicable confidentiality requirements, is requested to provide to the flag State of the carrier vessel under whose jurisdiction the vessel transhipped and to the flag CPC of the LSPLV, copies of all raw data, summaries, and reports pertaining to the trip.

The Secretariat shall submit the observer reports (covering the information and activities of both the fishing and carrier vessels) to the Compliance Committee and to the SCRS.

Responsibilities of LSPLVs during transhipments

- 11. Observers shall be allowed to visit the LSPLV, if weather and other conditions permit, and shall be granted access to personnel, all pertinent documentation, VMS and areas of the vessel necessary to carry out their duties set forth in point 6 in this Appendix. The master of the LSPLV shall ensure that all necessary assistance is provided to the observer to ensure safe transport between the carrier and LSPLV. Should conditions present an unacceptable risk to the welfare of the observer such that a visit to the LSPLV is not feasible prior to the start of transshipment operations, such operations may still be carried out.

Observer fees

- 12. The costs of implementing this program shall be financed by the flag CPCs of LSPLVs wishing to engage in transshipment operations. The fee shall be calculated on the basis of the total costs of the program. This fee shall be paid into a special account of the ICCAT Secretariat and the ICCAT Secretariat shall manage the account for implementing the program.
- 13. No LSPLV may participate in the at-sea transshipment program unless the fees, as required under point 12, are paid.

Information sharing

- 14. To facilitate information sharing and, to the extent possible, harmonization of at sea transshipment programs across relevant regional fisheries management organizations, all training materials, including observer manuals, and data collection forms developed and used to support implementation of ICCAT's at sea transshipment regional observer program shall be posted on the public portion of the ICCAT website.

Identification Guides

- 15. The SCRS shall work with the ICCAT Secretariat and others as appropriate to develop new or improve existing identification guides for frozen tuna and tuna-like species. The ICCAT Secretariat shall ensure that these identification guides are made broadly available to CPCs and other interested parties, including to ICCAT regional observers prior to deployment and to other regional fisheries management organizations running similar at sea transshipment observer programs.

In-Port Transshipment

1. In the exercise of their authority over ports located in areas under their jurisdiction, CPCs may adopt more stringent measures, in accordance with domestic and international law.
2. Pursuant to Section 1 of this Recommendation, transshipment in port by any CPC of tuna and tuna-like species and other species caught in association with these species from or in the Convention area may only be undertaken in accordance with *Recommendation by ICCAT for an ICCAT Scheme for Minimum Standards for Inspection in Port* [Rec. 12-07] and the following procedures:

Notification obligations

3. Catching fishing vessel

- 3.1 At least 48 hours in advance of transshipment operations, the captain of the fishing vessel must notify to the Port State authorities the name of the carrier vessel and date/time of transshipment.
- 3.2 The captain of a fishing vessel shall, at the time of the transshipment, inform its flag CPC of the following:
 - the quantities of tuna and tuna-like species, if possible, by stock, to be transhipped;
 - the quantities of other species caught in association with tuna and tuna-like species by species, where known, to be transhipped;
 - the date and place of the transshipment;
 - the name, registration number and flag of the receiving carrier vessel; and
 - the geographic location of the catches by species and, where appropriate, by stock, consistent with ICCAT statistical areas.
- 3.3 The captain of the fishing vessel concerned shall complete and transmit to its flag CPC the ICCAT transshipment declaration, along with its number in the ICCAT record of fishing vessels, where applicable, in accordance with the format set out in **Appendix 1** not later than 15 days after the transshipment.

4. Receiving fishing vessel

- 4.1 Not later than 24 hours before the beginning and at the end of the transshipment, the master of the receiving carrier vessel shall inform the port State authorities of the quantities of catches of tuna and tuna-like species transhipped to his vessel, and complete and transmit the ICCAT transshipment declaration to the competent authorities within 24 hours.
- 4.2 The master of the receiving carrier vessel shall, at least 48 hours before landing, complete and transmit an ICCAT transshipment declaration to the competent authorities of the landing State where the landing takes place.

Port and Landing State Cooperation

5. The port State and the landing State referred to in the above points shall review the information received pursuant to the provisions of this Appendix, including in cooperation with the flag CPC of the fishing vessel as necessary, to determine consistency between the reported catches, transshipments, and landings of each vessel. This verification shall be carried out so that the vessel suffers the minimum interference and inconvenience and that degradation of the fish is avoided.

Reporting

6. Each flag CPC of the fishing vessel shall include in its Annual Report each year to ICCAT the details on the transshipments by its vessels.

**RESOLUTION BY ICCAT ESTABLISHING AN ICCAT SCHEDULE OF ACTIONS
TO IMPROVE COMPLIANCE AND COOPERATION WITH ICCAT MEASURES**

(Transmitted to Contracting Parties: **12 December 2016**)

RECOGNIZING that compliance with ICCAT conservation and management measures is critical to the success of the Commission;

RECALLING the 2011 Commission adoption of Recommendation 11-24, which amended the mandate and Terms of Reference of the Compliance Committee (COC) and required the COC to develop and make recommendations to the Commission to address issues of non-compliance or lack of cooperation with ICCAT conservation and management measures;

RECOGNIZING that non-compliance should be addressed in a concrete, and transparent, non-discriminatory way, taking into account the need to remain flexible to address the unique circumstances of individual CPCs;

FURTHER RECOGNIZING that not all non-compliance is of the same level of severity and impact on the effectiveness of ICCAT's conservation and management measures or the work of the Commission; and

COGNIZANT of the need to assist in providing a consistent, fair, and transparent approach for considering and applying appropriate actions to improve compliance and cooperation with ICCAT measures pursuant to the requirements of Recommendation 06-13 and other relevant ICCAT instruments;

**THE INTERNATIONAL COMMISSION FOR THE
CONSERVATION OF ATLANTIC TUNAS RESOLVES THAT:**

When determining non-compliance and appropriate actions to address non-compliance with ICCAT conservation and management measures, the following guidelines for an ICCAT schedule of actions will be applied:

Step 1: Determination of category of non-compliance(s)

Primary areas of focus should include:

Category A: Conservation and/or Management, including:

- Failure to limit catches/landings to agreed limits
- Failure to restrict fleet size or other capacity measures to agreed limits
- Failure to implement time/area closures
- Failure to implement minimum size restrictions
- Failure to implement gear restrictions/limitations

Category B: Reporting requirements, including:

- Failure to report or delay in reporting statistical and other required data
- Failure to submit or delay in submitting reports

Category C: Monitoring, Control, and Surveillance (MCS) measures, including:

- Failure to implement MCS measures, including, *inter alia*, catch documentation schemes/statistical document programs, observer programs, transshipment controls, and VMS requirements
- Failure to exercise port CPC controls, including port inspection requirements
- Failure to exercise flag CPC controls

Step 2: Determination of the severity of non-compliance(s)

Non-compliance can range from minor to significant. Highest priority should be given to determining and addressing significant non-compliance, although responsive action may also be warranted in other cases.

Minor non-compliance: These failures are first time or infrequent and do not significantly impact the work of the Commission or SCRS or diminish effectiveness of ICCAT's conservation and management measures. In most of these cases, the only necessary action would be to request the relevant CPC to rectify the situation and report back to the Compliance Committee on actions taken in this regard at the subsequent annual meeting of the Commission. In general, the preferred method for making such requests and tracking the issue would be through the COC meeting report, though the COC may, depending on the circumstances, recommend sending a Letter of Concern regarding their non-compliance to the CPC(s) in question

Significant non-compliance: These non-compliance issues reflect a CPC's systematic disregard of ICCAT regulations or infrequent (and even first time) violations that individually or collectively significantly impact the objectives of the Commission or SCRS or diminish the effectiveness of ICCAT's conservation and management measures. These non-compliance issues could include frequent non-reporting or insufficient reporting that impacts the COC's ability to evaluate the compliance of a CPC effectively. Failures of this nature meet the threshold for identification under the *Recommendation by ICCAT concerning Trade Measures* [Rec. 06-13].

To facilitate CPCs' comprehensive understanding of what constitutes minor or significant non-compliance in the context of existing Recommendations, the COC will develop a reference document, including a simple summary or table that lists the level of severity of types of non-compliance with specific ICCAT provisions, understanding that mitigating and aggravating considerations will also be taken into account as specified above.

Mitigating and aggravating considerations: Both mitigating and aggravating considerations, as indicated below, should be taken into account when determining the significance of non-compliance:

- Mitigating considerations include, *inter alia*: (1) the extent to which available capacity building and assistance programs have been used by a CPC to improve its ability to meet its ICCAT obligations and (2) any actions taken by the CPC to address its non-compliance or by a third party CPC in response to the non-compliance of another CPC's vessel.
- Aggravating considerations include, *inter alia*: (1) non-compliance that is repeated, frequent, numerous, and/or severe in degree, scope, and/or effect, individually or cumulatively; and (2) lack of effective corrective action by the flag CPC or third party CPC (if appropriate).

Step 3: Application of actions to address compliance failures, where warranted

Upon a determination that non-compliance has occurred pursuant to Step 1 and that further action by ICCAT, potentially including identification under Rec. 06-13, is warranted pursuant to Step 2, actions should be taken or required in one or more of the following categories: enhanced reporting requirements, restrictions on fishing activities, additional MCS requirements, and/or, as a last resort, trade restrictive measures. In that regard, a non-exhaustive, non-prioritized list of actions that could be taken or required by type of non-compliance as follows:

Category A: Non-compliance involving conservation and/or management:

Required/Automatic Actions Pursuant to Binding ICCAT Recommendations:

- In the case of binding quota/catch limit overharvest, 100% payback as specified in Rec. 00-14 and other relevant ICCAT recommendations.

Potential Actions:

- Additional reporting requirements, possibly including:
 - More frequent catch reporting
- Fishery restrictions, possibly including:
 - Reduction in quota allocation(s)
 - Additional quota/catch limit reductions
- Enhanced MCS requirements, possibly including:
 - Enhanced reporting requirements
 - Limitations on at sea transshipment
 - Increased port sampling and/or inspection
 - Increased observer requirements
 - Enhanced VMS requirements (fleets covered or polling rate used)
- Fishery restrictions, possibly including:
 - Individual vessel quota requirements
 - Bycatch retention limit requirements
 - Size class limitations
 - Fleet capacity limits or reductions
 - Time and/or area restrictions
 - Gear restrictions or requirements
- Trade restrictive measures

Category B: Non-compliance involving reporting requirements:**Required/Automatic Actions Pursuant to Binding ICCAT Recommendations:**

In the case of Task 1 data, application of the *Recommendation by ICCAT on Penalties Applicable in Case of Non Fulfilment of Reporting Obligations* [Rec. 11-15]

Potential Actions:

- Additional reporting requirements, possibly including:
 - More frequent reporting
 - Submission of a data improvement and/or reporting plan with required reporting on implementation
- Enhanced MCS requirements, possibly including:
 - Increased observer coverage requirements for data collection
 - Increased port sampling requirements
 - Enhanced VMS requirements (fleets covered or polling rate used)
- Fishery restrictions, possibly including:
 - Allocation or quota/catch limit reductions
 - Limitations/reductions in fleet capacity levels
 - Increased port inspection
 - Limitations on or Loss of right to implement certain ICCAT recommendations, such as to charter or conduct at sea transshipment
- Trade restrictive measures

Category C: Non-compliance involving MCS measures, including:**Potential Actions:**

- Additional reporting requirements, possibly including:
 - More frequent reporting
 - Submission of a performance improvement plan with required reporting

- Enhanced MCS requirements, possibly including:
 - Increased observer coverage requirements, possibly including use of ICCAT observers,
 - Increased port controls, such as more frequent port calls, expanded inspection requirements, and/or designation of authorized ports
 - Limitations on or prohibition of at sea transshipment
 - Enhanced VMS requirements (fleets covered or polling rate used)
- Fishery restrictions, possibly including:
 - Allocation or quota/catch limit reductions
 - Limitations/reductions in fleet capacity levels
 - Restrictions on posting vessels to the authorized vessel list
 - Placement of vessels on the IUU vessel list
 - Requirement to specify individual vessel quotas
- Trade restrictive measures

**RECOMMENDATION BY ICCAT TO AMEND ICCAT REPORTING DEADLINES IN
ORDER TO FACILITATE AN EFFECTIVE AND EFFICIENT COMPLIANCE PROCESS**

(Entered into force **21 June 2019**)

RECOGNIZING the substantial amount of information that must be reviewed and analyzed to prepare for meetings of the Compliance Committee (COC);

NOTING that in 2016, ICCAT adopted *Resolution by ICCAT to Facilitate an Effective and Efficient Compliance Process* (Res. 16-22), which mandates the COC Chair and Secretariat staff to review reports, prepare compliance summary tables, and aim to circulate the tables to the Commission three weeks prior to the Commission meeting;

CONCERNED that the October 1 deadline to submit complete Annual Reports established in *Recommendation 16-16* does not allow sufficient time to the Secretariat to process the reports, seek corrections from CPCs, compile the reports, and for the COC Chair and Secretariat to then sufficiently review all Annual Reports and other relevant documents and develop and circulate the first draft of the Compliance Summary tables by the deadline set forth in Resolution 16-22;

FURTHER NOTING that the separate deadlines for Part I and Part II of the reports results in administrative delays for the Secretariat, which in turn delays the review of those reports under Resolution 16-22;

CONSIDERING that an earlier and single submission date for the entire Annual Report (both Parts I and II) and other reports that contain information relevant to assessing CPC compliance will afford a more timely review of this information and in turn provide CPCs with more time to develop responses to issues raised regarding their compliance with ICCAT requirements;

FURTHER NOTING that a change in the Annual Report deadline necessitates changes to deadlines of certain other reports, as the Annual Report requires CPCs to report on their submission of these other reports;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

1. The first paragraph of Paragraph 2 of the *Revised Guidelines for the Preparation of Annual Reports* (Ref. 12-13), shall be replaced with the following text:

“Complete Annual Reports, comprising Part I and Part II, should be submitted by September 15 of each year, unless the SCRS meeting takes place prior to September 22, in which case Part I should be submitted to the SCRS one week before the start of the SCRS Plenary Session (i.e., by 9:00 am on the first day of the Species Groups meetings), as notified to the Commission by the Secretariat.”

2. Deadlines in the following ICCAT instruments shall be amended to September 15, as follows:

- a) *Recommendation by ICCAT Concerning the ICCAT Bigeye Tuna Statistical Document Program* (Rec. 01-21), paragraph 5, (data from the Bigeye Tuna Statistical Document, first semester currently due 1 October).
- b) *Recommendation by ICCAT Establishing a Swordfish Statistical Document Program* (Rec. 01-22), paragraph 5, (data from the Swordfish Statistical Document, first semester currently due 1 October).

3. The Secretariat shall make these modifications in the published versions of the instruments amended by paragraphs 1 and 2 of this Recommendation.

4. In accordance with Recommendation 16-16, the Secretariat shall modify paragraph 1 of Recommendation 11-11 to reflect the August 15 deadline for compliance reporting tables established in Rec. 16-13 and remove Recommendation 16-16 from the Compendium.

**RECOMMENDATION BY ICCAT ON ESTABLISHING A LIST OF VESSELS PRESUMED TO HAVE
CARRIED OUT ILLEGAL, UNREPORTED AND UNREGULATED FISHING ACTIVITIES**

(Entered into force: **21 June 2019**)

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

CONCERNED by the fact that IUU fishing activities in the ICCAT area continue, and these activities diminish the effectiveness of ICCAT conservation and management measures,

FURTHER CONCERNED that there is evidence of a large number of vessel owners engaged in such fishing activities which have re-flagged their vessels to avoid compliance with ICCAT management and conservation measures, and to evade the ICCAT-adopted non-discriminatory trade measures,

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

CONSIDERING the results of the ICCAT *Ad Hoc* Working Group on Measures to Combat IUU Fishing, which was held in Tokyo from 27 to 31 May 2002,

CONSCIOUS of the urgent need to address the issue of large-scale fishing vessels as well as other vessels conducting IUU fishing and fishing related activities in support of IUU fishing,

NOTING that the situation must be addressed in the light of all relevant international fisheries instruments and in accordance with the relevant rights and obligations established in the World Trade Organization (WTO) Agreement, and

DESIRING to streamline and improve IUU listing procedures and requirements in previous ICCAT recommendations and resolutions.

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF THE ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

Definition of IUU activities

1. For the purposes of this Recommendation, vessels flying the flag of a Contracting Party or a Cooperating non-Contracting Party, Entity or Fishing Entity (hereinafter referred to as CPC), or a non-CPC, are presumed to have carried out illegal, unreported and unregulated (IUU) fishing activities in the ICCAT Convention area, *inter alia*, when a CPC presents evidence that such vessels:
 - a) Harvest tuna and tuna-like species in the Convention area and are not registered on the relevant ICCAT list of vessels authorized to fish for tuna and tuna-like species in the ICCAT Convention area;
 - b) Harvest tuna and tuna-like species in the Convention area, and the vessel's flag State is without quota, catch limit or effort allocation under relevant ICCAT conservation and management measures;
 - c) Do not record or report their catches made in the ICCAT Convention area, or make false reports;
 - d) Take or land undersized fish in contravention of ICCAT conservation measures;
 - e) Fish during closed fishing periods or in closed areas in contravention of ICCAT conservation measures;
 - f) Use prohibited fishing gear or fishing methods in contravention of ICCAT conservation measures;

- g) Transship or participate in other operations, such as re-supplying or re-fueling, with vessels included in the IUU vessels list;
- h) Harvest tuna or tuna-like species in the waters under the national jurisdiction of the coastal States in the Convention area without authorization or infringe on that State's laws and regulations, without prejudice to the sovereign rights of coastal States to take measures against such vessels;
- i) Are without nationality and harvest tuna or tuna-like species in the ICCAT Convention area, and/or
- j) Engage in fishing or fishing related activities contrary to any other ICCAT conservation and management measures.

Information on alleged IUU activities

2. CPCs shall transmit every year to the Executive Secretary, at least 70 days before the annual meeting, information on any vessels presumed to be carrying out IUU fishing activities within the last three years, accompanied by all available supporting evidence concerning the presumption of IUU fishing activity and vessel identification information.

This information on vessels shall be based on the information collected by CPCs, *inter alia*, under relevant ICCAT recommendations and resolutions. CPCs shall submit available information on the vessel and the IUU fishing activity in the format attached as **Addendum 1** of this Recommendation.

Upon receipt of such information, the Executive Secretary shall promptly send this information to all CPCs and to any non-CPC concerned and request that, where appropriate, CPCs and any such non-CPC investigate the alleged IUU activity and/or monitor the vessels.

The Executive Secretary shall request the flag State to notify the owner of the vessel regarding the CPC's submission of the vessel for its inclusion in the Draft IUU List and of the consequences that may result if they are included on the Final IUU Vessel List adopted by the Commission.

Development of Draft IUU List

3. On the basis of the information received pursuant to paragraph 2, the ICCAT Executive Secretary shall draw up a Draft IUU List in conformity with **Addendum 2**. The ICCAT Executive Secretary shall transmit the Draft IUU List, together with all the information provided, to all CPCs, and to non-CPCs whose vessels are included on these lists, at least 55 days before the annual meeting. CPCs and non-CPCs shall transmit any comments, including any evidence showing that the listed vessels did not engage in any activity described in paragraph 1, or any actions taken to address such activity, at least 30 days before the annual meeting of ICCAT.

Upon receipt of the Draft IUU List, CPCs shall closely monitor the vessels on that List and shall promptly submit to the Secretariat any information they may have related to the vessels' activities and possible changes of name, flag, call sign or registered owner.

Development and adoption of Final IUU List

4. Two weeks in advance of the ICCAT annual meeting, the Executive Secretary shall recirculate to the CPCs and non-CPCs concerned the Draft IUU List, all information received pursuant to paragraphs 2 and 3, and any other information obtained by the Executive Secretary.
5. CPCs may at any time, and preferably before the annual meeting, submit to the Executive Secretary any additional information that might be relevant for the establishment of the Final ICCAT IUU Vessel List. The ICCAT Executive Secretary shall promptly circulate any such additional information to all CPCs and to the non-CPCs concerned.
6. The Permanent Working Group for the Improvement of ICCAT Statistics and Conservation Measures (PWG) shall examine, each year, the Draft IUU List, as well as the information referred to in paragraphs 2, 3, 4, and 5. The results of this examination may, if necessary, be referred to the Conservation and Management Measures Compliance Committee.

The PWG shall propose to remove a vessel from the Draft IUU List if it determines that:

- a) The vessel did not take part in any IUU fishing activities described in paragraph 1, or
 - b)
 - i) The flag CPC or non-CPC has adopted measures so that this vessel conforms with ICCAT conservation measures, and
 - ii) The flag CPC or non-CPC has and will continue to assume effectively its responsibilities with respect to this vessel in particular as regards the monitoring and control of the fishing activities executed by this vessel in the ICCAT Convention area, and
 - iii) Effective action has been taken in response to the IUU fishing activities in question, including, *inter alia*, prosecution and imposition of sanctions of adequate severity, or
 - c) The vessel has changed ownership and that the new owner can establish the previous owner no longer has any legal, financial or real interests in the vessel or exercises control over it and that the new owner has not participated in IUU fishing.
7. Following the examination referred to in paragraph 6, at each ICCAT annual meeting, the PWG shall develop a Proposed IUU Vessel List, noting which, if any, vessels are proposed for removal from the ICCAT IUU Vessel List adopted at the previous annual meeting and the reasons therefor, and submit it to the Commission for adoption as the Final ICCAT IUU Vessel List.

Actions following adoption of Final IUU Vessel List

8. On adoption of the Final IUU Vessel List, the Executive Secretary shall request CPCs and non-CPCs whose vessels appear on the Final ICCAT IUU Vessel List to:
- notify the owner of the vessel identified on the Final IUU Vessel List of its inclusion on the list and the consequences which result from being included on the list, as referred to in paragraph 9;
 - take all the necessary measures to eliminate these IUU fishing activities, including if necessary, the withdrawal of the registration or of the fishing licenses of these vessels, and to inform the Commission of the measures taken in this respect.
9. CPCs shall take all necessary measures, under their applicable legislation to:
- ensure that the fishing vessels, support vessels, refuelling vessels, the mother-ships and the cargo vessels flying their flag do not assist in any way, engage in fishing processing operations or participate in any transshipment or joint fishing operations with vessels included on the IUU Vessels List;
 - ensure that IUU vessels are not authorized to land, tranship re-fuel, re-supply, or engage in other commercial transactions; prohibit the entry into their ports of vessels included on the IUU list, except in case of *force majeure*, unless vessels are allowed entry into port for the exclusive purpose of inspection and effective enforcement action;
 - ensure the inspection of vessels on the IUU list, if such vessels are otherwise found in their ports, to the extent practicable;
 - prohibit the chartering of a vessel included on the IUU vessels list;
 - refuse to grant their flag to vessels included in the IUU list, except if the vessel has changed owner and the new owner has provided sufficient evidence demonstrating the previous owner or operator has no further legal, beneficial or financial interest in, or control of, the vessel, or having taken into account all relevant facts, the flag CPC determines that granting the vessel its flag will not result in IUU fishing;
 - prohibit the import, or landing and/or transshipment, of tuna and tuna-like species from vessels included in the IUU list;

- encourage the importers, transporters and other sectors concerned, to refrain from transaction and transshipment of tuna and tuna-like species caught by vessels included in the IUU list;
 - collect and exchange with other CPCs any appropriate information with the aim of searching for, controlling and preventing false documentation (including import/export certificates) regarding tunas and tuna-like species from vessels included in the IUU list; and
 - monitor vessels included in the IUU list and promptly submit any information to the Executive Secretary related to their activities and possible changes of name, flag, call sign and/or registered owner.
10. The Executive Secretary will ensure publicity of the Final IUU Vessel List adopted by ICCAT pursuant to paragraph 8, in a manner consistent with any applicable confidentiality requirements, and through electronic means, by placing it, along with any additional supporting information on the vessels and IUU activities, on a dedicated portion of the ICCAT website, to be updated as information changes or additional relevant information becomes available. Furthermore, the ICCAT Executive Secretary will transmit the Final IUU Vessel List and supporting information on newly added vessels promptly to other RFMOs for the purposes of enhanced co-operation between ICCAT and these organizations in order to prevent, deter and eliminate IUU fishing.

Intersessional modification of ICCAT's Final IUU Vessel List

Incorporation of IUU Vessel Lists of other RFMOs

11. Upon receipt of the final IUU vessel list established by another RFMO¹ and supporting information considered by that RFMO, and any other information regarding the listing determination, such as relevant sections of the RFMO's meeting report, the Executive Secretary shall circulate this information to the CPCs and to any relevant non-CPC. Vessels that have been included on the respective lists shall be included on the Final ICCAT IUU Vessel List, unless any Contracting Party objects to the inclusion on the Final ICCAT IUU List within 30 days of the date of transmittal by the Executive Secretary on the grounds that:
- a) there is satisfactory information to establish that:
 - i. The vessel did not engage in the IUU fishing activities identified by the other RFMO, or
 - ii. That effective action has been taken in response to the IUU fishing activities in question, including, *inter alia*, prosecution, and imposition of sanctions of adequate severity that have been complied with,
 - b) There is insufficient supporting information and other information regarding the listing determination to establish that none of the conditions in sub-paragraph 11.a) above have been met.
- or
- c) In the case of vessels listed by a non-tuna RFMO, there is an insufficient nexus to the conservation and management of ICCAT species to warrant cross-listing.

In the event of an objection to a vessel listed by another RFMO being included on the Final ICCAT IUU Vessel List pursuant to this paragraph, such vessel shall be placed on the Draft IUU Vessel List and considered by the PWG pursuant to paragraph 6.

¹ The Commission for the Conservation of Antarctic Marine Living Resources (CCAMLR), the Commission for the Conservation of Southern Bluefin Tuna (CCSBT), the General Fisheries Commission for the Mediterranean (GFCM), the Indian Ocean Tuna Commission (IOTC), the Inter-American Tropical Tuna Commission (IATTC), the North Atlantic Fisheries Organization (NAFO), the North-East Atlantic Fisheries Commission (NEAFC), the South East Atlantic Fisheries Organization (SEAFO), and the Western and Central Pacific Fisheries Commission (WCPFC).

12. The ICCAT Executive Secretary shall implement paragraph 11 in accordance with the following procedures:
- a) The ICCAT Secretariat shall maintain appropriate contacts with the Secretariats of other RFMOs in order to obtain copies of these RFMOs' IUU vessel lists in a timely manner upon adoption or amendment, including by requesting a copy of these RFMOs' IUU vessel lists annually upon conclusion of the RFMO's meeting at which its final IUU list is adopted.
 - b) As soon as possible after adoption or amendment of an IUU vessel list by another RFMO, the ICCAT Secretariat shall collect all supporting documentation available from that RFMO regarding the listing/delisting determinations.
 - c) Once the ICCAT Secretariat has received/collected the information outlined in paragraphs (a) and (b), it shall, consistent with paragraph 11 of this Recommendation, promptly circulate the other RFMO's IUU vessel list, supporting information, and any other relevant information regarding the listing determination to all CPCs. The requisite circular shall clearly state the reason the information is being provided, explain that ICCAT Contracting Parties have 30 days from the date of the circular to object to the inclusion of the vessels on the ICCAT IUU vessel list, and that absent any such objection the vessel will be added at the expiration of the 30 day period to the Final IUU Vessel List.
 - d) The ICCAT Secretariat shall add any new vessels contained in the other RFMOs' IUU vessel list to the Final ICCAT IUU Vessel List at the end of the 30-day period provided no objection to such inclusion is received from a Contracting Party pursuant to paragraph 11 of this Recommendation.
 - e) Where a vessel has been included on the ICCAT Final IUU Vessel List solely due to its inclusion on another RFMO's IUU Vessel List, the ICCAT Secretariat shall immediately remove that vessel from the Final ICCAT IUU Vessel List when it has been deleted by the RFMO that originally listed it.
 - f) Upon the addition or deletion of vessels from the Final ICCAT IUU Vessel List pursuant to paragraph 11 or 12(e) of this Recommendation, the ICCAT Secretariat shall promptly circulate the Final ICCAT IUU Vessel List as amended to all ICCAT CPCs and non-CPCs concerned.

Intersessional removal from the Final IUU Vessel List

13. A CPC or non-CPC whose vessel appears on the Final IUU Vessel List that wishes to request the removal of its vessel from the Final IUU Vessel List during the intersessional period shall submit this request to the ICCAT Executive Secretary no later than 15 July of each year accompanied by information to demonstrate that it meets one or more of the grounds for removal specified in paragraph 6.
14. On the basis of the information received by the 15 July deadline, the Executive Secretary will transmit the removal request, with all supporting information to the Contracting Parties within 15 days following receipt of the removal request.
15. The Contracting Parties shall examine the request to remove the vessel and reply within 30 days following the notification by the Executive Secretary if they object to the removal of the vessel from the Final IUU Vessel List.
16. The result of the examination of the request by mail will be checked by the Executive Secretary at the end of the 30-day period following the date of the notification by the Executive Secretary referred to in paragraph 15.

If a Contracting Party objects to the removal request, the Executive Secretary shall maintain the vessel on the Final ICCAT IUU List and the removal request shall be forwarded to the PWG for consideration at the annual meeting, if requested by the CPC seeking intersessional removal. If no Contracting Party objects to request to remove the vessel, the Executive Secretary shall promptly remove the vessel concerned from the Final ICCAT IUU Vessel List, as published on the ICCAT website.

17. The Executive Secretary shall promptly communicate the result of the delisting process to all CPCs as well as non-CPCs concerned. Moreover, the ICCAT Executive Secretary shall forward the decision to remove the vessel to other RFMOs.

General dispositions

18. This Recommendation shall apply *mutatis mutandis* to fish processing vessels, tug and towing vessels, vessels engaged in transshipment, and support vessels, and other vessels engaged in fishing related activities managed by ICCAT.
19. This Recommendation repeals and replaces the *Recommendation by ICCAT Further Amending Recommendation 09-10 Establishing a List of Vessels Presumed to Have Carried Out Illegal, Unreported and Unregulated Fishing Activities in the ICCAT Convention Area* (Rec. 11-18) and the *Resolution Establishing Guidelines for the Cross-Listing of Vessels Contained on IUU Vessel Lists of Other Tuna RFMOs on the ICCAT IUU Vessel List in Accordance with Recommendation 11-18* (Res. 14-11).

ICCAT reporting form for IUU activity

Pursuant to paragraph 2 of this Recommendation, attached are details of alleged IUU activity and available vessel information.

A. Details of vessel

(Please detail information on the vessel and the incidents(s) in the format below, where such information is applicable and available)

Item	21.	22. Available Information
3. A	Name of vessel and previous names	25.
6. B	Flag and previous flags	28.
9. C	Owner and previous owners, including beneficial owner	31.
2. D	Owner's place of registration	34.
5. E	Operator and previous operators	37.
8. F	Call sign and previous call signs	40.
1. G	IMO number	43.
4. H	Unique Vessel Identifier (UVI), or, if not applicable, any other vessel identifier	46.
7. I	Length overall	49.
10. J	Photographs	52.
3. K	Date first included on the ICCAT IUU list	55.
6. L	Date of alleged IUU fishing activities	58.
9. M	Position of alleged IUU fishing activities	61.
2. N	Summary of alleged IUU activities (see also section B)	64.
5. O	Summary of any actions known to have been taken in response to the activities	67.
8. P	Outcome of any actions taken	70.
1. Q	Other relevant information, as appropriate (e.g., possible false flags or vessel names used, <i>modus operandi</i> , etc.)	73.

B. Details of alleged IUU activity

(Indicate with an "X" the applicable elements of the activity and provide relevant details including date, location, source of information. Extra information can be provided in an attachment if necessary.)

Rec. XX para. xx	Vessel fished for species covered by the ICCAT Convention within the Convention area and:	6. Indicate and provide details
77. a	Harvest tunas and tuna-like species in the Convention area and are not registered on the relevant ICCAT list of vessels authorized to fish for tuna and tuna-like species in the ICCAT Convention area	80.
81. b	Harvest tuna and tuna-like species in the Convention area, and the vessel's whose flag State is without quotas, catch limit or effort allocation under relevant ICCAT conservation and management measures	84.
85. c	Do not record or report their catches made in the ICCAT Convention area, or make false reports	87.
88. d	Take or land undersized fish in contravention of ICCAT conservation measures	90.
91. e	Fish during closed fishing periods or in closed areas in contravention of ICCAT conservation measures	93.
94. f	Use prohibited fishing gear or fishing methods in contravention of ICCAT conservation measures	96.
97. g	Transship with, or participate in other joint operations, such as re-supplying or re-fueling, with vessels included in the IUU vessels list	99.
100. h	Harvest tuna or tuna-like species in the waters under the national jurisdiction of the coastal States in the Convention area without authorization and/or infringes on that State's laws and regulations, without prejudice to the sovereign rights of coastal States to take measures against such vessels	103.
104. i	Are without nationality and harvest tunas or tuna-like species in the ICCAT Convention area	106.
107. j	Engage in fishing or fishing related activities contrary to any other ICCAT conservation and management measures	110.

Information to be included in all IUU Lists (Draft and Final)

The Draft IUU List shall include information on vessels listed on ICCAT's Final IUU List as well as information on new vessels submitted by CPCs for listing. The Draft IUU List shall contain the following details, where applicable and available:

- i) Name of vessel and previous name(s);
- ii) Flag of vessel and previous flag(s);
- iii) Name and address of owner of vessel and previous owners, including beneficial owners, and owners' place of registration;
- iv) Operator of vessel and previous operator(s);
- v) Call sign of vessel and previous call sign;
- vi) Lloyds/IMO number;
- vii) Photographs of the vessel;
- viii) Date vessel was first included on the IUU List;
- ix) Summary of activities which justify inclusion of the vessel on the List, together with references to all relevant documents informing of and evidencing those activities;
- x) Other relevant information.

**RECOMMENDATION BY ICCAT ON PORT STATE MEASURES TO PREVENT, DETER
AND ELIMINATE ILLEGAL, UNREPORTED AND UNREGULATED FISHING**

(Entered into force: **21 June 2019**)

RECALLING the 2009 FAO Agreement on Port State Measures to Prevent, Deter, and Eliminate Illegal, Unreported and Unregulated (IUU) Fishing;

RECOGNIZING that many Contracting Parties, Cooperating non-Contracting Parties, Entities or Fishing Entities (hereinafter referred to as CPCs) currently have port inspection schemes in place;

ACKNOWLEDGING that port State measures provide a powerful and cost effective means of preventing, deterring, and eliminating IUU fishing;

RECALLING Recommendation by ICCAT for a Revised ICCAT Port Inspection Scheme (Rec. 97-10);

ALSO RECALLING the Recommendation by ICCAT further Amending the Recommendation by ICCAT to Establish a List of Vessels Presumed to have carried out Illegal, Unreported and Unregulated Fishing Activities in the ICCAT Convention Area (Rec. 11-18) and the *Recommendation by ICCAT Concerning the Ban on Landings and Transshipments of Vessels from non-Contracting Parties Identified as Having Committed a Serious Infringement* (Rec. 98-11);

EMPHASIZING the importance of ensuring that the challenges faced by developing CPCs in the implementation of port State measures are adequately addressed and maximizing the use of funding established under the *Recommendation by ICCAT to Support Effective Implementation of Recommendation 12-07 by ICCAT for an ICCAT Scheme for Minimum Standards for Inspection in Port* (Rec. 14-08) in that regard;

AWARE of the ongoing work of the Port Inspection Expert Group for Capacity Building and Assistance established under the *Recommendation by ICCAT to Clarify and Supplement the Process for Seeking Capacity Building Assistance Pursuant to ICCAT Recommendation 14-08* (Rec. 16-18); and

DESIRING to strengthen ICCAT's monitoring, control, and surveillance regime to promote implementation of and compliance with conservation and management measures;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

Definitions

1. For the purposes of this Recommendation:

- a) "Fishing" means searching for, attracting, locating, catching, taking or harvesting fish or any activity that can be reasonably expected to result in the attracting, locating, catching, taking or harvesting of fish;
- b) "Fishing related activities" means any operation in support of, or in preparation for, fishing, including the landing, packaging, processing, transshipping or transporting of fish that have not previously been landed at a port, as well as the provisioning of personnel, fuel, gear and other supplies at sea;
- c) "Fishing vessel" refers to any vessel, ship of another type or boat, used for, equipped to be used for, or intended to be used for, fishing or fishing related activities; and
- d) "Port" includes offshore terminals and marine areas of the port, and other installations for landing, transshipping, packaging, processing, refueling or resupplying.

Scope

2. Nothing in this Recommendation shall prejudice the rights, jurisdiction and duties of CPCs under international law. In particular, nothing in this Recommendation shall be construed to affect the exercise by CPCs of their authority over their ports in accordance with international law, including their right to deny entry thereto as well as to adopt more stringent measures than those provided for in this Recommendation.

This Recommendation shall be interpreted and applied in conformity with international law, taking into account applicable international rules and standards, including those established through the International Maritime Organization, as well as other international instruments.

CPCs shall fulfill in good faith the obligations assumed pursuant to this Recommendation and shall exercise the rights recognized herein in a manner that would not constitute an abuse of right.

3. With a view to monitor compliance with ICCAT conservation and management measures, each CPC, in its capacity as a port CPC, shall apply this Recommendation for an effective scheme of port inspections in respect of foreign fishing vessels carrying ICCAT-managed species and/or fish products originating from such species that have not been previously landed, hereinafter referred to as "foreign fishing vessels".
4. A CPC may, in its capacity as a port CPC, decide not to apply this Recommendation to foreign fishing vessels chartered by its nationals operating under its authority and returning to its port. Such chartered fishing vessels shall be subject to measures by the chartering CPC which are as effective as measures applied in relation to vessels entitled to fly its flag.
5. Without prejudice to specifically applicable provisions of other ICCAT Recommendations, and except as otherwise provided in this Recommendation, this Recommendation shall apply to foreign fishing vessels equal to or greater than 12 meters in length overall.
6. Each CPC shall subject foreign fishing vessels below 12 meters length overall, foreign fishing vessels operating under charter as referred to under paragraph 4, and fishing vessels entitled to fly its flag to measures that are at least as effective in combating IUU fishing as measures applied to vessels referred to in paragraph 3.
7. CPCs shall take necessary action to inform fishing vessels entitled to fly their flag of this and other relevant ICCAT conservation and management measures.

Points of Contact

8. Each CPC that grants access to its ports to foreign fishing vessels shall designate a point of contact for the purposes of receiving notifications pursuant to paragraph 13 of this Recommendation. Each CPC shall designate a point of contact for the purpose of receiving inspection reports pursuant to paragraph 35(b) of this Recommendation. Each CPC shall transmit the name and contact information for its points of contact to the ICCAT Secretariat no later than 30 days following the entry into force of this Recommendation. Any subsequent changes shall be notified to the ICCAT Secretariat at least 14 days before such changes take effect. The ICCAT Secretariat shall promptly notify CPCs of any such change.
9. The ICCAT Secretariat shall establish and maintain a register of points of contact based on the lists submitted by the CPCs. The register and any subsequent changes shall be published promptly on the ICCAT website.

Designated ports

10. Each CPC that grants access to its ports to foreign fishing vessels shall:
 - a) Designate its ports to which foreign fishing vessels may request entry pursuant to this Recommendation;

- b) Ensure that it has sufficient capacity to conduct inspections in every designated port pursuant to this Recommendation;
 - c) Provide to the ICCAT Secretariat within 30 days from the date of entry into force of this Recommendation a list of designated ports. Any subsequent changes to this list shall be notified to the ICCAT Secretariat at least 14 days before the change takes effect.
11. The ICCAT Secretariat shall establish and maintain a register of designated ports based on the lists submitted by the port CPCs. The register and any subsequent change shall be published promptly on the ICCAT web site.
 12. Each CPC that does not grant access to its ports to foreign vessels shall so indicate in its Annual Report submitted under Ref. 12-13. Should it subsequently decide to grant access to its ports to foreign fishing vessels, it shall submit the information required under paragraphs 8 and 10(c) to the Secretariat at least 14 days before the change takes effect.

Advance request for port entry

13. Each port CPC that grants access to its ports to foreign fishing vessels shall require foreign fishing vessels seeking to enter its ports to provide the following information at least 72 hours before the estimated time of arrival at the port:
 - a) Vessel identification (External identification; Name; Flag State; ICCAT Record No., if any; IMO No., if any; and IRCS);
 - b) Name of the designated port, as referred to in the ICCAT register, to which it seeks entry and the purpose of the port call (e.g., resupplying, landing or transshipment);
 - c) Fishing authorization or, where appropriate, any other authorization held by the vessel to support fishing operations on ICCAT species and/or fish products originating from such species, or to transship related fishery products;
 - d) Estimated date and time of arrival in port;
 - e) The estimated quantities in kilograms of each ICCAT species and/or fish products originating from such species held on board, with associated catch areas. If no ICCAT species and/or fish products originating from such species are held on board, a report indicating that (i.e., a “nil” report) shall be transmitted;
 - f) The estimated quantities for each ICCAT species and/or fish products originating from such species in kilograms to be landed or transshipped, with associated catch areas.

The port CPC may also request other information as it may require to determine whether the vessel has engaged in IUU fishing, or related activities.

14. Each CPC shall require any vessels flying its flag that is seeking entry to, or is in, the port of another CPC to:
 - a) comply with obligations implemented by that port CPC pursuant to this Recommendation including obligations for the Master to provide information under paragraph 13; and
 - b) cooperate with the port CPC in inspections carried out pursuant to this Recommendation.
15. The port CPC may prescribe a longer or shorter advance notification period than specified in paragraph 13, taking into account, *inter alia*, the type of fishery products landed in its ports, the distance between the fishing grounds and its ports, and its resources and procedures for considering and verifying the information. In such a case, the port CPC shall inform the ICCAT Secretariat of its advance notification period, and the reasons therefor, within 30 days from the date of entry into force of this Recommendation. Any subsequent changes shall be notified to the ICCAT Secretariat at least 14 days before the change takes effect.

Port entry, authorization or denial

16. After receiving the relevant information pursuant to paragraph 13, as well as such other information as it may require to determine whether the foreign fishing vessel requesting entry into its port has engaged in IUU fishing, the port CPC shall decide whether to authorize or deny the entry of the vessel into its port.
17. Without prejudice to paragraph 19, when a CPC has sufficient proof that a foreign fishing vessel seeking entry to its port has engaged in IUU fishing or fishing related activities in support of such fishing the CPC shall deny that vessel entry into its port and shall communicate this decision to the master of the vessel or its representative.
18. In the event that the port CPC decides to deny the entry of the vessel into its port, it shall so notify the vessel or its representative and shall also communicate the decision to the flag State of the vessel, to the ICCAT Secretariat for posting on the secure part of the ICCAT website and, as appropriate and to the extent possible, to relevant coastal States, regional fisheries management organizations or arrangements (RFMO/As) and other inter-governmental organizations (IGOs).
19. Notwithstanding paragraph 17, a port CPC may allow entry to its port of a vessel referred to in that paragraph exclusively for the purpose of inspecting it and taking other appropriate actions in accordance with international law that are at least as effective as denial of port entry in preventing, deterring and eliminating IUU fishing and fishing related activities in support of such fishing.
20. Where a vessel referred to in paragraph 17 is in port for any reason, the port CPC shall deny such vessel the use of its ports for landing, transshipping, packaging, processing and for other port services including, *inter alia*, refueling and resupplying, maintenance and dry docking. Paragraph 22 applies *mutatis mutandis* in such cases. Denial of such use of ports shall be in conformity with international law.

Force majeure or distress

21. Nothing in this Recommendation affects the entry of foreign fishing vessels to port in accordance with international law for reasons of Force Majeure or distress, or prevents a port CPC from permitting entry into port to a vessel exclusively for the purpose of rendering assistance to persons, ships or aircraft in danger or distress.

Use of ports

22. Where a foreign fishing vessel has entered one of its ports, the port State CPC shall deny, pursuant to its laws and regulations and consistent with international law, including this Recommendation, that vessel the use of the port for landing, transshipping, packaging, or processing fish that have not been previously landed and for other port services, including, *inter alia*, refueling and resupplying, maintenance and dry docking, if:
 - a) The port CPC finds that the vessel does not have a valid and applicable authorization to engage in fishing and fishing related activities in the ICCAT Convention area;
 - b) The port CPC receives clear evidence that the fish on board was taken in contravention of ICCAT conservation and management measures;
 - c) The flag CPC does not confirm within a reasonable period of time, on the request of the port CPC, that the fish on board was taken in accordance with relevant ICCAT conservation and management measures; or
 - d) The port CPC has reasonable grounds to believe that the vessel otherwise engaged in IUU fishing, or fishing related activities in support of such fishing, in the ICCAT Convention area, including in support of a vessel included in ICCAT's *List of Vessels Presumed to Have Carried Out IUU Fishing Activities in the ICCAT Convention Area and other areas*, unless the vessel can establish:

- i. that it was acting in a manner consistent with relevant ICCAT conservation and management measures,
 - ii. in the case of provision of personnel, fuel, gear and other supplies at sea to a vessel on ICCAT's IUU list, that the vessel that was provisioned was not, at the time of provisioning, included in the ICCAT IUU list.
- 23. Notwithstanding paragraph 22, the port CPC shall not deny a vessel referred to in that paragraph the use of port services:
 - a) essential to the safety or health of the crew or the safety of the vessel, provided these needs are duly proven, or
 - b) where appropriate, for the scrapping of the vessel.
- 24. Where a port CPC has denied a vessel the use of its ports, it shall promptly notify the vessel or its representative; the flag State of the vessel; the ICCAT Secretariat, for posting on the secure part of the ICCAT website, and, as appropriate and to the extent possible, relevant coastal States, RFMO/As, and other IGOs.
- 25. A port CPC shall withdraw its denial of the use of its port only if the port CPC is satisfied that there is sufficient proof to show that the grounds on which the use was denied were inadequate or erroneous, or that such grounds no longer apply.
- 26. Where a port CPC has withdrawn its denial of the use of its port, it shall promptly notify those to whom a notification was issued pursuant to paragraph 24.
- 27. In case the port CPC decides to authorize the entry of the vessel into its port in accordance with paragraph 19, the provisions set forth in the following section on port inspection shall apply.

Port inspections

- 28. Inspections shall be carried out by properly qualified inspectors of a competent authority of the port CPC.
- 29. Each year CPCs shall inspect at least 5% of landing and transshipment operations in their designated ports as are made by foreign fishing vessels.
- 30. In determining which foreign fishing vessels to inspect, the port CPC shall, in accordance with its domestic law, give priority to:
 - a) a vessel that has failed to provide complete and accurate information as required in paragraph 13;
 - b) a vessel that has been denied port entry by another CPC in accordance with this Recommendation;
 - c) requests from other CPCs or relevant RFMO/As that a particular vessel be inspected, particularly where such requests are supported by evidence of IUU fishing, or fishing related activities in support of such fishing, by the vessel in question;
 - d) other vessels for which clear grounds exist for suspecting that a vessel has engaged in IUU fishing or fishing related activities in support of such fishing, including information derived from inspection reports submitted under this scheme and information from other RFMO/As.

Inspection procedure

31. Each inspector shall carry a document of identity issued by the port CPC. In accordance with domestic laws, port CPC inspectors shall examine all relevant areas, decks and spaces of the fishing vessel, catches processed or otherwise, nets or other fishing gears, equipment both technical and electronic, records of transmissions and any documents, including fishing logbooks, Cargo Manifests and Mates Receipts and landing declarations in case of transshipment, relevant to verifying compliance with the ICCAT conservation and management measures. They may also question the Master, crew members, or any other person on the vessel being inspected. They may take copies of any documents they consider relevant.
32. In case the vessel is landing or transshipping ICCAT species, inspections shall involve the monitoring of the landing or transshipment and include a cross-check between the quantities by species notified in the prior notification message in paragraph 13 above and held on board. Inspections shall be carried out in such a way that the fishing vessel suffers the minimum interference and inconvenience, and that degradation of the quality of the catch is avoided, to the extent practicable.
33. On completion of the inspection, the port CPC inspector shall provide the Master of the foreign fishing vessel with the inspection report containing the findings of the inspection, including possible subsequent measures that could be taken by the port CPC, to be signed by the inspector and the master. The master's signature on the report shall serve only as acknowledgment of the receipt of a copy of the report. The Master shall be given the opportunity to add any comments or objection to the report, and to contact the competent authority of the flag State, in particular where the master has serious difficulties in understanding the content of the report. A copy of the report shall be provided to the Master.

Where the inspection includes a finding of potential non-compliance, the port CPC shall transmit a copy of the inspection report to the ICCAT Secretariat no later than 14 days following the date of completion of the inspection. If the inspection report cannot be transmitted within 14 days, the port CPC should notify the ICCAT Secretariat within the 14 day time period the reasons for the delay and when the report will be submitted.

In order to facilitate risk analysis by other CPCs, port CPCs are encouraged to transmit inspection reports that do not include findings of potential non-compliance as practicable.

34. Flag CPCs shall take necessary action to ensure that Masters facilitate safe access to the fishing vessel, cooperate with the competent authorities of the port CPC, facilitate the inspection and communication and do not obstruct, intimidate or interfere, or cause other persons to obstruct, intimidate or interfere with port CPC inspectors in the execution of their duties.

Procedure in the event of apparent infringements

35. If the information collected during the inspection provides evidence that a foreign fishing vessel has committed an infringement of the ICCAT conservation and management measures, the inspector shall:
 - a) record the infringement in the inspection report;
 - b) transmit the inspection report to the port CPC competent authority, which shall promptly forward a copy to the ICCAT Secretariat and to the flag State point of contact and, as appropriate, the relevant coastal State;
 - c) to the extent practicable, ensure safekeeping of the evidence pertaining to such infringement, including original documents where appropriate. If the port CPC refers the infringement to the flag State for further action, the port CPC shall promptly provide the evidence collected to the flag State.
36. Nothing in this Recommendation prevents a port CPC from taking actions that are in conformity with international law in addition to those specified in paragraph 38. The port CPC shall promptly notify the action taken to the flag State, the relevant coastal State, as applicable, and the ICCAT Secretariat, which shall promptly publish this information in the secure part of the ICCAT website.

37. Infringements that do not fall within the jurisdiction of the port CPC, and infringements referred to in paragraph 35 for which the port CPC has not taken action, shall be referred to the flag State and, as appropriate, the relevant coastal State. Upon receiving the copy of the inspection report and evidence, the flag CPC shall promptly investigate the infringement and notify the ICCAT Secretariat of the status of the investigation and of any enforcement action that may have been taken within 6 months of such receipt. If the flag CPC cannot notify the ICCAT Secretariat this status report within 6 months of such receipt, the flag CPC should notify the ICCAT Secretariat within the 6 month time period the reasons for the delay and when the status report will be submitted. The ICCAT Secretariat shall promptly publish this information in the secure part of the ICCAT website. CPCs shall include in their Annual Report (Ref. 12-13) information regarding the status of such investigations.
38. Should the inspection provide evidence that the inspected vessel has engaged in IUU activities as referred to in Rec. 18-08, the port CPC shall deny the vessel the use of port in accordance with paragraph 22, promptly report the case to the flag State, and the relevant coastal CPC, as applicable. The port CPC shall also notify as soon as possible the ICCAT Secretariat that the vessel has engaged in IUU fishing or fishing related activities, and provide supporting evidence. The ICCAT Secretariat shall include the vessel in the draft IUU list.

Requirements of developing CPCs

39. CPCs shall give full recognition to the special requirements of developing CPCs in relation to a port inspection scheme consistent with this Recommendation. CPCs shall, either directly or through the ICCAT Secretariat, provide assistance to developing CPCs in order to, *inter alia*:
- a) Develop their capacity including by providing technical assistance and funding to support and strengthen the development and implementation of an effective system of port inspection at national, regional and international levels and to ensure that a disproportionate burden resulting from the implementation of this Recommendation is not unnecessarily transferred to them;
 - b) Facilitate their participation in meetings and/or training programmes of relevant regional and international organizations that promote the effective development and implementation of a system of port inspection, including monitoring, control and surveillance, enforcement and legal proceedings for infractions and dispute settlements pursuant to this Recommendation; and
 - c) Either directly or through the ICCAT Secretariat, assess the special requirements of developing CPCs concerning the implementation of this Recommendation.

General provisions

40. CPCs are encouraged to enter into bilateral or multilateral agreements/arrangements that allow for an inspector exchange program designed to promote cooperation, share information, and educate each party's inspectors on inspection strategies and methodologies which promote compliance with ICCAT conservation and management measures. Information regarding such programs, including a copy of such agreements or arrangements, should be included in Annual Reports of CPCs (Ref. 12-13).
41. Without prejudice to domestic laws of the port CPC, the flag CPC may, in the case of appropriate bilateral or multilateral agreements or arrangements with the port CPC or at the invitation of that CPC, send its own officials to accompany the inspectors of the port CPC and observe or take part in the inspection of its vessel.
42. Flag CPCs shall consider and act on reports of infringements from inspectors of a port CPC on a similar basis as the reports from their own inspectors, in accordance with their domestic laws. CPCs shall cooperate, in accordance with their domestic laws, in order to facilitate judicial or other proceedings arising from inspection reports as set out in this Recommendation.
43. The Commission shall review this Recommendation no later than its 2020 Annual Meeting and consider revisions to improve its effectiveness.
44. The *Recommendation by ICCAT for an ICCAT Scheme of Minimum Standards for Inspection in Port* (Rec. 12-07) is repealed and replaced by this Recommendation.

**RECOMMENDATION BY ICCAT CONCERNING MINIMUM
STANDARDS FOR VESSEL MONITORING SYSTEMS IN THE ICCAT CONVENTION AREA**

(Entered into force: **21 June 2019**)

RECALLING previous recommendations by ICCAT establishing minimum standards for satellite-based vessel monitoring systems (VMS), in particular Recommendation 03-14;

RECOGNIZING the developments in satellite-based VMS, and their utility within ICCAT;

RECOGNIZING the legitimate right of coastal States to monitor the vessels fishing in waters under their jurisdiction;

CONSIDERING that real-time transmission to the Fishing Monitoring Center (FMC) of the coastal State of VMS data of all the vessels (including catching, carrier and support vessels) flying the flag of a CPC authorised to fish ICCAT species facilitates monitoring, control and surveillance by the coastal State to ensure the effective implementation of ICCAT conservation and monitoring measures;

MINDFUL that the SCRS acknowledged in its 2017 report that the higher the frequency of reporting the more useful VMS data are and that a 4-hour frequency of transmission is insufficient to detect fishing activity for many gear types;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION OF ATLANTIC TUNAS (ICCAT)
RECOMMENDS THAT:**

1. Notwithstanding stricter requirements that may apply in specific ICCAT fisheries, each flag Contracting Party, Cooperating non-Contracting Party, Entity or Fishing Entity (hereinafter referred to as CPC) shall implement a Vessel Monitoring System (hereinafter referred to as VMS) for its commercial fishing vessels exceeding 20 meters between perpendiculars or 24 meters length overall (LOA) as well as, beginning no later than 1 January 2020, those above 15 meters LOA authorized to fish in waters beyond jurisdiction of the flag CPC and:
 - a) Require its fishing vessels to be equipped with an autonomous, tamper-evident system that continuously, automatically, and independent of any intervention by the vessel, transmits messages to the FMC of the flag CPC to track the position, course, and speed of a fishing vessel by the flag CPC of that vessel.
 - b) Ensure that the satellite tracking device fitted on board the fishing vessel collects and transmits continuously to the FMC of the flag CPC the following data:
 - i) the vessel's identification;
 - ii) the geographical position of the vessel (longitude, latitude) with a margin of error lower than 500 meters, with a confidence interval of 99%; and
 - iii) the date and time.
 - c) Ensure that the FMC of the flag CPC receives an automatic notification if communication between the FMC and the satellite tracking device is interrupted.
 - d) Ensure, in cooperation with the coastal State, that the position messages transmitted by its vessels while operating in waters under the jurisdiction of that coastal State are also transmitted automatically and in real time to the FMC of the coastal State that has authorized the activity. In implementing this provision, due consideration should be given to minimizing the operational costs, technical difficulties, and administrative burden associated with transmission of these messages.

- d) In order to facilitate the transmission and receipt of position messages, as described in subparagraph 1(d), the FMC of the flag CPC and the FMC of the coastal State shall exchange their contact information and notify each other without delay of any changes to this information. The FMC of the coastal State shall notify the flag CPC FMC of any interruption in the reception of consecutive position messages. The transmission of position messages between the FMC of the flag CPC and that of the coastal State shall be carried out electronically using a secure communication system.
2. Each CPC shall take appropriate measures to ensure that the VMS messages are transmitted and received, as specified in paragraph 1, and use this information to continuously track the position of its vessels.
 3. Each CPC shall ensure that the masters of fishing vessels flying its flag ensure that the satellite tracking devices are permanently and continuously operational and that the information identified in paragraph 1b) is collected and transmitted¹ at least once every hour for purse seine vessels and at least once every two hours for all other vessels². In addition, CPCs shall require that their vessel operators ensure that:
 - a) the satellite tracking device is not tampered with in any way;
 - b) VMS data are not altered in any way;
 - c) the antennae connected to the satellite tracking device is not obstructed in any way;
 - d) the satellite tracking device is hardwired into the fishing vessel and the power supply is not intentionally interrupted in any way; and
 - e) the satellite tracking device is not removed from the vessel except for the purposes of repair or replacement.
 4. In the event of a technical failure or non-operation of the satellite tracking device fitted on board a fishing vessel, the device shall be repaired or replaced within one month from the time of the event, unless the vessel has been removed from the list of authorized LSFVs, where applicable, or for vessels not required to be included on ICCAT's authorized vessel list, the authorization to fish in areas beyond the jurisdiction of the flag CPC no longer applies. The vessel shall not be authorized to commence a fishing trip with a defective satellite tracking device. Furthermore, when a device stops functioning or has a technical failure during a fishing trip, the repair or the replacement shall take place as soon as the vessel enters a port; the fishing vessel shall not be authorized to commence a fishing trip without the satellite tracking device having been repaired or replaced.
 5. Each CPC shall ensure that a fishing vessel with a defective satellite tracking device shall communicate to the FMC, at least daily, reports containing the information in paragraph 1b) by other means of communication (radio, web-based reporting, electronic mail, telefax or telex).
 6. A CPC may allow a vessel to power down its satellite tracking device only if the vessel will not be fishing for an extended period of time (e.g., in dry dock for repairs), and it notifies the competent authorities of its flag CPC in advance.

The satellite tracking device must be re-activated, and collect and transmit at least one report, prior to the vessel leaving port.

7. CPCs are encouraged to extend the application of this Recommendation to their fishing vessels not already covered pursuant to paragraph 1, as appropriate, to ensure the effective monitoring of compliance with ICCAT conservation and management measures.
8. CPCs are encouraged to cooperate, as appropriate and in accordance with their domestic laws, by sharing data reported under paragraph 1b to support Monitoring Control and Surveillance (MCS) activities.

¹ In the event that the connection between the satellite tracking device and the satellite is unavailable, the information identified in paragraph 1b) shall still be collected in accordance with paragraph 3 but may instead be transmitted as soon as the satellite connection becomes available.

² Developing CPCs may choose to apply this polling and transmission requirement (two hours) to their purse seiners targeting small tuna species in the Mediterranean.

9. The Commission shall review this Recommendation no later than 2020 and consider the need for revisions to improve its effectiveness.
10. To inform this review, the SCRS is requested to provide advice on the VMS data that would most assist the SCRS in carrying out its work, including frequency of transmission for the different ICCAT fisheries.
11. This measure repeals and replaces the *Recommendation by ICCAT Amending Recommendation 03-14 by ICCAT Concerning Minimum Standards for the Establishment of a Vessel Monitoring System in the ICCAT Convention Area* (Rec. 14-09).

RECOMMENDATION BY ICCAT ON VESSEL SIGHTINGS

(Entered into force 20 June 2020)

RECOGNIZING the ongoing efforts by ICCAT and its CPCs to combat Illegal, Unreported, and Unregulated fishing for ICCAT species;

AWARE that those efforts will be informed and supported by an effective mechanism for CPCs and their flagged vessels to gather and report information on sightings of foreign-flagged vessels or vessels without nationality that may be operating in the Convention Area in a manner contrary to ICCAT conservation and management measures;

NOTING, therefore, the utility of combining and updating the *Resolution by ICCAT on Compliance with the ICCAT Conservation and Management Measures* (Res. 94-09) and the *Recommendation by ICCAT on Transshipments and Vessel Sightings* (Rec. 97-11);

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

1. Contracting Parties and Cooperating non-Contracting Parties, Entities or Fishing Entities (CPCs) shall collect, through enforcement and surveillance operations conducted by their competent authorities in the Convention area, as much information as feasible when a foreign-flagged vessel or vessel without nationality is sighted as engaged in fishing or fishing related activities (e.g., transshipment) that are presumed to be illegal, unreported, and unregulated, as defined under paragraph 1 of Recommendation 18-08. An indicative list of information to be collected is included in the sighting information sheet (**Annex**), which should be used for transmitting information on vessel sightings to the Executive Secretary as specified below.
2. When a vessel is sighted pursuant to paragraph 1 the sighting CPC shall without undue delay notify and provide any recorded images of the vessel to the appropriate authorities of the flag CPC or flag non-CPC of the sighted vessel, and:
 - a) If the sighted vessel is flagged to a CPC, the flag CPC shall, without undue delay, take appropriate action with respect to the vessel in question. Both the sighting CPC and the flag CPC of the sighted vessel shall provide, as appropriate, information on the sighting to the Executive Secretary, including details of any follow-up actions taken.
 - b) If the sighted vessel is flagged to a non-CPC, is of indeterminate flag, or is without nationality, the sighting CPC shall, without undue delay, provide to the Executive Secretary all appropriate information related to the sighting.
3. When a vessel is sighted pursuant to paragraph 1 and there are reasonable grounds to suspect the vessel is without nationality, a Contracting Party is encouraged to board the vessel to confirm its nationality. If the vessel is confirmed to be without nationality, a competent authority of the Contracting Party is encouraged to inspect the vessel, consistent with international law and, if evidence so warrants, the Contracting Party is encouraged to take such action as may be appropriate, in accordance with international law. Any Contracting Party that conducts a boarding of a vessel operating without nationality shall notify the Executive Secretary without undue delay.
4. CPCs are encouraged, upon the consent of the flag State, to board and inspect vessels of non-CPCs conducting fishing or fishing related activities for tuna and tuna-like species and other species caught in association with these species, in waters of the Convention Area beyond national jurisdiction. Appropriate information collected from such boardings shall be reported to the Executive Secretary. If a CPC concludes, following boarding and inspection under this paragraph, that the non-CPC vessel was not, in fact, undermining ICCAT conservation measures, the vessel shall not be subject to the presumption under paragraph 1 of Rec. 98-11.

5. CPCs should encourage their fishing and support vessels that operate in the Convention Area to collect and report relevant information to their appropriate domestic authorities to support the vessel sighting process set forth in this Recommendation.
6. The Executive Secretary shall promptly forward any information received pursuant to this Recommendation to all CPCs and report it to the Commission for consideration at the next ICCAT annual meeting.
7. CPCs are encouraged to notify the Executive Secretary of their points of contact to facilitate cooperation and other appropriate actions under this recommendation. The Executive Secretary shall publish this information on the ICCAT website.
8. This recommendation replaces and repeals *Resolution by ICCAT on Compliance with the ICCAT Conservation and Management Measures* (Res. 94-09) and the *Recommendation by ICCAT on Transshipments and Vessel Sightings* (Rec. 97-11).

SIGHTING INFORMATION SHEET				
1. Date of Sighting:	Time	Day	Month	Year
2. Position of Vessel Sighted:				
Latitude		Longitude		
3. Name of the Vessel Sighted:				
4. Flag Country:				
5. Port (and Country) of Registry:				
6. Type of Vessel:				
7. International Radio Call Sign:				
8. Registration Number:				
9. ICCAT Serial Number:				
10. IMO Number:				
11. Estimated Length Overall and Gross Tonnage:			m	GT
12. Fishing Gear Description (if applicable):				
Type:		Estimated quantity (units)		
13. Nationality of Captain:		Officer:	Crew:	
14. Vessel Situation (Please check):				
<input type="checkbox"/> Fishing		<input type="checkbox"/> Cruising	<input type="checkbox"/> Drifting	
<input type="checkbox"/> Supplying		<input type="checkbox"/> Transshipping	<input type="checkbox"/> Other (Specify)	
15. Type of Activities of the Vessel Sighted (Please describe):				
16. Description of vessel:				
17. Other Relevant Information:				
18. THE ABOVE INFORMATION WAS COLLECTED BY:				
NAME:		TITLE:		
MEANS OF SIGHTING (including vessel/aircraft name, where appropriate):				
DATE: (Month) (Day) (Year)		SIGNATURE:		

**RECOMMENDATION BY ICCAT ON PROTECTING THE HEALTH AND SAFETY OF
OBSERVERS IN ICCAT'S REGIONAL OBSERVER PROGRAMS**

(Entered into force **20 June 2020**)

UNDERSCORING that safety of life at sea is a longstanding objective of international maritime governance, that observers collect data that are essential to the functions of the Commission, and that the health, safety, and welfare of observers is critical to their ability to perform their duties;

RECALLING the regional observer programs (ROPs) established in the *Recommendation by ICCAT on a Program for Transshipment* (Rec. 16-15) and the *Recommendation by ICCAT amending the Recommendation 18-02 establishing a multi-annual management plan for bluefin tuna in the eastern Atlantic and the Mediterranean* (Rec. 19-04);

CONCERNED that ICCAT recommendations establishing these ROPs do not include requirements that adequately protect the health, safety, and welfare of observers;

ACKNOWLEDGING the need for comprehensive and consistent requirements in ICCAT to protect the health, safety, and welfare of observers, in particular to supply necessary safety equipment and to provide or ensure proper training and to establish emergency procedures with respect to ICCAT ROPs;

RECALLING that the International Convention on Standards of Training, Certification, and Watch keeping for Fishing Vessel Personnel (STCW-F), adopted by the International Maritime Organization (IMO) in 1995, sets forth safety training standards for personnel serving onboard seagoing fishing vessels;

NOTING the commitments in international law, including the provisions of the International Convention on Maritime Search and Rescue, with regard to the development of an international maritime search and rescue plan for the rescue of persons in distress at sea;

NOTING existing contracts between the ICCAT Secretariat and ICCAT ROP observer providers that include observer health and safety requirements as well as associated materials establishing procedures for the implementation of such requirements;

ALSO RECALLING the *Resolution by ICCAT on harmonisation and improved observer safety* (Res. 19-16);

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION OF
ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

The following shall apply to ensure the health, safety, and welfare of observers deployed pursuant to ICCAT ROPs established in the *Recommendation by ICCAT on a Program for Transshipment* (Rec. 16-15) and the *Recommendation by ICCAT amending the Recommendation 18-02 establishing a multi-annual management plan for bluefin tuna in the eastern Atlantic and the Mediterranean* (Rec. 19-04):

1. The observer provider shall provide or ensure observers have received safety training before they are deployed on a vessel for the first time and at appropriate intervals thereafter. Such training program must, at a minimum, meet the International Maritime Organization (IMO) safety training standards.
2. Before deploying an observer on a vessel for a trip, the observer provider shall ensure the observer is issued the following safety equipment:
 - a) an independent two-way satellite communication device suitable for use at sea and a waterproof personal life-saving beacon, which may consist of a single device such as a Satellite Emergency Notification Device, or a combination of an independent two-way satellite-based device, (e.g. an inReach messaging device) and a personal locator beacon (e.g., a ResQ Link device); and
 - b) other safety equipment, such as personal flotation devices (PFDs) and immersion suits, appropriate to the specific fishing operations and activities, including ocean area and distance from shore.

3. The observer provider shall have a designated contact point for deployed observers to use in cases of emergency.
4. The observer provider must have an established procedure for contacting and being contacted by the observer and the vessel, and, if necessary, for contacting the competent authority of the flag CPC or non-CPC. This procedure must provide for regularly scheduled contact with observers to confirm their health, safety, and welfare status and clearly describe the steps that must be taken in the event of various emergencies, including situations where an observer dies, is missing or presumed fallen overboard, suffers from a serious illness or injury that puts his or her health or safety at risk, has been assaulted, intimidated, threatened or harassed while on board a vessel, or if the observer requests to be removed from the vessel prior to the conclusion of the trip.
5. Flag CPCs or non-CPCs shall ensure their vessels that carry observers under an ICCAT ROP are outfitted with appropriate safety equipment for the entirety of each voyage, including the following:
 - a) A life raft of sufficient capacity for all persons onboard and with a certificate of inspection that is valid throughout the observer's deployment;
 - b) Life jackets or survival suits of sufficient number for all persons onboard, and compliant with relevant international standards, such as, where applicable, the Cape Town Agreement; and
 - c) A properly registered Emergency Position Indicating Radio Beacon (EPIRB) and a Search and Rescue Transponder (SART) that will not expire until after the observer deployment ends.

CPCs may choose to exempt their vessels less than 12m in length overall (LOA) and operating within 5 nm of the baseline from the requirement to have an EPIRB.

6. The observer provider shall not deploy an observer on a vessel unless and until the observer is allowed to inspect all vessel safety equipment and document and report its status to the observer provider; observers shall not be deployed on vessels with outstanding safety discrepancies, in particular if the vessel does not meet the requirements of paragraph 5. If, during deployment, the observer provider or flag CPC or non-CPC determines that a serious risk to the health, safety, or welfare of the observer exists, the observer shall be removed from the vessel unless and until the risk is addressed.
7. Flag CPCs and non-CPCs with vessels carrying observers deployed under an ICCAT ROP shall develop and implement an Emergency Action Plan (EAP) to be followed in the event an observer dies, is missing or presumed fallen overboard, suffers from a serious illness or injury that threatens his or her health, safety, or welfare, or has been assaulted, intimidated, threatened or harassed. Such EAPs must include, *inter alia*, the elements in **Annex 1** of this Recommendation.

These EAPs shall be submitted to the Executive Secretary for posting on the ICCAT web site as soon as possible after the entry into force of this recommendation. New or amended EAPs shall be provided to the Executive Secretary for posting when they become available.

8. Beginning on 1 January 2021, vessels flagged to CPCs or non-CPCs that have not submitted EAPs shall not be eligible to carry an observer from an ICCAT ROP. Further, should available information indicate that an EAP is not consistent with the standards set out in **Annex 1**, the Commission may decide that the deployment of an observer on a vessel of the concerned flag CPC or non-CPC shall be delayed until the inconsistency has been sufficiently addressed.
9. The Commission may also decide that a vessel is ineligible to carry an ICCAT regional observer where the flag CPC or non-CPC has previously failed to investigate any reported instances of observer interference, harassment, intimidation, assault, or unsafe working conditions or, where warranted, to take appropriate corrective action, consistent with their domestic law.
10. The observer provider and flag CPCs and non-CPCs with vessels carrying observers deployed under an ICCAT ROP shall submit to the Executive Secretary reports on observer incidents triggering provisions of the EAP, including any corrective action taken by the flag CPC or non-CPC. The Executive Secretary shall transmit such reports to the Commission, consistent with applicable confidentiality rules, for its review at each annual meeting or, where warranted, more frequently.

11. Flag CPCs and non-CPCs shall cooperate to the maximum extent possible with and provide for the participation of, as appropriate and consistent with domestic law, the CPC or non-CPC of the observer in search and rescue operations and investigations of cases where the observer dies, is missing or presumed fallen overboard, suffers from a serious illness or injury that threatens his or her health or safety, or has been assaulted, intimidated, threatened or harassed while on board a vessel.
12. The Executive Secretary shall notify concerned flag CPCs and non-CPCs that a condition of participating in any ICCAT ROP is the development, implementation, and submission of an EAP as described in paragraphs 7 and 8 above.
13. Nothing in this recommendation shall prejudice the exercise of discretion by the observer provider not to deploy an observer on a vessel because of concerns about risk to the observer's health, safety, or welfare.
14. Nothing in this measure shall prejudice the rights of relevant CPCs and non-CPCs to enforce their laws with respect to the safety of observers consistent with international law.
15. This recommendation shall be reviewed three years after its adoption, taking into account any guidance from FAO on standards related to fisheries observer safety as requested by the Joint FAO/IMO/ILO Ad Hoc Working Group on Illegal, Unreported and Unregulated Fishing and Related Matters.

Elements of ROP Emergency Action Plan (EAP)

1. In the event that an ROP observer dies, is missing or presumed fallen overboard, the CPC or non-CPC to which the fishing vessel is flagged shall take necessary measures to require that the fishing vessel:
 - a) immediately ceases all fishing operations;
 - b) immediately notifies the appropriate Maritime Rescue Coordination Center (MRCC), flag CPC or non-CPC, and the observer provider;
 - c) immediately commences search and rescue if the observer is missing or presumed fallen overboard, and searches for at least 72 hours, unless the observer is found sooner, or unless instructed by the flag CPC or non-CPC to continue searching¹;
 - d) immediately alerts other vessels in the vicinity by using all available means of communication;
 - e) cooperates fully in any search and rescue operation;
 - f) whether or not the search is successful, promptly returns to the nearest port for further investigation, as agreed by the flag CPC or non-CPC and the observer provider;
 - g) promptly provides a report on the incident to the observer provider and appropriate flag State authorities; and
 - h) cooperates fully in all official investigations, and preserves any potential evidence and the personal effects and quarters of the deceased or missing observer.

2. In addition, in the event that an ROP observer dies while deployed, the flag CPC or non-CPC shall require that the fishing vessel ensure that the body is well-preserved for the purposes of an autopsy and investigation.

3. In the event that an ROP observer suffers from a serious illness or injury that threatens his or her health or safety, the CPC or non-CPC to which the fishing vessel is flagged shall take necessary measures to require that the fishing vessel:
 - a) immediately ceases fishing operations;
 - b) immediately notifies the flag CPC or non-CPC, observer provider, and relevant MRCC to advise if a medical evacuation is warranted;
 - c) takes all reasonable actions to care for the observer and provide any medical treatment available and possible on board the vessel;
 - d) where necessary and appropriate, including as directed by the observer provider, if not already directed by the flag CPC or non-CPC, facilitates the disembarkation and transport of the observer to a medical facility equipped to provide the required care, as soon as practicable; and
 - e) cooperates fully in any and all official investigations into the cause of the illness or injury.

4. For the purposes of paragraphs 1 through 3, the flag CPC or non-CPC shall ensure that the appropriate MRCC, observer provider, and the Secretariat are immediately notified of the incident, actions taken or underway to address the situation, and any assistance that may be required.

5. In the event that there are reasonable grounds to believe an ROP observer has been assaulted, intimidated, threatened, or harassed such that their health or safety is endangered and the observer or the observer provider indicates to the CPC or non-CPC to which the fishing vessel is flagged that they wish for the observer to be removed from the fishing vessel, the CPC or non-CPC to which the fishing vessel is flagged shall take necessary measures to require that the fishing vessel:
 - a) immediately takes action to preserve the safety of the observer and mitigate and resolve the situation on board;
 - b) notifies the flag CPC or non-CPC and the observer provider of the situation, including the status and location of the observer, as soon as possible;
 - c) facilitates the safe disembarkation of the observer in a manner and place, as agreed by the flag CPC or non-CPC and the observer provider, that facilitates access to any needed medical treatment; and
 - d) cooperates fully in any and all official investigations into the incident.

¹ In the event of force majeure, CPCs and non-CPCs may allow their vessels to cease search and rescue operations before 72 hours have elapsed.

6. In the event that there are reasonable grounds to believe that an ROP observer has been assaulted, intimidated, threatened, or harassed but neither the observer nor the observer provider wishes that the observer be removed from the fishing vessel, the CPC or non-CPC to which the fishing vessel is flagged shall take necessary measures to require that the fishing vessel:
 - a) takes action to preserve the safety of the observer and mitigate and resolve the situation on board as soon as possible;
 - b) notifies the flag CPC or non-CPC and the observer provider of the situation as soon as possible; and
 - c) cooperates fully in all official investigations into the incident.
7. If any of the events in paragraphs 1 through 5 occur, port CPCs or non-CPCs shall facilitate entry of the fishing vessel to allow disembarkation of the ROP observer and, to the extent possible, assist in any investigations if so requested by the flag CPC or non-CPC.
8. In the event that, after disembarkation from a fishing vessel of an ROP observer, an observer provider identifies, such as during the course of debriefing the observer, a possible situation involving assault or harassment of the observer while on board the fishing vessel, the observer provider shall notify, in writing, the flag CPC or non-CPC and the Secretariat.
9. If notified, under paragraph 5b, 6b, or 8, that an observer has been assaulted or harassed, the flag CPC or non-CPC shall
 - a) investigate the event based on the information provided by the observer provider and take any appropriate action in response to the results of the investigation;
 - b) cooperate fully in any investigation conducted by the observer provider, including providing the report to the observer provider and appropriate authorities of the incident; and
 - c) promptly notify the observer provider and the Secretariat of the results of its investigation and any actions taken.
10. CPCs shall also encourage vessels flying their flag to participate, to the greatest extent possible, in any search and rescue operations involving an ROP observer.
11. Where requested, relevant observer providers and CPCs or non-CPCs shall cooperate in each other's investigations, including providing their incident reports for any incidents indicated in paragraphs 1 through 6 to facilitate any investigations as appropriate.

**RECOMMENDATION BY ICCAT ON ABANDONED,
LOST OR OTHERWISE DISCARDED FISHING GEAR**

(Entered into force **20 June 2020**)

RECALLING that the United Nations Sustainable Development Goal 14 target 1 calls for States to prevent and significantly reduce marine pollution of all kinds;

TAKING INTO ACCOUNT that abandoned, lost or otherwise discarded fishing gear (ALDFG) constitute a significant part of marine pollution;

RECOGNIZING that ghost fishing conducted by ALDFG constitutes an unmanaged and unsustainable exploitation of marine resources that leads to undesirable mortality of marine life;

AWARE that retrieving ALDFG will contribute to reducing marine pollution;

CONVINCED that the fishing industry can contribute significantly to reducing the amount of ALDFG;

NOTING ICCAT Recommendation 03-12 which requires CPCs to mark their fishing gears;

FURTHER NOTING that the Food and Agricultural Organization of the United Nations' Committee on Fisheries endorsed Voluntary Guidelines on the Marking of Fishing Gear at its thirty-third session and further work to address ALDFG including the development of a comprehensive global strategy to tackle issues relating to ALDFG;

ALSO AWARE of the need for an obligation for fishermen not only to mark the fishing gear, but also to report it when abandoned, lost or otherwise discarded, as well as to try to retrieve the gear where possible;

ACKNOWLEDGING that retrieving ALDFG without knowing the position of the gear will be challenging;

ALSO ACKNOWLEDGING that to prevent ghost fishing, efforts should be undertaken to retrieve ALDFG;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

1. Each CPC shall ensure that its fishing vessels authorized to fish species managed by ICCAT in the Convention area are prohibited from abandoning and discarding fishing gear except for safety reasons, and taking into account the special requirements of developing CPCs in relation to conservation and management of straddling fish stocks and highly migratory fish stocks and development of fisheries for such stocks, and, in particular, with respect to artisanal and small-scale fisheries.
2. For the purpose of this Recommendation, fishing gear is understood to mean fishing gear that poses a significant risk of ghost fishing when abandoned, lost or discarded in the ICCAT Convention area¹.
3. Each CPC shall ensure that:
 - a) vessels 12 metres and above [fishing](#) for ICCAT species in the ICCAT Convention area, entitled to fly its flag, have equipment² on board to retrieve lost fishing gear; and
 - b) the master of a vessel that has lost fishing gear or part of it shall, to the extent possible, make every reasonable attempt to retrieve it as soon as possible.

¹ The provisions in this Recommendation do not apply to longline gear.

² Equipment used to retrieve ALDFG could be a simple anchor attached to a strong rope or wire, or otherwise as defined in the CPCs' domestic law.

4. If the lost fishing gear cannot be retrieved, the master of the vessel shall notify the flag CPC within 24 hours, or within 24 hours of returning to port when at-sea reporting is not possible, of the following:
 - a) the name and call sign of the vessel;
 - b) the type of lost fishing gear;
 - c) the quantity of fishing gear lost;
 - d) the date and time when the fishing gear was lost;
 - e) the position where the fishing gear was lost; and
 - f) the measures taken by the vessel to retrieve the lost fishing gear.
5. Following retrieval of lost fishing gear, the master of the vessel shall notify the flag CPC within 24 hours, or within 24 hours of returning to port when at-sea reporting is not possible, of the following:
 - a) the name and call sign of the vessel that has retrieved the fishing gear;
 - b) the name and call sign of the vessel that lost the fishing gear (if known);
 - c) the type of fishing gear retrieved;
 - d) the quantity of fishing gear retrieved;
 - e) the date and time when the fishing gear was retrieved; and
 - f) the position where the fishing gear was retrieved.
6. The flag CPC shall, without delay, notify the Executive Secretary of the information referred to in paragraphs 4 and 5. A summary of this information shall also be included in the CPCs' Annual Report to ICCAT.
7. The Executive Secretary shall, without delay, post the information provided by CPCs on the ICCAT secure website.

RESOLUTION BY ICCAT ON HARMONISATION AND IMPROVED OBSERVER SAFETY(Transmitted to Contracting Parties **20 December 2019**)

NOTING the regional observer programmes (ROP) established by ICCAT;

RECALLING that the International Convention on Standards of Training, Certification, and Watch keeping for Fishing Vessel Personnel (IMO STCW-F), adopted by the International Maritime Organization (IMO) in 1995, sets forth safety training standards for personnel serving on board seagoing fishing vessels;

ALSO RECALLING, where applicable, the 2012 Cape Town Agreement (CTA), adopted by the International Maritime Organization (IMO), that outlines fishing vessel standards and includes other regulations designed to protect the safety of crews and observers and to provide a level playing field for industry, and acknowledging that ratification of this agreement will address and increase observer safety through appropriate safety standards for vessels, safety equipment and communication equipment;

NOTING the challenges faced by observers in relation to health, safety and welfare;

TAKING INTO ACCOUNT the fourth meeting of the Joint FAO/IMO/ILO Ad Hoc Working Group on Illegal, Unreported and Unregulated Fishing and Related Matters (JWG 4), which recommended that the Food and Agriculture Organization (FAO) consider how to promote fisheries observer safety globally through the most appropriate process and that this process should review available information and existing national and regional measures on the safety, security and working and living conditions of fisheries observers under existing observer programmes and be informed by the IMO, the International Labour Organization (ILO), and other relevant Organizations and stakeholders, taking into account the views expressed by the participants of JWG 4.

RECOGNISING that challenges relating to health and safety for observers are global and solutions should be harmonised to the extent possible in order to ensure a level playing field and facilitate implementation at a national level;

EMPHASISING that improved dialogue at the national level between the competent authorities and their fishing vessel operators is warranted;

THE INTERNATIONAL COMMISSION FOR
THE CONSERVATION OF ATLANTIC TUNAS (ICCAT) RESOLVES THAT:

1. The Commission will evaluate the outcomes of the fourth meeting of the Joint FAO/IMO/ILO Ad Hoc Working Group on Illegal, Unreported and Unregulated Fishing and Related Matters held in Torremolinos, Spain, 23-25 October 2019, and consider appropriate follow-up actions.
2. CPCs will commit themselves to strengthening the dialogue with their fishing vessel owners, crew and operators with a view of raising awareness of the health and security challenges confronting observers, thus enhancing cooperation between crew members and observers.

**RESOLUTION BY ICCAT AMENDING THE RESOLUTION 18-11 BY ICCAT ESTABLISHING A PILOT
PROGRAM FOR THE VOLUNTARY EXCHANGE OF INSPECTION PERSONNEL
IN FISHERIES MANAGED BY ICCAT**

(Transmitted to Contracting Parties **20 December 2019**)

RECALLING Ref. 75-02 for a Scheme of Joint International Inspection and Annex 7 of Recommendation 19-04 establishing a joint international inspection scheme for the eastern Atlantic and Mediterranean bluefin tuna fishery, both relating to areas beyond national jurisdiction;

FURTHER RECALLING paragraph 3 of Article IX of the ICCAT Convention and the General Outline of Integrated Monitoring Measures adopted at the 13th Special Meeting of the Commission (Ref. 02-31);

NOTING the important role of the trap and farming related activities in the eastern Atlantic and Mediterranean bluefin tuna fishery, part of these activities taking place within the waters under the jurisdiction of the Contracting Parties concerned;

NOTING that joint inspection activities have been carried out by Contracting Parties in the Atlantic and other oceans;

FURTHER NOTING that voluntary exchange of fisheries inspectors for bluefin tuna trap and farming related activities would equally benefit from an exchange of best practices and inspection expertise on such activities between Contracting Parties directly involved;

NOTING that for bluefin tuna trap and farming activities, the fisheries inspector should only be authorized to observe the related control operations of the hosting Contracting Party and exchange of practices, information and experiences related to bluefin tuna trap and farming activities;

RECOGNIZING that exchanges of inspectors and observers through a voluntary pilot program will contribute to the capacity of Contracting Parties, particularly developing Contracting Parties, to conduct at sea inspections in ICCAT fisheries;

FURTHER RECOGNIZING that extending the voluntary pilot program to bluefin tuna trap and farming related activities would also contribute to the capacity of the Contracting Parties directly involved in the control of such activities;

FURTHER RECOGNISING that the voluntary exchange of inspectors is subject to the domestic legislations of the Contracting Parties in force;

THE INTERNATIONAL COMMISSION FOR THE
CONSERVATION OF ATLANTIC TUNAS RESOLVES THAT:

Program objectives

1. A pilot program is established for the voluntary exchange of inspection personnel to:
 - a) participate in boarding and inspection activities as inspectors or as observing members of the inspection party (hereinafter referred to as “observers” for purposes of this Resolution) conducted by Contracting Parties in fisheries managed by ICCAT pursuant to their existing authorities;
 - b) allow fisheries inspectors from Contracting Parties directly involved in bluefin tuna trap and farming activities, to observe, on a reciprocal basis, the inspection activities conducted with a previous agreement by the hosting Contracting Party;

- c) facilitate exchanges that are intended to allow the sharing of information, best practices and expertise needed to strengthen at-sea inspection, traps and farming related control activities, capabilities and capacities, enhance cooperation and collaboration among Contracting Parties on these important areas of fisheries monitoring, control, and surveillance, and inform future discussions on this issue within ICCAT.
2. On the conclusion of a standing or ad hoc bilateral agreement or arrangement referred to in paragraph 10, the pilot program referred to in paragraph 1 applies to vessels in areas beyond national jurisdiction or to bluefin trap and/or farming activities.

Participation and points of contact

3. All Contracting Parties are encouraged to participate in the pilot program referred to in paragraph 1 and may join or leave it at any time.
4. Contracting Parties interested in participating in the pilot program should submit to the ICCAT Executive Secretary the following information when applicable:
 - a) National authority responsible for at-sea inspection and other supporting maritime agencies as may be appropriate,
 - b) National authority responsible for the bluefin tuna trap and farming activities, and
 - c) Designated point(s) of contact (POC) within that authority with responsibility for program implementation, including name, telephone, fax numbers, and e-mail address.
5. The ICCAT Executive Secretary will make the information provided under paragraph 4 available on the public portion of the ICCAT website, taking into consideration national personal data protection rules.

Pilot program process and procedures

6. Contracting Parties that have elected to participate in the pilot program should communicate with one another to identify opportunities for exchanges of inspectors or observers at sea pursuant to this pilot program.

Contracting Parties participating in the pilot program for BFT trap and farming activities, should ensure that the inspectors exchanged under this program are only authorized by the hosting Contracting Party to observe the related control operations.

7. Contracting Parties:
 - a) deploying patrol vessels in fisheries managed by ICCAT should consider their participation in the pilot program in developing patrol plans and strive, where possible, to arrange patrols that can accommodate one or more personnel from other Contracting Parties.
 - b) developing inspection plans on their bluefin tuna trap and farming related activities, should consider inviting other Contracting Parties engaged in such activities to send inspectors to observe control related activities in their trap and farms and,
 - c) will provide relevant information to other participating Contracting Parties, as appropriate, in order to determine their interest in an exchange of inspectors or observers, either on a particular patrol or on a bluefin tuna trap and/or farm, that may be planned in the future.
8. Contracting Parties wishing to place inspectors or observers on another Contracting Party's inspection vessel, or wishing to observe a bluefin tuna trap and/or farming inspection activity, should contact the POC of the Contracting Party that has provided information under paragraph 7, to indicate its interest.

9. When a Contracting Party has provided notice of its interest in an exchange of personnel under paragraph 8, the concerned Contracting Parties should consult to determine whether such an exchange could be accommodated, taking into consideration operational and administrative limitations, as well as training, expertise, operational and information on safe, security, medical and physical requirements, authorization for the venue of the inspections and inspection capacities.

Contracting Parties deploying inspection vessel(s) should make special efforts to accommodate requests from developing Contracting Parties, in particular.

10. Contracting Parties that have chosen to establish an exchange of personnel under this pilot program should enter into a standing or *ad hoc* bilateral agreement or arrangement to address relevant details of the deployment, including for the purpose of sea boarding and whether the scope of the agreement should be limited to inspections in areas beyond or within national jurisdiction or include national EEZs, or only the site of the bluefin tuna trap and/or farm.

The bilateral agreement or arrangement should also determine the role of personnel deployed under the arrangement or agreement, as well as further provisions for the cooperative deployment of inspectors or observers and the use of vessels, aircraft or other resources for fisheries surveillance and control purposes, and the protection of law enforcement sensitive or otherwise confidential or protected information from inappropriate disclosure.

11. The Contracting Party of the inspection personnel deployed should be responsible for all issues associated to safety, medical and physical requirements during the deployment.

Reporting and review

12. Contracting Parties who engage in such exchanges should coordinate reporting to the Commission annually on any activities carried out under the pilot program for consideration by the Permanent Working Group for the Improvement of Statistics and Conservation (PWG). Contracting Parties are also encouraged to provide information related to joint inspection activities at sea undertaken outside the context of this pilot program, as appropriate.
13. This pilot program should be reviewed no more than 3 years after adoption.

Repeals

14. This Resolution repeals *Resolution by ICCAT establishing a pilot program for the voluntary exchange of inspection personnel in fisheries managed by ICCAT* (Res. 18-11).

**RECOMMENDATION BY ICCAT CONCERNING
THE ICCAT BIGEYE TUNA STATISTICAL DOCUMENT PROGRAM**

(Entered into force: **September 21, 2002**)

RECALLING the *Recommendation by ICCAT on Establishing Statistical Document Programs for Swordfish, Bigeye Tuna and Other Species Managed by ICCAT* adopted by the Commission in 2000 in which the full implementation of the program was required by 1 January 2002, or as soon as possible thereafter;

AWARE that there is uncertainty of the catch of Atlantic bigeye tuna and that the availability of trade data would greatly assist in reducing such uncertainty;

RECOGNIZING that Atlantic bigeye tuna is the main target species of IUU fishing operations and that most of the bigeye harvested by such IUU fishing vessels are exported to Contracting Parties, especially to Japan;

RECALLING the *Recommendation by ICCAT Regarding Belize, Cambodia, Honduras, and St. Vincent and the Grenadines Pursuant to the 1998 Resolution Concerning the Unreported and Unregulated Catches of Tuna by Large-scale Longline Vessels in the Convention Area* and the *Recommendation by ICCAT Regarding Equatorial Guinea Pursuant to the 1998 Resolution Concerning the Unreported and Unregulated Catches of Tuna by Large-scale Longline Vessels in the Convention Area* adopted by the Commission in 2000;

RECOGNIZING that the Statistical Document Program is an effective tool to assist the Commission's effort for the elimination of IUU fishing operations;

RECOGNIZING the nature of the international market for Atlantic bigeye tuna;

**THE INTERNATIONAL COMMISSION FOR THE
CONSERVATION OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT;**

1. Contracting Parties, by July 1, 2002 or as soon as possible thereafter, require that all bigeye tuna, when imported into the territory of a Contracting Party, be accompanied by an ICCAT Bigeye Tuna Statistical Document which meets the requirements described in Annex 1 or an ICCAT Bigeye Tuna Re-export Certificate¹ which meets the requirements described in Annex 2. Bigeye tuna caught by purse seiners and pole and line (bait) vessels and destined principally for the canneries in the Convention area are not subject to this statistical document requirement. The Commission and the Contracting Parties importing bigeye tuna shall contact all the exporting countries to inform them of this program, in advance of implementation of the program.
2. (1) The ICCAT Bigeye Tuna Statistical Document must be validated by a government official, or other authorized individual or institution, of the flag state of the vessel that harvested the tuna, or, if the vessel is operating under a charter arrangement, by a government official or other authorized individual of the exporting state;
- (2) The ICCAT Bigeye Tuna Re-export Certificate must be validated by a government official or other authorized individual of the state that re-exported the tuna; and
- (3) The substitutional measure described in paragraphs A-D of the *Resolution by ICCAT Concerning Validation by a Government Official of the Bluefin Tuna Statistical Document*, adopted by the Commission in 1993, may be applied to the above requirements for both validations in this Bigeye Statistical Document Program. The substitutional measure should also apply *mutatis mutandis* to chartering arrangements as provided in paragraph 2(1) above.

¹ Note from the Secretariat: The ICCAT Bigeye Statistical Document and accompanying instructions were adopted under the *Recommendations by ICCAT Concerning the Amendment of the Forms of the ICCAT Bluefin/Bigeye/Swordfish Statistical Documents* [Ref. 03-19], and replace those originally adopted in 2001.

3. Each Contracting Party shall provide to the Executive Secretary sample forms of its statistical document and re-export certificate required with bigeye tuna imports and information on validation in the format specified in Annex 4 and inform him of any change in a timely fashion.
4. The Contracting Parties which export or import bigeye tuna shall compile data from the Program.
5. The Contracting Parties which import bigeye tuna shall report the data collected by the Program to the Executive Secretary each year by April 1 for the period of July 1-December 31 of the preceding year and October 1 for the period of January 1-June 30 of the current year, which shall be circulated to all the Contracting Parties by the Executive Secretary. The formats of the report are attached as Annex 3.
6. The Contracting Parties which export bigeye tuna shall examine export data upon receiving the import data mentioned in paragraph 5 above from the Executive Secretary, and report the results to the Commission in the national reports².
7. The Contracting Parties should exchange copies of statistical documents and re-export certificates to facilitate the examination mentioned in paragraph 6, consistent with domestic laws and regulations.
8. The Commission shall request Cooperating Non-Contracting Parties, Entities, Fishing Entities to take the measures described in the above paragraphs.
9. The Executive Secretary shall request information on validation from all the non-Contracting Parties fishing and exporting bigeye tuna to Contracting Parties, and request them to inform him in a timely fashion of any changes to the information provided.
10. The Executive Secretary shall maintain and update information specified in paragraphs 3 and 9 and provide it to all the Contracting Parties, and promptly circulate any changes.
11. The Commission shall request the non-Contracting Parties which import bigeye tuna to cooperate with implementation of the Program and to provide to the Commission data obtained from such implementation.
12. Implementation of this Program shall be in conformity with relevant international obligations.
13. At the initial stage of the program, the statistical documents and the re-export certificates will be required for frozen bigeye products. Prior to implementing this Program for fresh products, several practical problems need to be solved, such as guidelines to ensure procedures to handle fresh products at customs.
14. The provisions of the Recommendation *by ICCAT on Validation of the Bluefin Tuna Statistical Documents by the European Community*, adopted by the Commission in 1998, shall apply to the Bigeye Tuna Statistical Document Program for bigeye caught by vessels that fly the flag of a Member State of the European Community.
15. Notwithstanding the provisions of Article VIII, paragraph 2, of the Convention, the Contracting Parties shall implement this recommendation by July 1, 2002 or as soon as possible thereafter in accordance with the regulatory procedures of each Contracting Party.

² Note from the Secretariat: Based on a Commission decision in 2004, these reports are now called *Annual Reports*. Please see the *Revised Guidelines for the Preparation of Annual Reports* [Ref. 12-13].

**Requirements Concerning
the ICCAT Bigeye Tuna Statistical Document**

1. The sample form of the ICCAT Bigeye Tuna Statistical Document shall be as in the Appendix.
2. Customs or other appropriate government officials will request and inspect all import documentation including the ICCAT Bigeye Tuna Statistical Document for all bigeye tuna in the shipment. Those officials may also inspect the content of each shipment to verify the information on the document.
3. Only complete and valid documents will guarantee that shipments of bigeye tuna will be allowed to enter the territory of Contracting Parties.
4. Shipments of bigeye tuna that are accompanied by improperly documented Bigeye Tuna Statistical Documents (i.e., improperly documented means that the Bigeye Tuna Statistical Document is either missing from the shipment, incomplete, invalid or falsified) will be considered illegitimate shipments of bigeye tuna, that are contrary to ICCAT conservation efforts, and their entry will be suspended (PENDING RECEIPT OF A PROPERLY COMPLETED DOCUMENT) into the territory of a Contracting Party or subject to administrative or other sanction.
5. The import of fish parts other than the meat, i.e., head, eyes, roe, guts, tails may be allowed without the document.

Appendix

DOCUMENT NUMBER	ICCAT BIGEYE TUNA STATISTICAL DOCUMENT		
EXPORT SECTION			
1.FLAG OF COUNTRY/ENTITY/FISHING ENTITY			
2.NAME OF VESSEL AND REGISTRATION NUMBER (when available)			
3.TRAPS (if applicable)			
4.POINT OF EXPORT(City, State / Province, Country / Entity / Fishing Entity)			
5.AREA OF CATCH (check one of the following) ¹ (a) Atlantic ¹ (b) Pacific ¹ (c) Indian * In case of (b) or (c) checked, the items 6 and 7 below do not need to be filled out.			
6.DESCRPTION OF FISH			
Product Type (*1) F/FR RD/GG/DR/FL/OT		Gear Code(*2)	Net Weight (Kg)
1= F=Fresh, FR=Frozen, RD=Round, GG=Gilled and Guttet, DR=Dressed, FL=Fillet OT=Other, describe the type of product *2= When the Gear Code is OT, describe the type of gear,			
7.EXPORTER CERTIFICATION I certify that the above information is complete, true, and correct to the best of my knowledge and belief.			
Name	Company name	Address	Signature Date License Number (if applicable)
8.GOVERNMENT VALIDATION I validate that information listed above is complete, true, and correct to the best of my knowledge and belief.			
Total weight of the shipment _____ Kg.			
Name & Title		Signature	Date Government Seal
IMPORT SECTION:			
9.IMPORTER CERTIFICATION I certify that the above information is complete, true, and correct to the best of my knowledge and belief.			
Importer Certification (Intermediate Country / Entity / Fishing Entity)			
Name	Address	Signature	Date License # (if applicable)
Importer Certification (Intermediate Country / Entity / Fishing Entity)			
Name	Address	Signature	Date License # (if applicable)
Final Point of Import			
City	State/Province	Country / Entity / Fishing Entity	

NOTE: If a language other than English is used in completing this form. Please add the English translation on this document.

BETSD Form: 2003

ICCAT BIGEYE TUNA STATISTICAL DOCUMENT INSTRUCTION SHEET

DOCUMENT NUMBER: Block for the issuing Country/Entity/Fishing Entity to designate a country/entity/fishing entity in coded Document Number.

(1) FLAG COUNTRY/ENTITY/FISHING ENTITY: Fill in the name of the country/entity/fishing entity of the vessel that harvested the bigeye tuna in the shipment and issued this Document. According to the ICCAT Recommendation, only the flag state of the vessel that harvested the bigeye tuna in the shipment or, if the vessel is operating under a charter arrangement, the exporting state, can issue this Document.

(2) NAME OF VESSEL AND REGISTRATION NUMBER (when available): Fill in the name and registration number of the vessel that harvested the bigeye tuna in the shipment.

(3) TRAPS (if applicable): Fill in the name of the trap that harvested the bigeye tuna in the shipment.

(4) POINT OF EXPORT: Identify the City, State or Province, and Country/Entity/Fishing Entity from which the bigeye tuna was exported.

(5) AREA OF CATCH: Check the area of catch. (If (b) or (c) checked, items 6 and 7 below do not need to be filled out.)

(6) DESCRIPTION OF FISH: The exporter must provide, to the highest degree of accuracy, the following information. NOTE: One row should describe one product type.

1. Product Type: Identify the type of product being shipped as either FRESH or FROZEN, and in ROUND, GILLED AND GUTTED, DRESSED, FILLET or OTHER form. For OTHER, describe the type of products in the shipment.
2. Gear Code: Identify the gear type which was used to harvest the bigeye tuna using the list below. For OTHER TYPE, describe the type of gear, including farming.
3. Net product weight in kilograms.

(7) EXPORTER CERTIFICATION: The person or company exporting the bigeye tuna shipment must provide his/her name, company name, address, signature, date the shipment was exported, and dealer license number (if applicable).

(8) GOVERNMENT VALIDATION: Fill in the name and full title of the official signing the Document. The official must be employed by a competent authority of the flag state government of the vessel that harvested the bigeye tuna appearing on the Document or other individual or institution authorized by the flag state. When appropriate, this requirement is waived according validation of the document by a government official, or if the vessel is operating under a charter arrangement, by a government official or other authorized individual or institution of the exporting state. The total weight of the shipment shall also be specified in this block. The substitutional measure described in paragraphs A-D of the *Resolution by ICCAT Concerning Validation by a Government Official of the Bluefin Tuna Statistical Document*, adopted by the Commission in 1993, may be applied to the above requirements for the validations in this Bigeye Tuna Statistical Document Program.

(9) IMPORTER CERTIFICATION: The person or company that imports bigeye tuna must provide his/her name, address, signature, date the bigeye was imported, license number (if applicable), and final point of import. This includes imports into intermediate countries, entities or fishing entities. For fresh and chilled products, the signature of the importer may be substituted by a person of a customs clearance company when the authority for signature is properly accredited to it by the importer.

GEAR CODE:

<i>Gear Code</i>	<i>Gear Type</i>
BB	BAITBOAT
GILL	GILLNET
HAND	HANDLINE
HARP	HARPOON
LL	LOGLINE
MWT	MID-WATER TRAWL
PS	PURSE SEINE
RR	ROD AND REEL
SPHL	SPORT HANDLINE
SPOR	SPORT FISHERIES UNCLASSIFIED
SURF	SURFACE FISHERIES UNCLASSIFIED
TL	TENDED LINE
TRAP	TRAP
TROL	TROLL
UNCL	UNSPECIFIED METHODS
OT	OTHER TYPE

RETURN A COPY OF COMPLETED DOCUMENT TO: (the name of the office of the competent authority of the flag state).

**Requirements Concerning
the ICCAT Bigeye Tuna Re-export Certificate**

1. The sample form of the ICCAT Bigeye Tuna Re-export Certificate shall be as in the Appendix.
2. Customs or other appropriate government officials will request and inspect all import documentation including the ICCAT Bigeye Tuna Re-export Certificate for all bigeye tuna in the shipment. Those officials may also inspect the content of each shipment to verify the information on the document.
3. Only complete and valid documents will guarantee that shipments of bigeye tuna will be allowed to enter the territory of Contracting Parties.
4. A Contracting Party shall be free to validate ICCAT Bigeye Tuna Re-export Certificates for bigeye tuna imported by that Contracting Party, to which ICCAT Bigeye Tuna Statistical Documents or ICCAT Bigeye Tuna Re-export Certificates are attached. ICCAT Bigeye Tuna Re-export Certificates shall be validated by government organizations or by recognized institutions which are accredited by a Contracting Party's government to validate the ICCAT Bigeye Tuna Statistical Document. A copy of the original Bigeye Tuna Statistical Document accompanying the imported bigeye tuna must be attached to an ICCAT Bigeye Tuna Re-export Certificate. The copy of the original Bigeye Tuna Statistical Document so attached must be verified by that government organization or by that recognized institution accredited by a government which validated the ICCAT Bigeye Tuna Statistical Document. When re-exported bigeye tuna is again re-exported, all copies of documents, including a verified copy of a Statistical Document and Re-export Certificate which accompanied that bigeye tuna upon importation, must be attached to a new Re-export Certificate to be validated by a re-exporting Contracting Party. All copies of the Documents to be attached to that new Re-export Certificate must be also be verified by a government organization or a recognized institution accredited by a government which validated the ICCAT Bigeye Tuna Statistical Document.
5. Shipments of bigeye tuna that are accompanied by improperly documented Bigeye Tuna Re-export Certificate (i.e., improperly documented means that the Bigeye Tuna Re-export Certificate is either missing from the shipment, incomplete, invalid or falsified) will be considered illegitimate shipments of bigeye tuna, that are contrary to ICCAT conservation efforts, and their entry will be suspended (PENDING RECEIPT OF A PROPERLY COMPLETED DOCUMENT) into the territory of a Contracting Party or subject to administrative or other sanction.
6. ICCAT Contracting Parties that validate Re-export Certificates in accordance with the procedure set forth in paragraph 4 shall require from the re-exporting bigeye dealer necessary documents (e.g. written sales contracts) which are to certify that the bigeye tuna to be re-exported corresponds to the imported bigeye tuna. Contracting Parties which validate Re-export Certificates shall provide flag states and importing states with evidence of this correspondence upon their request.
7. The import of fish parts other than the meat, i.e., head, eyes, roe, guts, tails may be allowed without the document.

DOCUMENT NUMBER	ICCAT BIGEYE TUNA RE-EXPORT CERTIFICATE			
RE-EXPORT SECTION:				
1. RE-EXPORTING COUNTRY / ENTITY / FISHING ENTITY				
2. POINT OF RE-EXPORT				
3. DESCRIPTION OF IMPORTED FISH				
Product Type(*) F/FR RD/GG/DR/FL/OT	Net Weight (Kg)	Flag country/ Entity/Fishing Entity	Date of Import	
4. DESCRIPTION OF FISH FOR RE-EXPORT				
Product Type(*) F/FR RD/GG/DR/FL/OT	Net Weight (Kg)			
* F=FRESH, FR=Frozen, RD=Round, GG=Gilled and Guttled, DR=Dressed, FL=Fillet OT=Other(Describe the type of product)				
5. RE-EXPORTER CERTIFICATION: I certify that the above information is complete, true and correct to the best of my knowledge and belief.				
Name/Company Name Address Signature Date License Number (if applicable)				
6. GOVERNMENT VALIDATION: I validate that the above information is complete, true and correct to the best of my knowledge and belief.				
Name & Title Signature Date Government Seal				
IMPORT SECTION:				
7. IMPORTER CERTIFICATION: I certify that the above information is complete, true and correct to the best of my knowledge and belief.				
Importer Certification (Intermediate Country / Entity / Fishing Entity)				
Name	Address	Signature	Date	License # (if applicable)
Importer Certification (Intermediate Country / Entity / Fishing Entity)				
Name	Address	Signature	Date	License # (if applicable)
Importer Certification (Intermediate Country / Entity / Fishing Entity)				
Name	Address	Signature	Date	License # (if applicable)
Final Point of Import				
City _____ State/Province _____ Country / Entity / Fishing Entity				

NOTE: If a language other than English is used in completing this form, please add the English translation on this document.

ICCAT BIGEYE TUNA RE-EXPORT CERTIFICATE INSTRUCTION SHEET

DOCUMENT NUMBER: Block for the issuing Country/Entity/Fishing Entity to designate a Country/Entity/Fishing Entity coded document number.

(1) RE-EXPORTING COUNTRY/ENTITY/FISHING ENTITY

Fill in the name of the Country/Entity/Fishing Entity which re-exports the bigeye tuna in the shipment and issued this Certificate. According to the ICCAT Recommendation, only the re-exporting Country/Entity/Fishing Entity can issue this Certificate.

(2) POINT OF RE-EXPORT

Identify the City/State Province and Country/Entity/Fishing Entity from which the bigeye tuna was re-exported.

(3) DESCRIPTION OF IMPORTED FISH

The exporter must provide, to the highest degree of accuracy, the following information: NOTE: One row should describe one product type. (1) Product type: Identify the type of product being shipped as either FRESH or FROZEN, and in ROUND, GILLED AND GUTTED, DRESSED, FILLET or OTHER form. For OTHER, describe the type of products in the shipment. (2) Net weight: Net product weight in kilograms. (3) Flag Country/Entity/Fishing Entity: the name of the Country/Entity/Fishing Entity of the vessel that harvested the bigeye tuna in the shipment. (4) Date of import: Imported date.

(4) DESCRIPTION OF FISH FOR RE-EXPORT

The exporter must provide, to the highest degree of accuracy, the following information: NOTE: One row should describe one product type. (1) Product type: Identify the type of product being shipped as either FRESH or FROZEN, and in ROUND, GILLED AND GUTTED, DRESSED FILLET or OTHER form. For OTHER, describe the type of products in the shipment. (2) Net weight: Net product weight in kilograms.

(5) RE-EXPORTER CERTIFICATION

The person or company re-exporting the bigeye tuna shipment must provide his/her name, address, signature, date the shipment was re-exported, and re-exporter's license number (if applicable).

(6) GOVERNMENT VALIDATION

Fill in the name and full title of the official signing the Certificate. The official must be employed by a competent government authority of the re-exporting Country/Entity/Fishing Entity appearing on the Certificate, or a person or institution authorized to validate such certificates by the competent government authority. The substitutional measure described in paragraphs A-D of the *Resolution by ICCAT Concerning Validation by a Government Official of the Bluefin Tuna Statistical Document*, adopted by the Commission in 1993, may be applied to the above requirements for the validations in this Bigeye Statistical Document Program.

(7) IMPORTER CERTIFICATION

The person or company that imports bigeye tuna must provide his/her name, address, signature, date the bigeye tuna was imported, license number (if applicable) and re-exported final point of import. This includes imports into intermediate Countries/Entities/Fishing Entities. For fresh and chilled products, the signature of the importer may be substituted by a person of a customs clearance company when the authority for signature is properly accredited to it by the importer.

RETURN A COPY OF THE COMPLETED CERTIFICATE TO: (the name of the office of the competent authority of the re-exporting Country/Entity/Fishing Entity).

REPORT OF THE ICCAT BIGEYE TUNA STATISTICAL DOCUMENT

Period _____ to _____, _____ IMPORT COUNTRY/ENTITY/FISHING ENTITY _____
 Month _____ Month _____ Year _____

<i>Flag Country/Entity/ Fishing Entity</i>	<i>Area Code</i>	<i>Gear Code</i>	<i>Point of Export</i>	<i>Product Type</i>		<i>Product Wt.(Kg)</i>
				<i>F/FR</i>	<i>RD/GG/DR/FL/OT</i>	

BETSD Biannual Report Form: 2001

<i>Gear Code</i>	<i>Gear Type</i>
BB	Baitboat
GILL	Gillnet
HAND	Handline
HARP	Harpoon
LL	Longline
MWT	Mid-water trawl
PS	Purse seine
RR	Rod & reel
SPHL	Sport Handline
SPOR	Sport fisheries unclassified
SURF	Surface fisheries unclassified
TL	Tended line
TRAP	Trap
TROL	Troll
UNCL	Unclassified methods
OTH	Other type (Indicate the type of gear):

<i>Product type</i>	<i>Area Code</i>
F Fresh	AT Atlantic
FR Frozen	PA Pacific
RD Round	ID Indian Ocean
GG Gilled & gutted	
DR Dressed	
FL Fillet	
OT Other form, describe the type of products in the shipment	

REPORT OF THE ICCAT BIGEYE TUNA RE-EXPORT CERTIFICATE

Period _____ to _____, _____ IMPORT COUNTRY/ENTITY/FISHING ENTITY
 Month _____ Year _____

Month _____

<i>Flag Country/Entity/ Fishing Entity</i>	<i>Re-export Country/ Entity/Fishing Entity</i>	<i>Point of Re-export</i>	<i>Product Type</i>		<i>Product Wt.(Kg)</i>
			<i>F/FR</i>	<i>RD/GG/DR/FL/OT</i>	

BETSD Biannual Re-Export Certificate Report form: 2001

Product type

F Fresh
 FR Frozen
 RD Round
 GG Gilled & gutted
 DR Dressed
 FL Fillet
 OT Other form, describe the type of products in the shipment

INFORMATION ON VALIDATION OF ICCAT STATISTICAL DOCUMENTS

1. Flag _____
2. Statistical Document (Bluefin, Bigeye, Swordfish, All): _____
3. Government/Authority organization(s) accredited to validate Statistical Documents

<i>Organization Name</i>	<i>Organization Address</i>	<i>Sample Seal</i>

NOTE: For each organization, attach a list with the names, titles and addresses of the individuals authorized to validate Documents.

4. Other institutions accredited by the government/authority to validate Statistical Documents

<i>Organization Name</i>	<i>Organization Address</i>	<i>Sample Seal</i>

NOTE: For each organization, attach a list with the names, titles and addresses of the individuals authorized to validate Documents.

Instructions Contracting Parties, non-Contracting Parties, Entities, Fishing Entities having vessels that harvest species whose international trade must be accompanied by ICCAT Statistical Documents are requested to submit the information on this sheet to the Executive Secretary of ICCAT¹, and to ensure that any changes to the above are also transmitted to the Executive Secretary on a timely fashion.

¹ ICCAT: c/Corazón de María, 8 (6th floor), Madrid, Spain 28002.

**RECOMMENDATION BY ICCAT
ESTABLISHING A SWORDFISH STATISTICAL DOCUMENT PROGRAM**

(Entered into force: **September 21, 2002**)

RECALLING the *Recommendation by ICCAT on Establishing Statistical Document Program for Swordfish, Bigeye Tuna and Other Species Managed by ICCAT* adopted by the Commission in 2000 in which the full implementation of the program was required by 1 January 2002, or as soon as possible thereafter;

TAKING INTO ACCOUNT the efforts to maintain and rebuild Atlantic swordfish, consistent with the objectives of the Convention;

RECOGNIZING that the Statistical Document Program is an effective tool to assist the Commission's effort for the elimination of IUU fishing operations;

FURTHER RECOGNIZING the *Resolution by ICCAT Concerning an Action Plan to Ensure the Effectiveness of the Conservation Program for Atlantic Swordfish* adopted by the Commission in 1995, and recalling the 1999 Recommendation by ICCAT establishing trade measures pursuant to this Resolution;

AWARE that it is important to improve the reliability of statistical information on catches of Atlantic swordfish and that the availability of trade data would greatly assist in reducing such uncertainty;

RECOGNIZING that a considerable number of vessels fishing for Atlantic swordfish are registered to nations that are not members of ICCAT;

TAKING INTO ACCOUNT the significant efforts that have been undertaken by Contracting Parties to address the problems created by catches of Atlantic swordfish by non-contracting parties, entities, and fishing entities;

CONSIDERING that some of the non-contracting parties, entities, and fishing entities have great difficulty in providing information on the catches of their flag vessels;

ALSO BEING AWARE that this program may be adapted to the specific regulations established by ICCAT Contracting Parties, as well as in the framework of regional economic organizations;

RECOGNIZING the work of the Food and Agriculture Organization (FAO) with respect to statistical document programs, which could impact the programs of the Commission;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

- 1 Contracting Parties shall require that all swordfish, when imported into the territory of a Contracting Party be accompanied by an ICCAT Swordfish Statistical Document (**Attachment 2**) that meets the requirements described in **Attachment 1** or an ICCAT Swordfish Re-export Certificate¹ (**Attachment 4**) that meets the requirements described in Attachment 3. The Commission and the Contracting Parties importing swordfish shall contact all the exporting countries to inform them of this program, particularly differentiation of treatment between catches of swordfish in the Convention Area and those outside of it, in advance of implementation of the program.
- 2 (1) The ICCAT Swordfish Statistical Document must be validated by a government official, or other authorized individual or institution, of the flag state of the vessel that harvested the swordfish, or, if the vessel is operating under a charter arrangement, by a government official or other authorized

¹ Note from the Secretariat: The ICCAT Swordfish Statistical Document and accompanying instructions were adopted under the *Recommendations by ICCAT Concerning the Amendment of the Forms of the ICCAT Bluefin/Bigeye/Swordfish Statistical Documents* [Ref. 03-19], and replace those originally adopted.

individual of the exporting state; (2) the ICCAT Swordfish Re-Export Certificate must be validated by a government official, or other authorized individual or institution, of the state that re-exported the swordfish; and (3) the substitutional measure described in paragraphs A-D of the *Resolution by ICCAT Concerning Validation by a Government Official of the Bluefin Tuna Statistical Document*, adopted by the Commission in 1993, may be applied to the above requirements for both validations in the Swordfish Statistical Document Program. The substitutional measure should also apply *mutatis mutandis*, to chartering arrangements as provided in section (1) of this paragraph.

- 3 Each Contracting Party shall provide to the Executive Secretary sample forms of its statistical document and re-export certificate required with swordfish imports, and information on validation in the format specified in Attachment 6 and inform him of any change in a timely fashion.
- 4 Contracting Parties that import or export swordfish shall compile the data collected through the Program.
- 5 Contracting Parties that import swordfish shall report the data collected by the Program to the Executive Secretary each year by April 1 for the period of July 1 through December 31 of the preceding year and October 1 for the period of January 1 through June 30 of the current year, which shall be circulated to all the contracting parties by the Executive Secretary. The formats of the reports are attached, as in Attachment.
- 6 Contracting Parties that export swordfish shall examine export data upon receiving the import data in Paragraph 5 above from the Executive Secretary, and report the results to the Commission in their National Reports².
- 7 Contracting Parties should exchange copies of statistical documents and re-export certificates to facilitate the examination mentioned in paragraph 6 consistent with domestic laws and regulations.
- 8 The Commission shall request Cooperating non-Contracting Parties, Entities, and Fishing Entities to take the measures described in the above paragraphs.
- 9 The Executive Secretary shall request all non-Contracting Parties, Entities, and Fishing Entities fishing for and exporting swordfish to Contracting Parties to provide information on validation in the format specified in Attachment 6 and to inform him in a timely fashion of any changes to the information provided.
- 10 The Executive Secretary shall maintain and update information specified in paragraphs 3 and 9 and provide it to all the Contracting Parties, and promptly circulate any changes.
- 11 The Commission shall request non-Contracting Parties, Entities, and Fishing Entities that import swordfish to cooperate in the implementation of the Program and to provide to the Commission data obtained from such implementation in the format specified in Attachment 5 on an annual basis by October 15 for the previous calendar year.
- 12 Implementation of this program shall be in conformity with relevant international obligations.
- 13 The provisions of the *Recommendation by ICCAT on Validation of the Bluefin Tuna Statistical Document by the European Community*, adopted by the Commission in 1998, shall apply to the Swordfish Statistical Document Program for swordfish caught by vessels that fly the flag of a Member State of the European Community.
- 14 Notwithstanding the provisions of Article VIII, paragraph 2 of the Convention, the Contracting Parties shall implement this recommendation as soon as possible, but not later than January 1, 2003 in accordance with the regulatory procedures of each Contracting Party.

² Note from the Secretariat: Based on a Commission decision in 2004, these reports are now called *Annual Reports*. Please see the *Revised Guidelines for the Preparation of Annual Reports* [Ref. 12-13].

Requirements Concerning the ICCAT Swordfish Statistical Document

- 1 The sample form of the ICCAT Swordfish Statistical Document shall be as in Attachment 2.
- 2 Customs or other appropriate government officials will request and inspect all import documentation including the ICCAT Swordfish Statistical Document for all swordfish in the shipment. Those officials may also inspect the content of each shipment to verify the information on the document.
- 3 Only complete and valid documents will guarantee that shipments of swordfish will be allowed to enter the territory of Contracting Parties.
- 4 Shipments of swordfish that are accompanied by improperly documented Swordfish Statistical Documents (i.e., improperly documented means that the Swordfish Statistical Document is either missing from the shipment, incomplete, invalid or falsified) will be considered illegitimate shipments of swordfish, that are contrary to ICCAT conservation efforts, and their entry into the territory of a Contracting Party will be suspended (PENDING RECEIPT OF A PROPERLY COMPLETED DOCUMENT) or subject to administrative or other sanction.
- 5 The import of fish parts other than the meat, i.e., head, eyes, roe, guts, tails may be allowed without the document.

DOCUMENT NUMBER	ICCAT SWORDFISH STATISTICAL DOCUMENT			
EXPORT SECTION:				
1. FLAG COUNTRY/ENTITY/FISHING ENTITY				
2. DESCRIPTION OF VESSEL (if applicable)				
Vessel Name	Registration Number	LOA (m)	ICCAT Record No. (if applicable)	
3. POINT OF EXPORT:				
CITY, STATE OR PROVINCE		COUNTRY/ENTITY/FISHING ENTITY		
4. AREA OF CATCH (Check one of the following)				
(a) North Atlantic (b) South Atlantic (c) Mediterranean (d) Pacific (e) Indian				
* In case of (d) or (e) is checked, the items 5 and 6 below do not need to be filled out.				
5. DESCRIPTION OF FISH				
Product Type ^a F/FR RD/GG/DR/FL/OT		Time of Harvest (mm/yy)	Gear Code ^b	Net Weight (kg)
^a F=Fresh, FR=Frozen, RD=Round, GG=Gilled & Guttled, DR=Dressed, FL=Fillet, ST=Steak, OT=Others (Describe the type of product: _____) ^b When the Gear Code is OT, describe the type of gear: _____				
6. EXPORTER CERTIFICATION: For export to countries that have adopted the ICCAT alternative minimum size for swordfish the exporter must certify that the listed Atlantic swordfish are greater than 15 kg(33lb.) or if pieces, the pieces were derived from a swordfish weighing >15kg.				
I certify that the above information is complete, true and correct to the best of my knowledge and belief.				
Name	Address	Signature	Date	License # (if applicable)
7. GOVERNMENT VALIDATION:				
I validate that the above information is complete, true and correct to the best of my knowledge and belief.				
Name & Title		Signature	Date	Total weight of the shipment: _____ kg Government Seal
IMPORT SECTION				
8. IMPORTER CERTIFICATION:				
I certify that the above information is complete, true and correct to the best of my knowledge and belief.				
Importer Certification (Intermediate Country/Entity/Fishing Entity)				
Name	Address	Signature	Date	License # (if applicable)
Importer Certification (Intermediate Country/Entity/Fishing Entity)				
Name	Address	Signature	Date	License # (if applicable)
Importer Certification (Final Destination of Shipment)				
Name	Address	Signature	Date	License # (if applicable)
Final Point of Import: City _____ State/Province _____ Country/Entity/Fishing Entity				

SWO Form: 2003

NOTE: IF A LANGUAGE OTHER THAN ENGLISH IS USED IN COMPLETING THIS FORM, PLEASE ADD THE ENGLISH TRANSLATION ON THIS DOCUMENT.

ICCAT SWORDFISH STATISTICAL DOCUMENT INSTRUCTION SHEET

Pursuant to the 2001 ICCAT recommendation, swordfish imported into the territory of a Contracting Party or upon first entry into a regional economic organization must be accompanied by an ICCAT Swordfish Statistical Document (SWD) beginning January 1, 2003. Swordfish dealers who export or import swordfish from all ocean areas will be required to complete the appropriate sections of the SWD. Only complete and valid documents will guarantee that shipments of swordfish will be allowed to enter the customs territory of Contracting Parties (e.g., Japan, Canada, U.S., Spain, etc.). Improperly documented swordfish shipments (i.e., the SWD is either missing from the shipment, incomplete, invalid or falsified) will be considered illegitimate and contrary to ICCAT conservation efforts. Entry of improperly documented swordfish will be suspended (PENDING RECEIPT OF A PROPERLY COMPLETED DOCUMENT) into the customs territory of a Contracting Party or subject to administrative or other sanctions.

Please use the instructions below as a guide to complete the sections that apply to Exporters, Importers, and Government Validation. If a language other than English is used for description, please add an English translation either on the SWD or on a separate paper. Note: if a swordfish product is exported directly from the harvesting Country/Entity/Fishing Entity to a Contracting Party, without going through an intermediate Country/Entity/Fishing Entity, all fish can be identified on one document. However, if the swordfish product is exported through an intermediate Country/Entity/Fishing Entity (i.e., a Country/Entity/Fishing Entity other than the Country/Entity/Fishing Entity which is the final destination of the product), separate documents must be prepared for fish destined for different final destinations, or only one fish may be identified on a document to cope with any possible separation in an intermediate Country/Entity/Fishing Entity. Import of swordfish parts other than meat (i.e., heads, eyes, roe, guts, tails) may be allowed entry without an accompanying SWD.

DOCUMENT NUMBER: This block is for the issuing Country/Entity/Fishing Entity to designate a country coded Document Number.

(1) FLAG COUNTRY/ENTITY/FISHING ENTITY - Fill in the name of the Country/Entity/Fishing Entity of the vessel that harvested the swordfish in the shipment and issued this Document. According to the ICCAT Recommendation, only the flag state of the vessel that harvested the swordfish in the shipment, or, if the vessel is operating under a chartering arrangement, the exporting state, can issue this Document.

(2) DESCRIPTION OF VESSEL (if applicable): Fill in the name, registration number, length overall (LOA) and ICCAT Record number of the vessel that harvested the swordfish in the shipment.

(3) POINT OF EXPORT - Identify the City and State or Province, and country/entity/fishing entity from which the swordfish was exported.

(4) AREA OF CATCH - Check the area of catch. (In case of (d) or (e) checked, items 4 and 5 need not be completed).

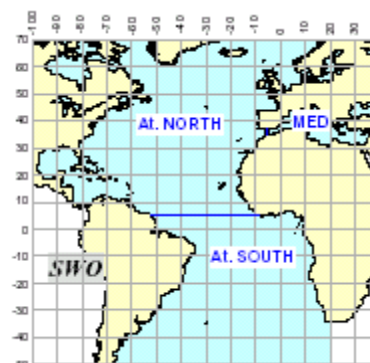
(5) DESCRIPTION OF FISH - The exporter must provide, to the highest degree of accuracy, the following information. (NOTE: One row should describe one product type.) (1) Product type: Identify the type of product being shipped as either FRESH or FROZEN, and in ROUND, GILLED AND GUTTED, DRESSED, FILLET or OTHER form. For OTHER, describe the type of products in the shipment; (2) Time of Harvest: Fill in the time of harvest (month and year) of the swordfish in the shipment; (3) Gear Code: Identify the gear type which was used to harvest the swordfish using the listed codes; (5) Net weight: Net product weight in kilograms.

(6) EXPORTER CERTIFICATION - The person or company exporting the swordfish shipment must provide his/her name, signature, address, date the shipment was exported, and dealer license number (if applicable). For countries that have adopted the ICCAT alternative minimum size for swordfish the exporter must certify that the listed Atlantic swordfish are greater than 15 kg (33 lb.) or if pieces, the pieces were derived from a swordfish weighing >15 kg.

(7) GOVERNMENT VALIDATION - Fill in name and full title of the official signing the SWD. The official must be employed by a competent authority of the flag state government of the vessel that harvested the swordfish appearing on the SWD or other individual or institution authorized by the flag state or if the vessel is operating under a charter arrangement, by a government official or other authorized individual or institution of the exporting state. Net weight must also be certified and recorded. The substitutional measure described in paragraphs A-D of the *Resolution by ICCAT concerning Validation by a Government Official of the Bluefin Tuna Statistical Document* [93-2], adopted by the Commission in 1993, may be applied to the above requirements for the validations in this Swordfish Statistical Document Program.

(8) IMPORTER CERTIFICATION - The person or company that imports swordfish must provide their name, signature, address, date the swordfish was imported, license number (if applicable) and final point of import. This includes imports into intermediate countries, entities or fishing entities. For fresh and chilled products, signature of the importer may be substituted by person of a custom clearance company when the authority of signature is properly accredited to the company

GEAR CODE	GEAR TYPE
BB	Baitboat
GILL	Gillnet
HAND	Handline
HARP	Harpoon
LL	Longline
MWT	Mid-water trawl
PS	Purse seine
RR	Rod and reel
SPHL	Sport handline
SPOR	Sport fisheries, unclassified
SURF	Surface fisheries, unclassified
TL	Tended line
TRAP	Trap
TROL	Troll
UNCL	Unspecified methods
OT	Other type: Describe the type of gear



Original completed document must accompany exported shipment. Retain a copy for your records. The original (imports) or a copy (exports) must be postmarked and mailed, or faxed, within 24 hours of import or export to: XXXX

Requirements Concerning the ICCAT Swordfish Re-export Certificate

- 1 The sample form of the ICCAT Swordfish Tuna Re-export Certificate shall be as in Attachment 4.
- 2 Customs or other appropriate government officials will request and inspect all import documentation including the ICCAT Swordfish Re-export Certificate for all swordfish in the shipment. Those officials may also inspect the content of each shipment to verify the information on the document.
- 3 Only complete and valid documents will guarantee that shipments of swordfish will be allowed to enter the territory of Contracting Parties.
- 4 A Contracting Party shall be free to validate ICCAT Swordfish Re-export Certificates for swordfish imported by that Contracting Party, to which ICCAT Swordfish Statistical Documents or ICCAT Swordfish Re-export Certificates are attached. ICCAT Swordfish Re-export Certificates shall be validated by government organizations, persons authorized by a government organization, or by recognized institutions which are accredited by a Contracting Party's government to validate the ICCAT Swordfish Statistical Document. A copy of the original Swordfish Statistical Document accompanying the imported swordfish must be attached to an ICCAT Swordfish Re-export Certificate. The copy of the original Swordfish Statistical Document so attached must be verified by that government organization or by that recognized institution accredited by a government which validated the ICCAT Swordfish Statistical Document. When re-exported swordfish is again re-exported, all copies of documents, including a verified copy of a Statistical Document and Re-export Certificate which accompanied that swordfish upon importation, must be attached to a new Re-export Certificate to be validated by a re-exporting Contracting Party. All copies of the Documents to be attached to that new Re-export Certificate must be also be verified by a government organization or a recognized institution accredited by a government which validated the ICCAT Swordfish Statistical Document, or by persons authorized by a government organization.
- 5 Shipments of swordfish that are accompanied by improperly documented Swordfish Re-export Certificate (improperly documented means that the Swordfish Re-export Certificate is either missing from the shipment, incomplete, invalid or falsified) will be considered illegitimate shipments of swordfish, that are contrary to ICCAT conservation efforts, and their entry will be suspended (PENDING RECEIPT OF A PROPERLY COMPLETED DOCUMENT) into the territory of a Contracting Party or subject to administrative or other sanction.
- 6 ICCAT Contracting Parties that validate Re-export Certificates in accordance with the procedure set forth in paragraph 4 shall require from the re-exporting swordfish dealer necessary documents (e.g., written sales contracts) which are to certify that the swordfish to be re-exported corresponds to the imported swordfish. Contracting Parties which validate Re-export Certificates shall provide flag states and importing states with evidence of this correspondence upon their request.
- 7 The import of fish parts other than the meat, i.e., head, eyes, roe, guts, tails may be allowed without the document.

DOCUMENT NUMBER	ICCAT SWORDFISH RE-EXPORT CERTIFICATE			
RE-EXPORT SECTION:				
1. RE-EXPORTING COUNTRY/ENTITY/FISHING ENTITY				
2. POINT OF RE-EXPORT				
3. DESCRIPTION OF IMPORTED FISH				
Product Type(*) F/FR RD/GG/DR/FL/ST/OT		Net Weight (Kg)	Flag country/ Entity/Fishing entity	Date of Import
4. DESCRIPTION OF FISH FOR RE-EXPORT				
Product Type(*) F/FR RD/GG/DR/ST/FL/OT		Net Weight (Kg)		
* F=FRESH, FR=Frozen, RD=Round, GG=Gilled and Gutted, DR=Dressed, ST=Steak, FL=Fillet OT=Other(Describe the type of product)				
5. RE-EXPORTER CERTIFICATION: For export to countries/entities or fishing entities that have adopted the ICCAT alternative minimum size for swordfish, the exporter must certify that the listed Atlantic swordfish are greater than 15 kg (33 lb.) or if pieces, the pieces were derived from a swordfish weighing >15 kg.				
I certify that above information is complete, true and correct to the best of my knowledge and belief.				
Name	Company Name	Address	Signature	Date License # (if applicable)
6. GOVERNMENT VALIDATION: I validate that above information is complete, true and correct to the best of my knowledge and belief.				
Name & Title		Organization	Signature	Date
IMPORT SECTION:				
7. IMPORT CERTIFICATION: I certify that above information is complete, true and correct to the best of my knowledge and belief.				
Importer Certification (Intermediate Country / Entity / Fishing Entity)				
Name	Address	Signature	Date	License #(if applicable)
Importer Certification (Intermediate Country / Entity / Fishing Entity)				
Name	Address	Signature	Date	License #(if applicable)
Importer Certification (Intermediate Country / Entity / Fishing Entity)				
Name	Address	Signature	Date	License #(if applicable)
Final Point of Import				
City	State/Province	Country/Entity/Fishing Entity		

SWOSD Re-Export Certificate: 2001

NOTE: IF A LANGUAGE OTHER THAN ENGLISH IS USED IN COMPLETING THIS FORM, PLEASE ADD THE ENGLISH TRANSLATION ON THIS DOCUMENT.

ICCAT SWORDFISH RE-EXPORT CERTIFICATE INSTRUCTION SHEET

DOCUMENT NUMBER: Block for the issuing Country/Entity/Fishing Entity to designate a Country/Entity/Fishing Entity coded document number.

(1) RE-EXPORTING COUNTRY/ENTITY/FISHING ENTITY

Fill in the name of the Country/Entity/Fishing Entity which re-exports the swordfish in the shipment and issued this Certificate. According to the ICCAT Recommendation, only the re-exporting Country/Entity/Fishing Entity can issue this Certificate.

(2) POINT OF RE-EXPORT

Identify the City/State Province and Country/Entity/Fishing Entity from which the swordfish was re-exported.

(3) DESCRIPTION OF IMPORTED FISH

The exporter must provide, to the highest degree of accuracy, the following information: NOTE: One row should describe one product type. (1) Product type: Identify the type of product being shipped as either FRESH or FROZEN, and in ROUND, GILLED AND GUTTED, DRESSED, STEAK, FILLET or OTHER form. For OTHER, describe the type of products in the shipment. (2) Net weight: Net product weight in kilograms. (3) Flag Country/Entity/Fishing Entity: the name of the Country/Entity/Fishing Entity of the vessel that harvested the swordfish in the shipment. (4) Date of import: Imported date.

(4) DESCRIPTION OF FISH FOR RE-EXPORT

The exporter must provide, to the highest degree of accuracy, the following information: NOTE: One row should describe one product type. (1) Product type: Identify the type of product being shipped as either FRESH or FROZEN, and in ROUND, GILLED AND GUTTED, DRESSED, STEAK, FILLET or OTHER form. For OTHER, describe the type of products in the shipment. (2) Net weight: Net product weight in kilograms.

(5) RE-EXPORTER CERTIFICATION

The person or company re-exporting the swordfish shipment must provide his/her name, company name address, signature, date the shipment was re-exported, and re-exporter's license number (if applicable).

(6) GOVERNMENT VALIDATION

Fill in the name and full title of the official signing the Certificate. The official must be in the employment of the competent government authority of the re-exporting Country/Entity/Fishing Entity appearing on the Certificate, or a person or institution authorized to validate such certificates by the competent government authority. The substitutional measure described in paragraphs A-D of the *Resolution by ICCAT Concerning Validation by a Government Official of the Bluefin Statistical Document*, adopted by the Commission in 1993 may be applied to the above requirements for the validations in this Swordfish Statistical Document Program.

(7) IMPORTER CERTIFICATION

The person or company that imports swordfish must provide his/her name, company name, address, signature, date the swordfish was imported, license number (if applicable) and re-exported final point of import. This includes imports into intermediate Countries/Entities/Fishing Entities. For fresh and chilled products, the signature of the importer may be substituted by a person of a customs clearance company when the authority for signature is properly accredited to it by the importer.

RETURN A COPY OF THE COMPLETED CERTIFICATE TO: (the name of the office of the competent authority of the re-exporting Country/Entity/Fishing Entity).

REPORT OF THE ICCAT SWORDFISH STATISTICAL DOCUMENT

Period _____ to _____, _____ IMPORT COUNTRY/ENTITY/FISHING ENTITY _____
 Month Month Year

<i>Flag Country/Entity/ Fishing Entity</i>	<i>Area Code</i>	<i>Gear Code</i>	<i>Point of Export</i>	<i>Product Type</i>		<i>Product Wt.(Kg)</i>
				<i>F/FR</i>	<i>RD/GG/DR/ST/FL/OT</i>	

SWOSD Biannual Report Form: 2001

Gear Code

BB
GILL
HAND
HARP
LL
MWT
PS
RR
SPHL
SPOR
SURF
TL
TRAP
TROL
UNCL
OTH

Gear Type

Baitboat
Gillnet
Handline
Harpoon
Longline
Mid-water trawl
Purse seine
Rod & reel
Sport handline
Sport fisheries unclassified
Surface fisheries unclassified
Tended line
Trap
Troll
Unclassified methods
Other type (Indicate the type of gear):

Product type

F Fresh
FR Frozen
RD Round
GG Gilled & gutted
DR Dressed
FL Fillet
ST Steak
OT Other form, describe the type of products in the shipment

Area Code

NAT North Atlantic
SAT South Atlantic
MED Mediterranean
PAC Pacific Ocean
ID Indian Ocean

REPORT OF THE ICCAT SWORDFISH RE-EXPORT CERTIFICATE

Period _____ to _____, _____ IMPORT COUNTRY/ENTITY/FISHING ENTITY _____
 Month Month Year

<i>Flag Country / Entity/Fishing Entity</i>	<i>Re-export Country/Entity/ Fishing Entity</i>	<i>Point of Re-export</i>	<i>Product Type</i>		<i>Product Wt.(Kg)</i>
			<i>F/FR</i>	<i>RD/GG/DR/ST/FL/OT</i>	

SWOSD Biannual Re-Export Certificate Report Form: 2001

Product type

F	Fresh
FR	Frozen
RD	Round
GG	Gilled & gutted
DR	Dressed
ST	Steak
FL	Fillet
OT	Other form, describe the type of products in the shipment

INFORMATION ON VALIDATION OF ICCAT STATISTICAL DOCUMENTS

- 1 Flag _____
- 2 Statistical Document (Bluefin, Bigeye, Swordfish, All): _____
- 3 Government/Authority organization(s) accredited to validate Statistical Documents

<i>Organization Name</i>	<i>Organization Address</i>	<i>Sample Seal</i>

NOTE: For each organization, attach a list with the names, titles and addresses of the individuals authorized to validate Documents.

- 4 Other institutions accredited by the government/authority to validate Statistical Documents

<i>Organization Name</i>	<i>Organization Address</i>	<i>Sample Seal</i>

Validation Information Form: 2001

NOTE: For each organization, attach a list with the names, titles and addresses of the individuals authorized to validate Documents.

Instructions: Contracting Parties, non-Contracting Parties, Entities, Fishing Entities having vessels that harvest species whose international trade must be accompanied by ICCAT Statistical Documents are requested to submit the information on this sheet to the Executive Secretary of ICCAT¹, and to ensure that any changes to the above are also transmitted to the Executive Secretary on a timely fashion.

¹ICCAT: c/Corazón de María, 8 (6th floor), Madrid, Spain 28002.

**RECOMMENDATION BY ICCAT
CONCERNING THE AMENDMENT OF THE FORMS OF
THE ICCAT BLUEFIN/BIGEYE/SWORDFISH STATISTICAL DOCUMENTS¹**

(Entered into force: **June 19, 2004**)

NOTING that the *Recommendation by ICCAT Concerning the Establishment of an ICCAT Record of Vessel Over 24 Meters Authorized to Operate in the Convention Area* [02-22²] prescribes that both exporting and importing Contracting Parties, Cooperating non-Contracting Parties, Entities or Fishing Entities (hereinafter referred to as CPCs) shall cooperate to ensure that the forgery of or misinformation in statistical documents is avoided;

RECOGNIZING that additional information such as vessel length and time of harvest is necessary for better implementation of Commission's conservation and management measures and for the smooth implementation of the Recommendation [02-22];

CONSIDERING that the Standing Committee on Research and Statistics (SCRS) and Ad Hoc Data Workshop are strongly concerned about the quality of the catch data including statistics related to bluefin farming;

FURTHER RECOGNIZING the necessity of better data collection on farming tuna through the Statistical Document Program;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

- 1 The sample forms of the statistical documents and the re-export certificate and instruction sheets in the following Recommendations and Resolution shall be replaced by the attached forms and instructions, respectively.
 - a) *Resolution by ICCAT Concerning the Effective implementation of the ICCAT Bluefin Tuna Statistical Document Program* [94-5]
 - b) *Recommendation by ICCAT Concerning the Implementation of the ICCAT Bluefin Tuna Statistical Document Program on Re-export* [97-4]
 - c) *Recommendation by ICCAT Concerning the ICCAT Bigeye Tuna Statistical Document Program* [01-21]
 - d) *Recommendation by ICCAT Establishing a Swordfish Statistical Document Program* [01-22]
- 2 Related to the *Recommendation by ICCAT on Bluefin Tuna Farming* [03-09], the Contracting Parties, Cooperating non-Contracting Parties, Entities or Fishing Entities that export farmed bluefin tuna products shall ensure to mark the box "Farmed" in the first line of the ICCAT Bluefin Tuna Statistical Document or the box in item 5 of the ICCAT Bluefin Tuna Re-export Certificate.
- 3 The Commission shall communicate with other relevant regional fishery management bodies which established the statistical document programs and the authorized vessel records and request them to implement the similar reforms.

¹ Note from the Secretariat: The amended forms and instruction sheets have been appended to the relevant Recommendations and Resolutions, the *Resolution by ICCAT Concerning the Effective Implementation of the ICCAT Bluefin Tuna Statistical Document Program* [Ref. 94-05], the *Recommendation by ICCAT Concerning the Implementation of the ICCAT Bluefin Tuna Statistical Document Program on Re-export* [Ref. 97-04], the *Recommendation by ICCAT Concerning the ICCAT Bigeye Tuna Statistical Document Program* [Ref. 01-21] and the *Recommendation by ICCAT Establishing a Swordfish Statistical Document Program* [Ref. 01-22].

² Replaced by Rec. 13-13 as amended by Rec. 14-10.

**RECOMMENDATION BY ICCAT
ON AN ELECTRONIC STATISTICAL DOCUMENT PILOT PROGRAM**

(Entered into force: **June 13, 2007**)

RECALLING that ICCAT's Working Group to Review Statistical Monitoring Programs concluded that improved implementation of the statistical document programs is warranted,

RECOGNIZING the developments in electronic information exchange and the benefits of rapid communication with regard to the processing and management of ICCAT's statistical document programs, and

NOTING that electronic systems could improve the ICCAT statistical document programs through expediting cargo handling, increasing the ability to detect fraud and deter IUU shipments, facilitating more efficient exchange of information between exporting and importing parties, and encouraging automated links between national catch reporting and customs processing systems,

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

1. Contracting Parties and Cooperating non-Contracting Parties, Entities and Fishing Entities (CPCs), to the extent they are able, should develop pilot projects to investigate the feasibility of electronic systems to improve the statistical document programs, consistent with their national laws. Pilot projects shall contain all of the information elements of the current paper systems and have the ability to produce paper copies upon request of national authorities from the exporting and importing parties.
2. CPCs implementing a pilot electronic system shall coordinate with importing and exporting partners prior to the proposed effective date of the pilot system to ensure that the electronic system meets the current requirements of the ICCAT statistical document programs, taking into consideration the respective national regulations of the importing and exporting parties and the need for electronic means of authenticating transactions and users of the system. The pilot electronic system should be flexible enough to accommodate any agreed changes to ICCAT's programs in the future.
3. CPCs implementing a pilot electronic statistical document program shall continue to accept valid paper documents from exporting parties, and issue paper documents to importing parties, for all such parties unable to participate in the pilot program and for all participating parties upon notification of either party.
4. A description of the pilot electronic system and details of its implementation shall be provided to the Secretariat for distribution to all parties. Parties taking part in the pilot program shall report observations on the advantages and problems, if any, to the Commission.

**RECOMMENDATION BY ICCAT ON AN ELECTRONIC
BLUEFIN TUNA CATCH DOCUMENT PROGRAMME (eBCD)**

(Entered into force: **June 14, 2011**)

TAKING INTO ACCOUNT the multi-annual recovery plan for eastern Atlantic and Mediterranean bluefin tuna.

RECOGNIZING the developments in electronic information exchange and the benefits of rapid communication with regard to the processing and management of catch information.

NOTING the ability of electronic catch documentation systems to detect fraud and deter IUU shipments and the creation of automated links between Parties including exporting and importing authorities.

RECOGNIZING the necessity to develop and strengthen the implementation of the bluefin tuna catch documentation by the implementation of an electronic document system.

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION OF
ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

An electronic Bluefin Tuna Catch Documentation System (eBCD) shall be developed and maintained at the ICCAT Secretariat covering all bluefin tuna caught, farmed, harvested and traded.

The technical specifications of the eBCD system along the lines of the concepts presented in the enclosed document together with full details of its implementation shall be developed by the Secretariat in collaboration with CPCs through the formation of an eBCD Working Group.

This Working Group shall meet throughout 2011 and discuss in detail which elements shall be developed by the Secretariat, based on their experience and management of other databases such as the ICCAT Record of Vessels, and those that will need to be undertaken by outsourced technical services.

On this basis the development and testing of the system will proceed under the guidance of the Working Group so as to be completed prior to the 2011 annual meeting.

The *Recommendation by ICCAT Amending Recommendation 08-12 on an ICCAT Bluefin Tuna Catch Documentation Program* [Rec. 09-11] shall then be amended at the 2011 annual meeting so that the eBCD system is fully operational by 1 March 2012.

The Bluefin Tuna Catch Documentation (BCD) Programme – The way forward through the development of an electronic BCD system (eBCD)

1. Background

As part of the measures to sustainably manage eastern Atlantic and Mediterranean bluefin tuna, improve the quality and reliability of statistical data and prevent, deter and eliminate illegal, unregulated and unreported fishing, ICCAT adopted in 2007 a catch documentation programme for bluefin tuna entitled the blue-fin catch document (BCD) which must accompany bluefin tuna products from catch to trade.

Each BCD is composed of different sections (catch, transfer, farming, harvesting, trade) which must each be completed by concerned operators and subsequently validated by their flag and/or farm States. By validating, flag State authorities confirm that the products referred to each section of the BCD have been caught and transferred in accordance with appropriate conservation and management measures.

The programme has, however, suffered from a number of shortcomings which have been discussed during the 2009 ICCAT annual meeting as well as the 2010 intersessional Compliance Committee, which if not improved could weaken the management of E-BFT particularly within the purse seine and farming sectors.

In light of the discussions at the Second Joint Meeting of Tuna Regional Fisheries Management Organisations in San Sebastian, Spain, in 2009 which concluded that minimum standards or best practices for catch document systems should be adopted, and in the context of the draft recommendation for an electronic catch document pilot programme proposed by the Working Group on Integrated Monitoring Measures in Madrid, Spain in February 2010, the framework in ICCAT for technological developments to the BCD programme are well founded.

2. Current situation

The BCD programme is currently 100% paper based with validation authorities, seals, signatures and numbers provided by flag CPC authorities and registered with ICCAT.

A number of sections must be completed by operators while others by the competent validating authorities. The provisions of ICCAT Recommendation [09-11] require a copy of a BCD to be sent to the ICCAT Secretariat by the CPC authorities within five days of validation.

The EU considers the main problems associated with the programme to date include, but are not limited to:

(1) Delays in validation

Issues have been observed in the validation procedures associated with the relevant sections of the BCD. This concerns both delays in validation as well as the order in which the validations have taken place.

(2) Traceability

This specifically relates to where there have been variations in the numbers of individual eastern Atlantic and Mediterranean bluefin tuna throughout the supply chain, particularly the case in live trade and split shipments (lots).

(3) Security / confidentiality of information

The lack of real-time centralisation of information cannot safeguard its integrity and confidentiality.

(4) Errors and unreadable entries

There are also cases, often due to faxed or scanned copies, where the entries have become unreadable and impossible to verify. Alternatively, there are cases where data has been entered incorrectly and/or in the wrong field.

3. The way forward

In light of recent developments in electronic information exchange, processing and management it is clear that electronic systems can improve the BCD Programme through the treatment of shipments (lots), the ability to detect fraud and deter IUU shipments and the facilitation of automated links between the various actors involved including exporting and importing authorities.

Alongside the deficiencies in the Programme, there is therefore the need through technological advances to strengthen and further develop the BCD Programme.

An electronic BCD system should be developed and maintained at the ICCAT Secretariat to ensure the legitimacy of actions and data related to the programme which will also facilitate enhanced monitoring and control at the critical control points.

4. Technical overview of the eBCD system

An electronic BCD system (eBCD) should involve a central database at the ICCAT Secretariat that can only be accessed by secure web-based technology by each respective 'actor'¹ involved in the catching, farming, harvesting and trading of bluefin tuna.

The online BCD form used by each actor will have the same appearance and be completed in the same way as the paper version.

The rights and obligations of each actor will be strictly related to their role in the BCD Programme by way of secured access or administrative rights, i.e. such that a validating authority can only validate, while a fisherman can only enter catch data.

The access to the system will be based on standard technology and users need only have an internet connection (with the required security installed). Alternatively, the system should be able to receive data automatically provided by catch information systems in the CPCs, for example systems managing electronic logbook data.

The system will be progressive in accordance with the known traceability of bluefin tuna, so for example the farming section cannot be filled in before the catch section is completed and subsequently validated. See **Figure 1**, which represents the basic flow of information and involvement of the different 'actors' within the BCD Programme.

The system can be customised for error and/or non-compliance prevention, so for example catch can only be recorded weighing between 8 and 500 kgs can be entered or catch can not be validated in a closed season / area.

The system should be linked with other ICCAT information sources such as the Record of Vessels, so that only those vessels authorised and active can report a catch. Likewise, other sources like the VMS Registry or the list of Joint Fishing Operation repartition keys could be linked to the eBCD system.

As there is a requirement for the BCD to follow the fish, it can be envisaged for a user to print out and display the BCD number and/or barcode on a shipment/lot. This BCD number barcode identifier could then be cross-checked by an inspector, who need only log onto to the secure ICCAT website. The compliance aspects / features should be further discussed between CPCs (e.g. prior authorisations could be dealt with by the system).

¹ 'Actors' refer to operators (fisherman, farms) and/or their representatives and validating authorities.

An important element of the system will be dedicated to managing the user accounts with the login name, password, contact details and/or security certificate. Every actor should receive one or more user accounts associated to their rights in the eBCD system. Every CPC shall manage the user accounts dedicated to them.

For the actors themselves, they will obtain the necessary information and/or security certificate from the system in order to start using the eBCD system simply with a default internet connection and web browser.

Account details and security certificates will also need to be implemented for automatic data exchange, for which the uniform data exchange format needs to be developed.

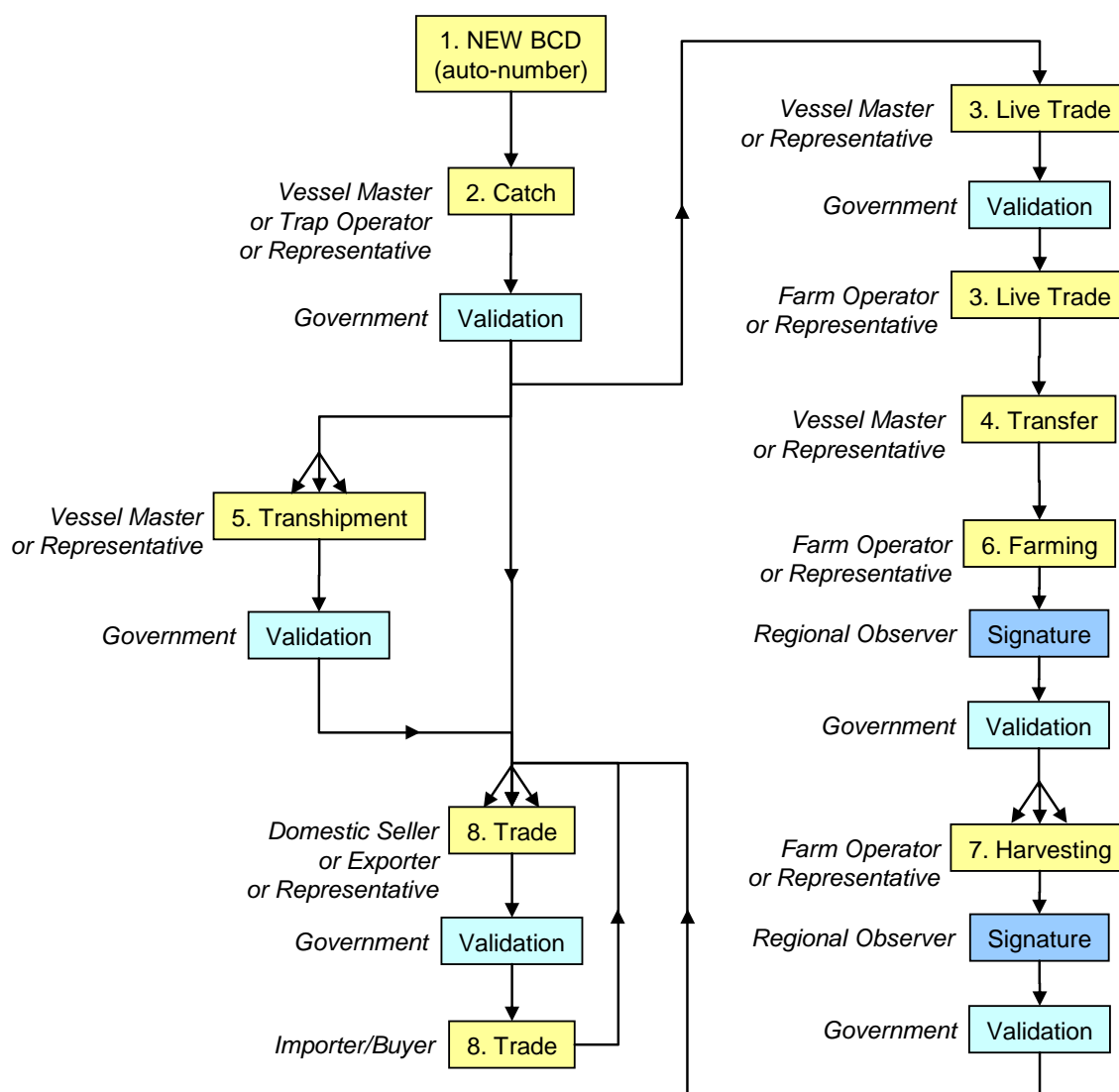


Figure 1. Basic flowchart of BCD sections with related actors.

5. Example actions and related actors:

Each 'action' in the system has different applications, each of which has its own actor's specific to it. Below are a number of example actions:

- **Validating:** after the completion of the catching, farming, trading and harvesting sections, a validating authority must validate the content before the eBCD can pass to the next actor.
- **Inserting** a new quantity into the system: can only be done by fishermen or trap owners which by doing so generates a new BCD and unique BCD ID number.

- **Transmitting:** actors like transfer vessels or transport companies cannot amend the entries relating to the quantities of bluefin tuna reported caught, but only complete transmit them to the next actor. Farming is a specific case as the number of individuals will remain equal while the weight increases.
- **Splitting:** Includes fish processing so the catch is split in different products, also splitting of shipments for different trade destinations.
- **Combining:** contrary to splitting, several batches of tuna could be combined into one before continuing the trade.
- **Exiting:** usually when the fish is sold on the market, it exits from the eBCD chain and becomes inactive nonetheless the data remains on the eBCD database.

The system should also have an 'alerting' function, such that each actor is alerted by means of an email which will direct them (URL link) to the eBCD system.

6. Advantages of the eBCD system

The electronic system will manage all aspect of the eBCD programme, also the printed BCD numbers which accompany the fish.

In general the eBCD system will look to improve the following:

- Copying, scanning, emailing etc.
- Delays in sending BCDs for validation
- Errors and poor quality entries
- Encoding of BCD data (within CPCs or by Secretariat)
- Non-compliance
- Administrative burden.

As mentioned, the system could be further expanded for control purposes and allow connections with other systems.

7. Way forward

The EU proposes that a system be discussed and agreed with a view to developing system specification and/or minimum standards, which could assist the Secretariat in the development of the system. External technical services may also be needed for some aspects of system development.

Following the agreement of the Commission, the *Recommendation by ICCAT Amending the Recommendation 08-12 on an ICCAT Bluefin Tuna Catch Documentation Program* [Rec. 09-11] will then be revisited at the 2011 annual meeting with a view to incorporating the eBCD system.

Given the time required for the development and testing it is realistic to envisage the system being operational in 2012.

It would be more appropriate to have an instantaneous switch-over as opposed to a phased approach, consequently 1 March 2012 would be a suitable date for the system to go online as this date in the context of the eastern Atlantic and Mediterranean bluefin tuna Recovery Plan this represents the beginning of the campaign (submission date for authorised vessel lists, annual fishing plans).

The ICCAT Secretariat shall therefore establish an ICCAT eBCD system so as to be fully operational by 1 March 2012.

**RECOMMENDATION BY ICCAT ON A PROCESS TOWARDS THE ESTABLISHMENT
OF A CATCH CERTIFICATION SCHEME FOR TUNA AND TUNA-LIKE SPECIES**

(Entered into force: **June 10, 2013**)

RECOGNIZING the impact that market factors have on the fishery;

CONCERNED by the impact that illegal, unregulated and unreported (IUU) fishing has in the ICCAT Convention area;

REITERATING the responsibilities of flag States to ensure that their vessels conduct their fishing activities in a responsible manner, fully respecting ICCAT conservation and management measures;

NOTING the need for improved and strict control on all the components involved in the tuna and tuna-like species fisheries;

UNDERLINING the complementary role that importing States also have in the control of the catches of tuna and tuna-like species to ensure compliance with ICCAT conservation and management measures;

RECALLING ICCAT's statistical document program for bigeye tuna and swordfish and their objectives;

RECOGNIZING that properly tracing tuna and tuna-like species from the point of capture to their final import has significant operational and technical aspects that would need to be addressed for any effective catch certification scheme;

COMMITTED to taking steps that conform with international law, notably as regards the World Trade Organization (WTO), and to ensure that tuna and tuna-like species entering markets of Contracting and Cooperating non-Contracting Parties, Entities or Fishing Entities (CPCs) of ICCAT and non-members of ICCAT is caught in the Convention area in a manner that does not diminish the effectiveness of ICCAT conservation and management measures;

CONSIDERING the discussions on traceability system in the 7th Meeting of the Working Group on Integrated Monitoring Measures (hereinafter referred to as the 7th IMM WG),

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

1. The next meeting of the Working Group on Integrated Monitoring Measures in 2013 shall address technical and practical issues associated with the development of a Catch Certificate Scheme for tuna and tuna-like species, taking into consideration Appendix 3 of the Report on the 7th IMM WG and taking into account the following factors:
 - i) The conservation status of ICCAT species/stocks;
 - ii) Monitoring and control measures currently in place, including catch and trade tracking programs, and their effectiveness and utility;
 - iii) Which species, stocks, ocean areas, and/or fisheries would most benefit from additional monitoring and control measures, and which approaches or tools, including catch certification schemes, could best be used to enhance the effectiveness of ICCAT conservation and management measures;
 - iv) How ICCAT fisheries are conducted (e.g., fishing grounds, gear types, transshipment activities, harvesting CPCs, etc);
 - v) The ways in which products from ICCAT fisheries are processed, transported, and traded;
 - vi) The overall level of trade by species and product type as well as the CPCs and non-Contracting Parties, Entities or Fishing Entities (NCPs) involved;

- vii) Operational issues, capacity requirements, and costs associated with various monitoring and control approaches, including data collection, submission, handling, analysis, reconciliation and dissemination associated with catch certification schemes and options for addressing the costs; and
 - viii) Any other relevant issues or information.
2. The Commission shall also hold a Working Group on Integrated Monitoring Measures meeting in 2014 to review the draft recommendation on catch certification in Appendix 3 of the Report of the 7th IMM WG and consider the development of catch certification schemes in light of the results of the discussions on paragraph 1 above.
 3. In considering matters mentioned in paragraphs 1 and 2, CPCs shall take into account the progress of developments of the Electronic Bluefin Tuna Catch Documentation (eBCD) programme and each CPC's experience of existing catch documentation schemes.
 4. The Commission at its 2014 Annual Meeting shall consider any draft recommendations on catch certification schemes for tuna species for their adoption with a view to implementing such scheme in 2015.

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**RECOMMENDATION BY ICCAT AMENDING ANNEX 1 OF RECOMMENDATION 11-20
ON AN ICCAT BLUEFIN TUNA CATCH DOCUMENTATION PROGRAM**

(Entered into force: **June 10, 2014**)

RECOGNIZING the necessity to analyze BCD information on a cage by cage basis;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION OF
ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

An asterisk (*) shall be put on “Date of caging” and “cage number” in “6. Farming information” in Annex 1 of Recommendation 11-20.

Data to be Included in Bluefin Tuna Catch Document (BCD)

1. ICCAT Bluefin tuna catch document number*

2. Catch Information

Name of the Catching Vessel or Trap name*

Name of the Other Vessels (in case of JFO)

Flag*

ICCAT Record No.

Individual Quota

Quota used for this BCD

Date, area of catch and gear used*

Number of fish, total weight, and average weight*¹ ICCAT Record number of Joint Fishing Operation (if applicable)*

Tag No. (if applicable)

Government validation

Name of authority and signatory, title, signature, seal and date

3. Trade Information for live fish trade

Product description

Exporter/Seller information

Transportation description

Government validation

Name of authority and signatory, title, signature, seal and date

Importer/buyer

4. Transfer information

Towing vessel description

ICCAT Transfer Declaration No.

Vessel name, flag

ICCAT Record No.

Number of fish dead during transfer

Total weight of dead fish (kg)

Towing cage description

Cage number

5. Transshipment information

Carrier vessel description

Name, Flag, ICCAT Record No., Date, Port name, Port state, position

Product description

(F/FR; RD/GG/DR/FL/OT)

Total weight (NET)

Government validation

Name of authority and signatory, title, signature, seal and date

¹ Weight shall be reported by round weight where available. If round weight is not used, specify the type of product (e.g. GG) in the "Total Weight" and "Average Weight" section of the form.

* Information to be entered by the Secretariat in the BCD database (see paragraph 20).

6. Farming information

Farming facility description

Name, CPC*, ICCAT FFB No.* and location of farm

Participation in national sampling program (yes or no)

Cage description

Date of caging*, cage number*

Fish description

Estimates of number of fish, total weight, and average weight*¹

ICCAT Regional observer information

Name, ICCAT No., signature

Estimated size composition (<8 kg, 8-30 kg, >30 kg)

Government validation

Name of authority and signatory, title, signature, seal and date

7. Harvesting information

Harvesting description

Date of harvest*

Number of fish, total (round) weight, and average weight*

Tag numbers (if applicable)

ICCAT regional observer information

Name, ICCAT No., signature

Government validation

Name of authority and signatory, title, signature, seal and date

8. Trade information

Product description

(F/FR; RD/GG/DR/FL/OT)²

Total weight (NET)*

Exporter/Seller information

Point of export or departure*

Export company name, address, signature and date

State of destination*

Description of transportation (relevant documentation to be attached)

Government validation

Name of authority and signatory, title, signature, seal and date

Importer/buyer information

Point of import or destination*

Import company name, address, signature and date³

² When different types of products are recorded in this section, the weight shall be recorded by each product type.

³ DATE to be filled by IMPORTER/BUYER in this section is the date of signature.

**RECOMMENDATION BY ICCAT REPLACING RECOMMENDATION 17-09
ON THE APPLICATION OF THE EBCD SYSTEM**

(Entered into force **21 June 2019**)

TAKING INTO ACCOUNT the multi-annual recovery plan for eastern Atlantic and Mediterranean bluefin tuna and the commitment to develop an electronic bluefin tuna catch document (eBCD) system;

RECOGNIZING the developments in electronic information exchange and the benefits of rapid communication with regard to the processing and management of catch information;

NOTING the ability of electronic catch documentation systems to detect fraud and deter IUU shipments, expedite the validation/verification process of bluefin tuna catch documents (BCDs), prevent erroneous information entry, reduce pragmatic workloads and create automated links between Parties including exporting and importing authorities;

RECOGNIZING the necessity to implement the eBCD system to strengthen the implementation of the bluefin tuna catch documentation program;

FOLLOWING the work of the eBCD Technical Working Group (TWG) and the system design and cost estimates presented in the feasibility study;

CONSIDERING the commitments previously made in *Recommendation by ICCAT Supplementing the Recommendation for an Electronic Bluefin Tuna Catch Document (eBCD) System* [Rec. 13-17] and the decision made at the 19th Special Meeting regarding the status of program implementation;

FURTHER RECOGNIZING the technical complexity of the system and the need for ongoing development and resolution of outstanding technical issues;

ACKNOWLEDGING the full implementation of the eBCD system since 2016;

NOTING the review in 2017 of the relevance of specific derogations and their associated deadlines;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

1. All CPCs concerned shall, as soon as possible for eBCD system implementation, submit to the Secretariat the data necessary to ensure the registration of their users in the eBCD system. Access to and use of the system cannot be ensured for those who fail to provide and maintain the data required by the eBCD system.
 2. Use of the eBCD system is mandatory for all CPCs and paper BCDs shall no longer be accepted, except in the limited circumstances specified in paragraph 6 below.
 3. CPCs may communicate to the Secretariat and the TWG their experiences on technical aspects of system implementation including any difficulties experienced and identification of improvements to functionalities to enhance eBCD implementation and performance. The Commission may consider these recommendations and financial support to further develop the system.
1. The substantive provisions of Recommendation 18-13 will be applied *mutatis mutandis* to the electronic BCDs (eBCDs).

5. Notwithstanding paragraph 4 of this recommendation, the following provisions shall be applied with respect to the BCD program and its implementation through the eBCD system:

- a) Following the recording and validation of catch and first trade in the eBCD system in accordance with part II of Recommendation 18-13, the recording of information on internal sales of bluefin tuna in the eBCD (i.e. sales occurring within one Contracting Party or Cooperating non-Contracting Party, Entity or Fishing Entity (CPC) or, in the case of the European Union, within one of its Member States) is not required.
- b) Following the recording and validation of catch and first trade in the eBCD, the domestic trade between Member States of the European Union shall be completed in the eBCD system by the seller consistent with paragraph 13 of Recommendation 18-13; however, in derogation to Recommendation 18-13, where such trade is of bluefin tuna that is in the following product forms listed on the eBCD, validation shall not be required: “fillets” (FL) or “other, specified” (OT). “Gilled and gutted” (GG), “dressed” (DR), and “Round” (RD) product forms will require validation. When such product (FL and OT) is packaged for transport, however, the associated eBCD number must be written legibly and indelibly on the outside of any package containing any part of the tuna except for exempted products specified in paragraph 10 of Recommendation 18-13.

For such product (FL and OT), in addition to the requirements in the above paragraph, subsequent domestic trade to another Member State shall only take place when the trade information from the previous Member State has been recorded in eBCD system. Export from the European Union shall take place only if the previous trade between Member States has been properly recorded, and such export shall continue to require validation in the eBCD system consistent with paragraph 13 of Rec. 18-13.

The derogation in this paragraph expires on 31 December 2020. The European Union shall report to the Commission on the implementation of this derogation by 1 October each year of the derogation. This report shall include information on its process for verification and the outcomes of that process and data about these trade events, including relevant statistical information. Based on these reports and any other relevant information brought to the Commission, the Commission shall review the validation derogation at its 2020 annual meeting for decision on its possible extension.

The trade of live bluefin tuna including all trade events to and from bluefin farms must be recorded and validated in the eBCD system in accordance with the provisions of Recommendation 18-13 unless otherwise specified in this recommendation. The validation of sections 2 (catch) and 3 (live trade) in the eBCD may be completed simultaneously in derogation to paragraph 3 of Recommendation 18-13. The amending and re-validation of sections 2 and 3 in the eBCD as required by Paragraph 99 of Recommendation 18-02¹ may be completed following caging operation.

- c) Bluefin tuna harvested in sport and recreational fisheries for which sale is prohibited is not subject to the terms of Recommendation 18-13 and need not be recorded in the eBCD system.
- d) The provisions of paragraph 13 of Recommendation 18-13 for waiving government validation of tagged fish only apply when the domestic commercial tagging programs of the flag CPC for the vessel or trap that harvested the bluefin tuna under which the fish are tagged are consistent with the requirements of paragraph 21 of that recommendation and meet the following criteria:
 - i) All bluefin tuna in the eBCD concerned are individually tagged;
 - ii) Minimum information associated with the tag includes:
 - Identifying information on the catching vessel or trap;
 - Date of capture or landing;
 - The area of harvest of the fish in the shipment;
 - The gear utilized to catch the fish;

¹ Replaced by Rec. 19-04

- The type of product and individual weight of the tagged bluefin tuna, which may be done through the appending of an Annex. Alternatively for those fisheries concerned by the derogations to minimum size under the *Recommendation by ICCAT Establishing a Multi-Annual Management Plan for Bluefin Tuna in the Eastern Atlantic and the Mediterranean Sea* (Rec. 18-02)¹, CPCs may instead provide the approximate weight of individual fish within the catch upon offloading, which is determined through representative sampling. This alternative approach shall apply through 2020 unless extended by the Commission after considering CPC reports on its implementation;
- Information on the exporter and importer (where applicable);
- The point of export (where applicable).

iii) Information on tagged fish is compiled by the responsible CPC.

- e) Bluefin tuna that die during the transfer, towing, or caging operations foreseen by paragraphs 86 to 102 of Recommendation 18-02¹ prior to harvesting may be traded by the purse seine vessel, auxiliary/support vessel(s), and/or farm representatives, where applicable.
- f) Bluefin tuna that are caught as by-catch in the eastern Atlantic and Mediterranean by vessels not authorized to fish actively for bluefin tuna pursuant to Rec. 18-02¹ may be traded. In order to improve the functioning of the eBCD system access to the system by CPC authorities, port authorities and/or through authorised self-registration shall be facilitated, including by way of their national registration number. Such registration only permits access to the eBCD system and does not represent an authorisation by ICCAT; hence no ICCAT number will be issued. Flag CPCs of the vessels concerned are not required to submit a list of such vessels to the ICCAT Secretariat.
- g) The requirement in paragraph 13 b) of Recommendation 18-13 providing that BCDs may only be issued when the accumulated validated amounts are within their quotas or catch limits of each management year, does not apply to CPCs whose domestic legislation requires that all dead or dying fish be landed, provided that the value of the catch is subject to confiscation in order to prevent the fishermen from drawing any commercial profit from such fish. The CPC shall take necessary measures to prevent the confiscated fish from being exported to other CPCs.
- h) Paper BCDs shall continue to be used for the trade of Pacific bluefin tuna until such time as the functionality for such tracking is developed within the eBCD system. Such functionality will include the data elements listed in Annexes 1 and 2 unless otherwise decided to address future data collection needs.
- i) The trade section of an eBCD shall be validated prior to export. The buyer information in the trade section must be entered into the eBCD system as soon as available and prior to re-export.
- j) Access to the eBCD system shall be granted to ICCAT non-CPCs to facilitate trade of bluefin tuna. Until such time as the functionality is developed that allows non-CPC access to the system, this shall be accomplished through completion by the non-CPC of paper BCD program documents consistent with the terms of paragraph 6 and submission to the ICCAT Secretariat for entry into the eBCD system. The Secretariat shall communicate without delay to those non-CPCs known to trade in Atlantic bluefin tuna to make them aware of the eBCD system and the provisions of the BCD program applicable to them.
- k) To the extent possible, reports generated from the eBCD system shall fulfill the annual reporting requirements in paragraph 34 of Recommendation 18-13. CPCs shall also continue to provide those elements of the annual report that cannot be produced from the eBCD system. The format and content of any additional reports will be determined by the Commission taking into account appropriate confidentiality rules and considerations. At a minimum, reports shall include catch and trade data by the CPCs that are appropriately aggregated. CPCs shall continue to report on their implementation of the eBCD system in their Annual Reports.

6. Paper BCD documents (issued pursuant to Recommendation 18-13) or printed eBCDs may be used in the following cases:

- a) Landings of quantities of bluefin tuna less than one metric ton or three fish. Such paper BCDs shall be converted to eBCDs within a period of seven working days or prior to export, whichever is first.
- b) Bluefin tuna caught prior to the full implementation of the eBCD system as specified in paragraph 2.
- c) Notwithstanding the requirement to use the eBCD system in paragraph 2, paper BCDs or printed eBCDs may be used as a back-up in the limited event that technical difficulties with the system arise that preclude a CPC from using the eBCD system, following the procedures as set forth in **Annex 3**. Delays by CPCs in taking necessary actions, such as providing the data necessary to ensure the registration of users in the eBCD system or other avoidable situations, do not constitute an acceptable technical difficulty.
- d) In the case of trade of Pacific bluefin tuna as specified in paragraph 5(h).
- e) In the case of trade between ICCAT CPCs and non-CPCs where access to the eBCD system through the Secretariat (pursuant to paragraph 5(j) above) is not possible or is not timely enough to ensure the trade is not unduly delayed or disrupted.

The use of a paper BCD document in the cases specified in sub-paragraphs a) through e) shall not be cited by importing CPCs as a reason to delay or deny import of a bluefin tuna shipment provided it complies with the existing provisions of Recommendation 18-13 and relevant provisions of this recommendation. Printed eBCDs that are validated in the eBCD system satisfy the validation requirement stipulated in paragraph 3 of Recommendation 18-13.

Where requested by a CPC, conversion of paper BCDs to eBCDs shall be facilitated by the ICCAT Secretariat or through the creation in the eBCD system of user profiles for CPC authorities at their request for this purpose, as appropriate.

- 7. The Technical Working Group shall continue its work and, through the ICCAT Secretariat, inform the developing consortium of the specifications on required system developments and adjustments and steer their implementation.
- 8. This recommendation clarifies Recommendation 18-02¹ and clarifies and amends Recommendation 18-13.
- 9. This Recommendation repeals and replaces the *Recommendation by ICCAT Amending Recommendation 15-10 on the application of the eBCD system* (Rec. 17-09).

Data requirement for the Trade of Pacific Bluefin Tuna under the BCD program

Section 1: Bluefin Tuna Catch Document Number

Section 2: Catch information

Name of catching vessel/trap

Flag/CPC

Area

Total weight (kg)

Section 8: Trade information

Product description

- (F/FR; RD/GG/DR/FL/OT)

- Total weight (NET)

Exporter/seller information

- Company name

- Point of export/departure

- State of destination

Transportation description

Government validation

Importer/buyer

- Company name, license number

- Point of import or destination

ICCAT Bluefin Tuna Re-Export Certificate

Section 1. Bluefin Tuna Re-Export Certificate Number

Section 2: Re-export section

Re-export country/entity/fishing entity

Point of re-export

Section 3: Description of imported bluefin tuna

Net weight (kg)

BCD (or eBCD) number and date(s) of importation

Section 4: Description of bluefin tuna for re-export

Net weight (kg)

Corresponding BCD (or eBCD) number

State of destination

Section 6: Government validation

**Procedures to allow the issuance of paper BCDs or printed eBCDs
due to technical difficulties with the eBCD system**

A. If the technical difficulty occurs during working hours of the Secretariat and the eBCD implementing consortium:

1. As an initial step, the CPC encountering the technical difficulty shall contact the implementing consortium to confirm and try to resolve the technical difficulty and also include the Secretariat in these communications. The implementing consortium shall provide an acknowledgement of the technical difficulty to the CPC.
2. In the case where a technical difficulty that has been confirmed by the implementing consortium cannot be resolved before a trade event must occur, the CPC shall inform the Secretariat of the nature of the technical difficulty and provide it with the information set out in the attached Appendix as well as a copy of the confirmation of the technical difficulty from the implementing consortium.
3. The Secretariat shall notify other CPCs that paper BCDs may temporarily be used by the CPC encountering the technical difficulty by posting the information provided in paragraph 2 above on the public part of the ICCAT website without delay. The CPC may then use a paper BCD or a printed eBCD for the trade event.
4. A CPC encountering the technical difficulty shall continue to work with the implementing consortium and, as appropriate, the Secretariat to resolve the issue.
5. The CPC shall report when the technical difficulty has been resolved, either through the eBCD system self-reporting incident site or to the Secretariat, for immediate posting on the ICCAT website. The CPC will then follow the procedures in Section C, below.

B. If the technical difficulty occurs outside working hours of the Secretariat and the eBCD implementing consortium:

1. The CPC encountering the technical difficulty shall immediately communicate to the Secretariat and the implementing consortium via email that it is unable to use the eBCD system with an explanation of the technical difficulty encountered. To proceed with a trade, the CPC must then access the self-reporting incident site to enter the required information specified in the attached **Appendix**. Through the site, this information will be automatically uploaded to the ICCAT website to notify other CPCs that paper BCDs or printed eBCDs may temporarily be used by the CPC encountering the technical difficulty. The CPC may then use a paper BCD or a printed eBCD for the trade event.
2. If the technical difficulty is not resolved before the start of the next business day of the Secretariat and the implementing consortium, the CPC encountering the technical difficulty shall contact the implementing consortium and, as needed, the Secretariat, as soon as possible during that next business day in order to resolve the technical difficulty.
3. The CPC shall report when the technical difficulty has been resolved, either through the self-reporting incident site or the Secretariat, for immediate posting on the ICCAT website. The CPC will then follow the procedures in Section C, below.

C. In all cases where a paper BCD or printed eBCD has been used in accordance with the procedures specified in sections A or B above, the following also applies:

1. The CPC shall resume use of the eBCD system as soon as the technical difficulty is resolved.
2. Paper BCDs shall be converted into an eBCD by the CPC that used the paper BCD or by the ICCAT Secretariat if the CPC requests it to do so, as soon as possible following resolution of the technical difficulty. In case that conversion cannot be fully completed by the CPC that used the paper BCD, it shall contact those CPCs which received the paper BCD and request its cooperation to complete the conversion for the e-BCD sections directly under the responsibility of the CPC which received a paper BCD. Such CPC that carried out or requested the conversion of the paper BCD shall be responsible for reporting to the Secretariat that the technical difficulty has been resolved, and, where appropriate, uploading relevant information to the self-reporting incident site. As soon as possible after resolution of the technical difficulty, a CPC that has received a paper BCD shall take appropriate actions to ensure that the paper BCD is not used for subsequent trade events.
3. Where a printed eBCD has been used, CPCs shall ensure that any missing data from the eBCD record is uploaded into the eBCD system as soon as the technical difficulty is resolved for the sections under their direct responsibility.
4. Paper BCDs or printed eBCDs may continue to be used until such time as the technical difficulty is resolved and the paper BCDs concerned are converted into eBCDs in accordance with the procedure above.
5. Once a paper BCD has been converted to an eBCD, all subsequent trade events of product associated with that paper BCD shall be carried out only in the eBCD system.

D. In the case of technical difficulties experienced by importing CPCs, the importing CPC may request the exporting CPC concerned to issue a paper BCD or printed eBCD to support trade after notice of the technical difficulty has been posted on the ICCAT website in accordance with the procedures specified in sections A or B above. The exporting CPC shall verify that the notification of the technical difficulty is posted on the ICCAT website before issuing the paper BCD or printed eBCD. Importing CPCs shall report when the technical difficulty has been resolved, either through the self-reporting incident site or the Secretariat, for immediate posting on the ICCAT website.

E. Throughout the year, the Secretariat shall compile information on cases where a CPC reported a technical difficulty and/or paper documents were issued, for review by the PWG at the subsequent ICCAT Annual meeting. If the PWG determines that the reporting procedures set forth above were not followed or that the use of paper was not otherwise consistent with the provisions of this Recommendation, the PWG will consider appropriate actions, including possible referral to the Compliance Committee, if appropriate.

F. The procedures set forth above will be reviewed in 2019 and revised, as appropriate.

Appendix

- Date
- CPC
- BCD(s) concerned
- Summary of Issue
- Date of resolution
- Incidence Number (if available)

**RECOMMENDATION BY ICCAT REPLACING RECOMMENDATION 11-20
ON AN ICCAT BLUEFIN TUNA CATCH DOCUMENTATION PROGRAM**

(Entered into force **21 June 2019**)

RECOGNIZING the situation of Atlantic bluefin tuna stocks and the impact that market factors have on the fishery;

TAKING INTO ACCOUNT the rebuilding plan for western Atlantic bluefin tuna and the recovery plan for eastern Atlantic and Mediterranean bluefin tuna that ICCAT has adopted, including the need for complementary market related measures;

RECOGNIZING the necessity to clarify and improve the implementation of the bluefin tuna catch documentation scheme, providing detailed instructions for the issuance, numbering, completion and the validation of the bluefin tuna catch document;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION OF
ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

**PART I
GENERAL PROVISIONS**

1. Each Contracting Party, Cooperating non-Contracting Party, Entity and Fishing Entity (hereafter referred to as CPCs) shall take the necessary steps to implement an ICCAT Bluefin Tuna Catch Documentation Scheme for the purpose of identifying the origin of any bluefin tuna in order to support the implementation of conservation and management measures.
2. For the purpose of this Program:
 - a) "Domestic trade" means:
 - trade of bluefin tuna harvested in the ICCAT Convention area by a vessel or trap, which is landed in the territory of the CPC where the vessel is flagged or where the trap is established, and
 - trade of farmed bluefin tuna products originating from bluefin tuna harvested in the ICCAT Convention area by a vessel which is flagged to the same CPC where the farm is established, which is supplied to any entity in this CPC, and
 - trade between the Member States of the European Union of bluefin tuna harvested in the ICCAT Convention area by vessels flagged to one Member State or by a trap established in one Member State.
 - b) "Export" means:

Any movement of bluefin tuna in its harvested or processed form (including farmed) from the territory of the CPC where the fishing vessel is flagged or where the trap or farm is established to the territory of another CPC or non-Contracting Party, or from the fishing grounds to the territory of a CPC which is not the flag CPC of the fishing vessel or to the territory of a non- Contracting Party.
 - c) "Import" means:

Any introduction of bluefin tuna in its harvested or processed form (including farmed) into the territory of a CPC, which is not the CPC where the fishing vessel is flagged or where the trap or the farm is established.
 - d) "Re-export" means: Any movement of bluefin tuna in its harvested or processed form (including farmed) from the territory of a CPC where it has been previously imported.

- e) “flag CPC” means the CPC where the fishing vessel is flagged; “trap CPC” means the CPC where the trap is established; and “farm CPC” means the CPC where the farm is established.

3. A Bluefin Tuna Catch Document (BCD) shall be completed for each bluefin tuna in accordance with **Annex 3**.

Each consignment of bluefin tuna domestically traded, imported into or exported or re-exported from its territories shall be accompanied by a validated BCD, except in cases where paragraph 13(c) applies and, as applicable, an ICCAT transfer declaration or a validated Bluefin Tuna Reexport Certificate (BFTRC). Any such landing, transfer, delivery, harvest, domestic trade, import, export or re-export of bluefin tuna without a completed and validated BCD or a BFTRC shall be prohibited.

4. In order to support an effective BCD, CPCs shall not place bluefin tuna into a farm not authorized by the CPC or listed in the ICCAT record.
5. Farm CPCs shall ensure that bluefin tuna catches are placed in separate cages or series of cages and partitioned on the basis of flag CPC origin. By derogation, if the bluefin tuna are caught in the context of a joint fishing operation (JFO) between different CPCs, farm CPCs shall ensure that bluefin tuna are placed in separate cages or series of cages and partitioned on the basis of joint fishing operations.
6. At the time of caging, relevant BCDs may be grouped as a “Grouped BCD” with a new BCD number in the following cases, provided that caging of all the fish is conducted on the same day and all the fish is caged in the same farming cage:
- a) Multiple catches made by the same vessel
 - b) Catches made by JFO

The Grouped BCD shall replace all the related original BCDs and be accompanied by the list of all the associated BCD numbers. The copies of such associated BCDs shall be made available upon request of CPCs.

7. Farm CPCs shall ensure that bluefin tuna are harvested from farms in the same year in which they were caught, or before the beginning of the purse seiners fishing period, if harvested in the following year. In the case where harvesting operations are not completed before this date, farm CPCs shall complete and transmit an annual carry-over declaration to the ICCAT Secretariat within 15 days after this date. Such declaration shall include:
- Quantities (expressed in kg) and number of fish intended to be carried over,
 - Year of catch,
 - Average weight,
 - Flag CPC,
 - References of the BCD corresponding to the catches carried over,
 - Name and ICCAT number of the farm,
 - Cage number, and
 - Information on harvested quantities (expressed in kg), when completed.
8. Quantities carried over in accordance with paragraph 7 shall be placed in separate cages or series of cages in the farm on the basis of the catch year.
9. Each CPC shall provide BCD forms only to catching vessels and traps authorized to fish bluefin tuna in the Convention area, including as by-catch. Such forms are not transferable. Each BCD form shall have a unique document identification number. Document numbers shall be specific to the flag or trap CPC and assigned to the catching vessel or trap.
10. Domestic trade, export, import and re-export of fish parts other than the meat (i.e., heads, eyes, roes, guts and tails) shall be exempted from the requirements of this Recommendation.

PART II
VALIDATION OF BCDs

11. The catching vessel master or trap operator, or its authorized representative, or the operator of farms, or the authorized representative of the flag, farm, or trap CPC, shall complete the BCD by providing the required information in appropriate sections and request validation in accordance with paragraph 13 for a BCD for catch landed, transferred to cages, harvested, transhipped, domestically traded or exported on each occasion that it lands, transfers, harvests, transships, domestically trades or exports bluefin tuna.
12. A validated BCD shall include, as appropriate, the information identified in **Annex 1** attached. A BCD format is attached as **Annex 2**. In cases where a section of the BCD format does not provide enough room to completely track movement of BFT from catch to market, the needed information section of the BCD maybe expanded as necessary and attached as an annex using the original BCD format and number. The authorized representative of the CPC shall validate the annex as soon as possible but not later than the next movement of BFT.
13.
 - a) The BCD must be validated by an authorized government official, or other authorized individual or institution, of the flag CPC of the catching vessel, the CPC of the seller/exporter, or the trap or farm CPC that caught, harvested, domestically traded or exported the bluefin tuna.
 - b) The CPCs shall validate the BCD for all bluefin tuna products only when all the information contained in the BCD has been established to be accurate as a result of the verification of the consignment, and only when the accumulated validated amounts are within their quotas or catch limits of each management year, including, where appropriate, individual quotas allocated to catching vessels or traps, and when those products comply with other relevant ICCAT provisions of the conservation and management measures.

The requirement that CPCs shall only validate BCDs when the accumulated validated amounts are within their quotas or catch limits of each management year, does not apply to CPCs whose domestic legislation requires that all dead or dying fish be landed, provided that the value of the catch is subject to confiscation in order to prevent the fishermen from drawing any commercial profit from such fish. The CPC shall take necessary measures to prevent the confiscated fish from being exported to other CPCs.
 - c) Validation under 13(a) shall not be required in the event that all bluefin tuna available for sale are tagged by the flag CPC of the catching vessel or the trap CPC that fished the bluefin tuna.
 - d) Where the bluefin tuna quantities caught and landed are less than 1 metric ton or three fish, the logbook or the sales note may be used as a temporary BCD, pending the validation of the BCD within seven days and prior to export.

PART III
VALIDATION OF BFTRCs

14. Each CPC shall ensure that each bluefin tuna consignment which is re-exported from its territory be accompanied by a validated Bluefin Tuna Re-export Certificate (BFTRC). In cases where bluefin tuna is imported live, the BFTRC shall not apply.
15. The operator who is responsible for the re-export shall complete the BFTRC by providing the required information in its appropriate sections and request its validation for the bluefin tuna consignment to be re-exported. The completed BFTRC shall be accompanied by a copy of the validated BCD(s) relating to the bluefin tuna products previously imported.
16. The BFTRC shall be validated by an authorized government official or authority.
17. The CPC shall validate the BFTRC for all bluefin tuna product only when:

- a) all the information contained in the BFTRC has been established to be accurate,
 - b) the validated BCD(s) submitted in support to the BFTRC had been accepted for the importation of the products declared on the BFTRC and
 - c) the products to be re-exported are wholly or partly the same product on the validated BCD(s),
 - d) a copy of the BCD(s) shall be attached to the validated BFTRC.
18. The validated BFTRC shall include the information identified in **Annex 4** and **Annex 5** attached.

PART IV VERIFICATION AND COMMUNICATION

19. Each CPC shall communicate a copy of all validated BCDs or BFTRCs, except in cases where paragraph 13(c) applies, within five working days following the date of validation, or without delay where the expected duration of the transportation should not take more than five working days, to the following:
- a) the competent authorities of the country where the bluefin tuna will be domestically traded, or transferred into a cage or imported, and
 - b) the ICCAT Secretariat.
20. The ICCAT Secretariat shall extract from the validated BCDs or BFTRCs communicated under paragraph 19 above the information marked with an asterisk (*) in **Annex 1** or **Annex 4** and enter this information in a database on a password protected section of its website, as soon as practicable.

At its request, the SCRS shall have access to the catch information contained in the database, except the vessel or trap names.

PART V TAGGING

21. CPCs may require their catching vessels or traps to affix a tag to each bluefin tuna preferably at the time of kill, but no later than the time of landing. Tags shall have unique country specific numbers and be tamper proof. The tag numbers shall be linked to the BCD and a summary of the implementation of the tagging program shall be submitted to the ICCAT Secretariat by the CPC. The use of such tags shall only be authorized when the accumulated catch amounts are within their quotas or catch limits of each management year, including, where appropriate, individual quotas allocated to vessels or traps.

PART VI VERIFICATION

22. Each CPC shall ensure that its competent authorities, or other authorized individual or institution, take steps to identify each consignment of bluefin tuna landed in, domestically traded in, imported into or exported or re-exported from its territory and request and examine the validated BCD(s) and related documentation of each consignment of bluefin tuna. These competent authorities, or authorized individuals or institutions, may also examine the content of the consignment to verify the information contained in the BCD and in related documents and, where necessary, shall carry out verifications with the operators concerned.
23. If, as a result of examinations or verifications carried out pursuant to paragraph 22 above, a doubt arises regarding the information contained in a BCD, the final importing State/CPC and the CPC whose competent authorities validated the BCD(s) or BFTRCs shall cooperate to resolve such doubts.
24. If a CPC involved in trade of bluefin tuna identifies a consignment with no BCD, it shall notify the findings to the exporting CPC and, where known, the flag CPC.
25. Pending the examinations or verifications under paragraph 22 to confirm compliance of the bluefin tuna consignment with the requirements in the present Recommendation and any other relevant Recommendations, the CPCs shall not grant its release for domestic trade, import or export, nor, in the case of live bluefin tuna destined to farms, accept the transfer declaration.

26. Where a CPC, as a result of examination or verifications under paragraph 22 above and in cooperation with the validating authorities concerned, determines that a BCD or BFTRC is invalid, the domestic trade, import, export or re-export of the bluefin tuna concerned shall be prohibited.
27. The Commission shall request the non-Contracting Parties that are involved in domestic trade, import, export or re-export of bluefin tuna to cooperate with the implementation of the Program and to provide to the Commission data obtained from such implementation.

PART VII

NOTIFICATION AND COMMUNICATION

28. Each CPC that validates BCDs in respect of its flag catching vessels, traps or farms in accordance with paragraph 13(a), shall notify the ICCAT Secretariat of the government authorities, or other authorized individuals or institutions (name and full address of the organization(s) and, where appropriate, name and title of the validating officials who are individually empowered, sample form of document, sample impression of stamp or seal, and as appropriate tag samples) responsible for validating and verifying BCDs or BFTRCs. This notification shall indicate the date at which this entitlement comes into force. A copy of the provisions adopted in national law for the purpose of implementing the bluefin tuna catch documentation program shall be communicated with the initial notification, including procedures to authorize nongovernmental individuals or institutions. Updated details on validating authorities and national provisions shall be communicated to the ICCAT Secretariat in a timely fashion.
29. The information on validating authorities transmitted by notifications to the ICCAT Secretariat shall be placed on the password protected page of the database on validation held by the ICCAT Secretariat. The list of the CPCs having notified their validating authorities and the notified dates of entry into force of the validation shall be placed on a publicly accessible website held by the ICCAT Secretariat. CPCs are encouraged to access this information to help verify the validation of BCDs and BFTRCs.
30. Each CPC shall notify to the ICCAT Secretariat the points of contact (name and full address of the organization(s)) that should be notified when there are questions related to BCDs or BFTRCs.
31. Copies of validated BCDs and notification pursuant to paragraphs 28, 29 and 30 shall be sent by CPCs to the ICCAT Secretariat, by electronic means, whenever possible.
32. Copies of BCDs shall follow each part of split shipments or processed product, using the unique document number of the BCD to link them.
33. CPCs shall keep copies of documents issued or received for at least two years.
34. CPCs shall provide to the ICCAT Secretariat a report each year by September 15 for the period from January 1 to December 31 of the preceding year to provide the information described in **Annex 6**.

The ICCAT Secretariat shall post these reports on the password protected section of the ICCAT website, as soon as practicable.

At its request, the SCRS shall have access to the reports received by the ICCAT Secretariat.

35. This Recommendation repeals and replaces the *Recommendation by ICCAT Amending Recommendation 09-11 on an ICCAT Bluefin Tuna Catch Document Program* (Rec. 11-20).

Data to be Included in Bluefin Tuna Catch Document (BCD)

1. ICCAT Bluefin tuna catch document number*

2. Catch Information

Name of the Catching Vessel or Trap name*
 Name of the Other Vessels (in case of JFO)
 Flag*
 ICCAT Record No.
 Individual Quota
 Quota used for this BCD
 Date, area of catch and gear used*
 Number of fish, total weight, and average weight*¹
 ICCAT Record number of Joint Fishing Operation (if applicable)*
 Tag No. (if applicable)
Government validation
 Name of authority and signatory, title, signature, seal and date

3. Trade Information for live fish trade

Product description
Exporter/Seller information
Transportation description
Government validation
 Name of authority and signatory, title, signature, seal and date
Importer/buyer

4. Transfer information

Towing vessel description
 ICCAT Transfer Declaration No. Vessel
 name, flag
 ICCAT Record No.
 Number of fish dead during transfer Total
 weight of dead fish (kg)
Towing cage description
 Cage number

5. Transshipment information

Carrier vessel description
 Name, Flag, ICCAT Record No., Date, Port name, Port state, position
Product description
 (F/FR; RD/GG/DR/FL/OT)
 Total weight (NET)
Government validation
 Name of authority and signatory, title, signature, seal and date

* Information to be entered by the Secretariat in the BCD database (see paragraph 20).

¹ Weight shall be reported by round weight where available. If round weight is not used, specify the type of product (e.g. GG) in the "Total Weight" and "Average Weight" section of the form.

6. Farming information

Farming facility description

Name, CPC*, ICCAT FFB No.* and location of farm

Participation in national sampling program (yes or no)

Cage description

Date of caging, cage number

Fish description

Estimates of number of fish, total weight, and average weight*¹

ICCAT Regional observer information

Name, ICCAT No., signature

Estimated size composition (<8 kg, 8-30 kg, >30 kg)

Government validation

Name of authority and signatory, title, signature, seal and date

7. Harvesting information

Harvesting description

Date of harvest*

Number of fish, total (round) weight, and average weight*

Tag numbers (if applicable)

ICCAT regional observer information

Name, ICCAT No., signature

Government validation

Name of authority and signatory, title, signature, seal and date

8. Trade information

Product description

(F/FR; RD/GG/DR/FL/OT)²

Total weight (NET)*

Exporter/Seller information

Point of export or departure*

Export company name, address, signature and date

State of destination*

Description of transportation (relevant documentation to be attached)

Government validation

Name of authority and signatory, title, signature, seal and date

Importer/buyer information

Point of import or destination*

Import company name, address, signature and date³

² When different types of products are recorded in this section, the weight shall be recorded by each product type.

³ DATE to be filled by IMPORTER/BUYER in this section is the date of signature.

1. ICCAT BLUEFIN TUNA CATCH DOCUMENT (BCD)				No :		1/2	
2. CATCH INFORMATION							
VESSEL / TRAP INFORMATION							
NAME OF THE CATCHING VESSEL / TRAP		FLAG / CPC		ICCAT RECORD NO		INDIVIDUAL QUOTA	
NAME OF THE OTHER FISHING VESSELS		FLAG		ICCAT RECORD NO		INDIVIDUAL QUOTA	
CATCH DESCRIPTION							
DATE (dd/mm/yy)		AREA		GEAR			
No. of FISH		TOTAL WEIGHT(kg)		AVG. WEIGHT(kg)			
ICCAT RECORD No. of Joint Fishing Operation							
TAG Numbers (If applicable)							
GOVERNMENT VALIDATION							
NAME OF AUTHORITY				SEAL			
TITLE							
SIGNATURE							
DATE (dd/mm/yy)							
3. TRADE INFORMATION							
PRODUCT DESCRIPTION							
LIVE WEIGHT (kg)		No. of FISH		ZONE			
EXPORTER/ SELLER							
POINT OF EXPORTATION/DEPARTURE		COMPANY		ADDRESS			
FARM OF DESTINATION		CPC		ICCAT FFB No.			
SIGNATURE							
DATE (dd/mm/yy)							
TRANSPORTATION DESCRIPTION		(Relevant documentation to be attached)					
GOVERNMENT VALIDATION							
NAME OF AUTHORITY				SEAL			
TITLE							
SIGNATURE							
DATE (dd/mm/yy)							
IMPORTER/ BUYER							
COMPANY				PT. of IMPORT/DESTINATION			
				(City, Country, State)			
ADDRESS							
DATE OF SIGNATURE (dd/mm/yy)		SIGNATURE					
ANNEX(ES): YES/NO (circle one)							
4. TRANSFER INFORMATION							
TOWING VESSEL DESCRIPTION							
ICCAT TRANSFER DECLARATION No.							
NAME		FLAG		ICCAT REC. No.			
No. Of FISH DEAD DURING TRANSFER		TOTAL WEIGHT OF DEAD FISH (kg)					
TOWING CAGE DESCRIPTION		CAGE No.					
ANNEX(ES): YES/NO (circle one)							
5. TRANSHIPMENT INFORMATION							
CARRIER VESSEL DESCRIPTION							
NAME		FLAG		ICCAT REC. No.			
DATE (dd/mm/yy)		PORT NAME				PORT STATE	
POSITION (Lat./Long.)							
PRODUCT DESCRIPTION (Indicate net weight in kg. for each type of product)							
F	RD(kg):	GG(kg):	DR(kg):	FL(kg):	OT(kg):	TOTAL WEIGHT "F" (kg)	
FR	RD(kg):	GG(kg):	DR(kg):	FL(kg):	OT(kg):	TOTAL WEIGHT "FR" (kg)	
GOVERNMENT VALIDATION							
NAME OF AUTHORITY				SEAL			
TITLE							
SIGNATURE							
DATE (dd/mm/yy)							
ANNEX(ES): YES/NO (circle one)							

ICCAT BLUEFIN TUNA CATCH DOCUMENT (BCD)				No :		2/2	
6. FARMING INFORMATION							
FARMING FACILITY DESCRIPTION	NAME		CPC		ICCAT FFB NO.		
	NATIONAL SAMPLING PROGRAM? YES or NO(circle one)			LOCATION			
	CAGE DESCRIPTION	DATE (dd/mm/yy)		CAGE No.			
	FISH DESCRIPTION	NO. of FISH :		TOTAL WT (kg) :		AVG WT (kg) :	
	ICCAT REGIONAL OBSERVER INFORMATION	NAME		TITLE		SIGNATURE	
	SIZE COMPOSITION		<8 kg	8-30 kg	>30 kg		
GOVERNMENT VALIDATION							
NAME OF AUTHORITY					SEAL		
TITLE							
SIGNATURE							
DATE (dd/mm/yy)							
ANNEX(ES): YES/NO (circle one)							
7. HARVESTING INFORMATION							
HARVESTING DESCRIPTION							
DATE (dd/mm/yy)		NO. of FISH		TOTAL ROUND WT (kg)			
AVG. WEIGHT (kg)		TAG NOs. (If applicable)					
ICCAT REGIONAL OBSERVER INFORMATION	NAME		TITLE		SIGNATURE		
GOVERNMENT VALIDATION							
NAME OF AUTHORITY					SEAL		
TITLE							
SIGNATURE							
DATE (dd/mm/yy)							
8. TRADE INFORMATION							
PRODUCT DESCRIPTION (Indicate net weight in kg. for each type of product)							
F	RD(kg):	GG(kg):	DR(kg):	FL(kg):	OT(kg):	TOTAL WEIGHT "F" (kg)	
FR	RD(kg):	GG(kg):	DR(kg):	FL(kg):	OT(kg):	TOTAL WEIGHT "FR" (kg)	
EXPORTER/ SELLER							
PT of EXPORT/DEPARTURE		COMPANY			ADDRESS		
STATE of DESTINATION							
SIGNATURE							
DATE (dd/mm/yy)							
TRANSPORTATION DESCRIPTION		(Relevant documentation to be attached)					
GOVERNMENT VALIDATION							
NAME OF AUTHORITY					SEAL		
TITLE							
SIGNATURE							
DATE (dd/mm/yy)							
IMPORTER/ BUYER							
COMPANY					PT. of IMPORT/DESTINATION (City, Country, State)		
ADDRESS							
DATE (dd/mm/yy)					SIGNATURE		
ANNEX(ES): YES/NO (circle one)							

Instructions for the Issuance, Numbering, Completion and Validation of the Bluefin Tuna Catch Document (BCD)

1. GENERAL PRINCIPLES

(1) Language

An official ICCAT language (English, French and Spanish) shall be used in completing the BCD.

(2) Numbering

CPCs shall develop unique numbering system for BCDs using their ICCAT country code or ISO code in combination with an 8-digit number, of which two digits shall indicate the year of catch.

Example: CA-09-123456 (*CA stands for Canada*)

In case of split shipments, or processed products, copies of the original BCD shall be numbered by supplementing the number of the original BCD with a 2-digit number.

Example: CA-09-123456-01, CA-09-123456-02, CA-09-123456-03.

The numbering shall be sequential and preferably printed. The serial numbers of blank BCDs issued shall be recorded by the name of the recipient.

In case of producing a "Grouped BCD", the farm operator or his authorized representative shall request a new BCD number from the farm CPC. The number for Grouped BCDs shall contain "G" as in "CA-09-123456-G".

2. CATCH INFORMATION

(1) Completion

(a) *General principles:*

This section is applicable to all catches of bluefin tunas.

The master of the catching vessel or the trap operator or their authorised representative or the authorised representative of the flag or trap CPC shall be responsible for the completion and the request for validation of the CATCH INFORMATION section.

CATCH INFORMATION section shall be completed no later than the end of transfer, transshipment or landing operation.

Remark: in case of JFO between different flags, one BCD for each flag shall be produced. In this case, each BCD shall indicate the same information in VESSEL/TRAP INFORMATION concerning the vessel which actually made the catch and all the other fishing vessels involved in that JFO, whereas CATCH DESCRIPTION shall indicate the catch information attributed to each flag based on the allocation key of the JFO.

In case of catches originating from one JFO comprising vessels of the same flag, the master of the catching vessel which actually made such catches, or its authorized representative or the authorized representative of the flag, shall complete the BCD form on behalf of all the vessels participating in such JFO.

(b) *Specific instructions:*

"NAME OF THE CATCHING VESSEL/TRAP": list the name of the catching vessel which actually made the catches.

"NAME OF THE OTHER FISHING VESSELS": only applicable to JFOs and list the other participating fishing vessels.

"FLAG": indicate the flag or trap CPC.

"ICCAT Record No": indicate the ICCAT number of the catching vessel or trap authorised to fish bluefin tuna in the ICCAT Convention area. This information is not applicable to catching vessels which fish bluefin tuna as by-catch. In case of JFO, list the ICCAT Record Numbers of the vessel which actually made the catch as well as other vessels participating in that JFO.

"INDIVIDUAL QUOTA": indicate the amount of individual quota given to each vessel.

"QUOTA USED FOR THIS BCD": indicate the amount of catch attributed to this BCD.

"GEAR": indicate the fishing gear using the following codes:

BB	Baitboat
GILL	Gillnet
HAND	Handline
HARP	Harpoon
LL	Longline
MWT	Mid-water trawl
PS	Purse seine
RR	Rod and reel
SPHL	Sport handline
SPOR	Sport fisheries unclassified
SURF	Surface fisheries unclassified
TL	Tended line
TRAP	Trap
TROL	Troll
UNCL	Unspecified methods
OT	Other type

"No. of FISH": in case of JFO comprising vessels of the same flag, indicate the total number of fish caught in such operation. In case of JFO between different flags, indicate the number of fish attributed to each flag in accordance with the allocation key.

"TOTAL WEIGHT": indicate the total round weight in kilograms. If round weight is not used at the time of catch, indicate the type of product (e.g. GG). In case of JFO between different flags, indicate the round weight attributed to that flag in accordance with the allocation key.

"AREA": indicate Mediterranean, western Atlantic, eastern Atlantic or Pacific.

"TAGS No (if applicable)": additional lines may be added to allow the listing of each tag number by individual fish.

(2) Validation

The flag or trap CPC shall be responsible for the validation of the CATCH INFORMATION section unless bluefin tuna are tagged in accordance with Paragraph 21 of the Recommendation.

3. TRADE INFORMATION FOR LIVE FISH TRADE

(1) Completion

(a) General principles:

This section is only applicable to export of live bluefin tunas.

The master of the catching vessel or his authorised representative or the authorised representative of the flag CPC shall be responsible for the completion and the request for validation of the TRADE INFORMATION FOR LIVE FISH TRADE section.

The TRADE INFORMATION FOR LIVE FISH TRADE section shall be completed before the first transfer operation, i.e. the transfer of fish from the catching vessel net to the transport cage.

Remark: in case that a quantity of fish dies during the transfer operation and is domestically traded or exported, the original BCD (CATCH INFORMATION section completed shall be copied for the fish, and TRADE INFORMATION section of the copied BCD shall be completed by the master of the catching vessel or his authorised representative or the authorised representative of the flag CPC and transmitted to the domestic buyer/importer. Government validation of this copy shall guarantee that it is a valid copy and has been recorded by authorities of the CPC. Without the government validation, any BCD copy is null and void.

In case of JFO comprising vessels of the same CPC, the master of the catching vessel which actually made the catches, or its authorized representative or the authorized representative of the flag, shall be responsible for the completion.

(b) Specific instructions:

"ZONE": indicate the area of transfer, Mediterranean, western Atlantic, eastern Atlantic or Pacific. "POINT OF EXPORT/DEPARTURE": indicate the CPC name of the fishery zone where the bluefin tuna were transferred or indicate "high seas" otherwise.

"TRANSPORTATION DESCRIPTION": attach any relevant document certifying the trade.

(2) Validation

The flag CPC shall not validate documents where the CATCH INFORMATION section is not completed.

4. TRANSFER INFORMATION

(1) Completion

(a) General principles:

This section is only applicable to live bluefin tunas.

The master of the catching vessel or his authorised representative or the authorised representative of the flag CPC shall be responsible for the completion of the TRANSFER INFORMATION section. In case of JFO comprising vessels of the same CPC, the master of the catching vessel which actually made the catches, or its authorized representative or the authorized representative of the flag, shall be responsible for the completion.

The TRANSFER INFORMATION section shall be completed no later than the end of the first transfer operation, i.e. the transfer of fish from the catching vessel net to the transport cage.

At the end of the transfer operation, the master of the catching vessel (or the master of the catching vessel which actually made the catches in case of JFO comprising vessels of the same CPC) shall provide the BCD (CATCH INFORMATION, TRADE INFORMATION FOR LIVE FISH TRADE and TRANSFER INFORMATION sections completed and, where applicable, validated) to the master of the tug vessel.

The completed BCD shall accompany the transfer of fish during transport to farm, including transfer of live bluefin tuna from the transport cage to another transport cage or transfer of dead bluefin tuna from the transport cage to an auxiliary vessel.

Remark: in case that some fish die during the transfer operation, the original BCD (CATCH INFORMATION, TRADE INFORMATION FOR LIVE FISH TRADE and TRANSFER INFORMATION sections completed and, where applicable, validated) shall be copied, and TRADE INFORMATION section of the copied BCD shall be completed by the domestic seller/exporter or his authorised representative or the authorised representative of the flag CPC and transmitted to the domestic buyer/importer. Government validation of this copy shall guarantee that it is a valid copy and has been recorded by authorities of the CPC. Without the authorized government validation, any BCD copy is null and void.

(b) Specific instructions:

"No. OF FISH DEAD DURING TRANSFER" and "TOTAL WEIGHT OF DEAD FISH": information completed (if applicable) by the master of the tug vessel.

"CAGE No.": indicate each number of cages in the case of a tug vessel having more than one cage.

(2) Validation

Validation of this section is not required.

5. TRANSSHIPMENT INFORMATION

(1) Completion

(a) General principles:

This section is only applicable to dead bluefin tunas.

The master of the transshipping fishing vessel or his authorized representative or the authorized representative of the flag CPC shall be responsible for the completion and the request for validation of the TRANSHIPMENT INFORMATION section.

The TRANSHIPMENT INFORMATION section shall be completed at the end of the transshipment operation.

(b) Specific instructions:

"DATE": indicate the date of the transshipment.

"PORT NAME": indicate the designated port of transshipment.

"PORT STATE": indicate the CPC of the designated port of transshipment.

(2) Validation

The flag CPC shall not validate documents where the CATCH INFORMATION section is not completed and validated.

6. FARMING INFORMATION

(1) Completion

(a) General principles:

This section is only applicable to live caged tunas.

The master of the tug vessel shall provide the BCD (CATCH INFORMATION, TRADE INFORMATION FOR LIVE FISH TRADE and TRANSFER INFORMATION sections completed and, where applicable, validated) to the farm operator at the time of caging.

The farm operator or his authorized representative or an authorized representative of the farm CPC shall be responsible for the completion and the request for validation of the FARM INFORMATION section.

The FARM INFORMATION section shall be completed at the end of the caging operation.

(2) Specific instructions:

"CAGE No": indicate each number of cage.

"ICCAT Regional Observer Information": indicate name, ICCAT # and signature.

(2) Validation

The farm CPC shall be responsible for the validation of the FARM INFORMATION section.

The farm CPC shall not validate BCDs where the CATCH INFORMATION, TRADE INFORMATION FOR LIVE FISH TRADE and TRANSFER INFORMATION sections are not completed and, where applicable, validated.

7. HARVESTING INFORMATION

(1) Completion

(a) General principles:

This section is only applicable to dead farmed tunas.

The farm operator or his authorized representative or an authorized representative of the farm CPC shall be responsible for the completion and the request for validation of the HARVESTING INFORMATION section.

The HARVESTING INFORMATION section shall be completed at the end of the harvesting operations.

(b) Specific instructions:

"TAGS No (if applicable)": additional lines may be added to allow the listing of each tag number by individual fish.

"ICCAT Regional Observer Information": indicate name, ICCAT # and signature.

(2) Validation

The farm CPC shall be responsible for the validation of the HARVESTING INFORMATION section.

The farm CPC shall not validate BCDs where the CATCH INFORMATION, TRADE INFORMATION FOR LIVE FISH TRADE, TRANSFER INFORMATION and FARMING INFORMATION sections are not completed and, where applicable, validated.

8. TRADE INFORMATION

(1) Completion

(a) General principles:

This section is applicable to dead bluefin tunas.

The domestic seller or exporter or their authorized representative or an authorized representative of the CPC of the seller/exporter shall be responsible for the completion and the request for validation of the TRADE INFORMATION section.

The TRADE INFORMATION section shall be completed prior to the fish being domestically traded or exported.

(b) Specific instructions:

"TRANSPORTATION DESCRIPTION": attach any relevant document certifying the trade.

(2) Validation

The CPC of the seller/exporter shall be responsible for the validation of the TRADE INFORMATION section unless bluefin tuna are tagged in accordance with Paragraph 20 of the Recommendation.

Remark: in cases where more than one domestic trade or export results from a single BCD, a copy of the original BCD shall be validated by the CPC of the domestic seller or exporter and shall be used and accepted as an original BCD. Government validation of this copy shall guarantee that it is a valid copy and has been recorded by authorities of the concerned CPC. Without the authorized government validation, any BCD copy is null and void.

In cases of re-export, the RE-EXPORT CERTIFICATE (**Annex 5**) shall be used to track further movements, which shall be related to the catch information of the original BCD of the catch via the original BCD number.

When bluefin tuna is caught by a CPC using the tagging system, exported dead to a country, and re-exported to another country, the BCD accompanying the re-exported certificate does not have to be validated. However, the re-exported certificate shall be validated.

After import, a bluefin tuna may be divided into several pieces, which then may be subsequently exported. The re-exporting CPC shall confirm that the re-exported piece is part of the original fish accompanied by the BCD.

Data to be Included in the Bluefin Tuna Re-export Certificate (BFTRC)

1. Document number of the BFTRC*

2. Re-export section

Re-exporting Country/Entity/Fishing Entity
Point of re-export*

3. Description of imported bluefin tuna

Product type F/FR RD/GG/DR/FL/OT¹
Net weight (kg)*
BCD number(s) and date(s) of importation*
Flag CPC (s) of fishing vessel(s) or CPC of establishment of the trap, where appropriate

4. Description of bluefin tuna to be re-exported

Product type F/FR RD/GG/DR/FL/OT*¹
Net weight (kg)*
Corresponding BCD number(s) from section 3
State of destination

5. Statement of re-exporter

Name
Address
Signature
Date

6. Validation by governmental authorities

Name and address of the authority
Name and position of the official
Signature
Date
Government seal

7. Import section

Statement by the importer in the CPC of import of the bluefin tuna consignment
Name and address of the importer
Name and signature of the importer's representative and date
Point of import: City and CPC*

Note: Copies of the BCD(s) and Transport document(s) shall be attached.

* Information to be entered by the Secretariat in the BCD database (see paragraph 20).

¹ When different types of products are recorded in this section, the weight shall be recorded by each product type.

1. DOCUMENT NUMBER	ICCAT BLUEFIN TUNA RE-EXPORT CERTIFICATE			
2. RE-EXPORT SECTION:				
RE-EXPORTING COUNTRY/ENTITY/FISHING ENTITY				
POINT OF RE-EXPORT				
3. DESCRIPTION OF IMPORTED BLUEFIN TUNA				
Product Type <i>F/FR RD/GG/DR/FL/OT</i>	Net Weight (kg)	Flag CPC	Date of import	BCD No.
4. DESCRIPTION OF BLUEFIN TUNA FOR RE-EXPORT				
Product Type <i>F/FR RD/GG/DR/FL/OT</i>	Net Weight (kg)	Corresponding BCD number		
F=Fresh, FR=Frozen, RD=Round, GG=Gilled & Gutted, DR=Dressed, FL=Fillet, OT=Others (Describe the type of product:)				
STATE OF DESTINATION:				
5. RE-EXPORTER STATEMENT:				
I certify that the above information is complete, true and correct to the best of my knowledge and belief.				
Name	Address	Signature	Date	
6. GOVERNMENT VALIDATION:				
I validate that the above information is complete, true and correct to the best of my knowledge and belief.				
Name & Title	Signature	Date	Government Seal	
7. IMPORT SECTION				
IMPORTER STATEMENT:				
I certify that the above information is complete, true and correct to the best of my knowledge and belief.				
Importer Certification				
Name	Address	Signature	Date	
Final Point of Import: City State/Province CPC .				

NOTE: IF A LANGUAGE OTHER THAN ENGLISH IS USED IN COMPLETING THIS FORM, PLEASE ADD THE ENGLISH TRANSLATION ON THIS DOCUMENT.

Note: Valid transport document and copies of the BCDs shall be attached.

**Report on the Implementation of the
ICCAT Bluefin Tuna Catch Documentation Programme**

Reporting CPC:

Period of reference: 1 January to 31 December [2XXX]

1. Information extracted from BCDs

- Number of BCDs validated
- Number of validated BCDs received
- Total amount of bluefin tuna products traded domestically, with breakdown by fishing areas and fishing gears
- Total amount of bluefin tuna products imported, exported, transferred to farms, re-exported with breakdown by CPC of origin, re-export or destination, fishing areas and fishing gears
- Number of verifications of BCDs requested to other CPCs and summary results
- Number of requests for verifications of BCDs received from other CPCs and summary results
- Total amount of bluefin tuna consignments subject to a prohibition decision with breakdown by products, nature of operation (domestic trade, import, export, re-export, transfer to farms), reasons for prohibition and CPCs and/or non-Contracting Parties of origin or destination

2. Information on cases under Part VI paragraph 22.

- Number of cases
- Total amount of bluefin tuna with breakdown by products, nature of operation (domestic trade, import, export, re-export, transfer to farms), CPCs or other countries referred to in Part VI paragraph 22.

**RECOMMENDATION BY ICCAT AMENDING FOUR
RECOMMENDATIONS AND ONE RESOLUTION**

(Entered into force **21 June 2019**)

RECOGNISING that the ICCAT Bluefin Tuna Catch Documentation Program replaced the ICCAT Bluefin Tuna Statistical Document Program;

NOTING that many previously adopted Recommendations and Resolutions make reference to the Bluefin Tuna Statistical Document and to Statistical Document Programs in general;

CONSIDERING that the coverage of bluefin tuna is intended in references to Statistical Document Programs in general;

FURTHER NOTING that the measures adopted for the previous bluefin tuna statistical document program pertained to the bigeye tuna and swordfish statistical document programs;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

1. References to the 'bluefin tuna statistical document program' and 'bluefin tuna statistical documents' be replaced by 'bluefin tuna catch document program' and 'bluefin tuna catch documents' in the following provisions:
 - i) *Recommendation by ICCAT on Bluefin Tuna Farming* (Rec. 06-07): paragraphs 2b and 2f, paragraph 4, paragraph 8, paragraph 9f and the Caging Declaration contained in the Annex to the Recommendation;
 - ii) *Recommendation by ICCAT Concerning Trade Measures* (Rec. 06-13), paragraph 2b.
2. The phrases 'Statistical Document Programs' and 'Statistical Documents' be replaced respectively by the phrases 'Statistical or Catch Document Programs' and 'Statistical Documents or Catch Documents' in the *Resolution by ICCAT on Compliance with the ICCAT Conservation and Management Measures* (Res. 94-09¹), paragraph 5 and paragraph 7.
3. The first sentence of paragraph 2(3) of the *Recommendation by ICCAT Concerning the ICCAT Bigeye Tuna Statistical Document Program* (Rec. 01-21) and the *Recommendation by ICCAT Establishing a Swordfish Statistical Document Program* (Rec. 01-22) be replaced, *mutatis mutandis*, by paragraphs A-D of the *Resolution by ICCAT Concerning Validation by a Government Official of the Bluefin Tuna Statistical Document* (Res. 93-02).
4. Paragraph 14 of the *Recommendation by ICCAT Concerning the ICCAT Bigeye Tuna Statistical Document Program* (Rec. 01-21) and paragraph 13 of the *Recommendation by ICCAT Establishing a Swordfish Statistical Document Program* (Rec. 01-22) be replaced *mutatis mutandis* by the *Recommendation by ICCAT on Validation of the Bluefin Tuna Statistical Document by the European Community* (Rec. 98-12).
5. This measure repeals and replaces the *Recommendation by ICCAT Amending Ten Recommendations and Three Resolutions* (Rec. 08-11).

¹ Repealed and replaced by Rec. 19-09.

RESOLUTION BY ICCAT FOR INTEGRATED MONITORING MEASURES

(Transmitted to Contracting Parties: **December 27, 2000**)

CONSIDERING that the monitoring of compliance with conservation measures is an essential element for the success of these measures;

NOTING that ICCAT has already adopted several monitoring measures;

FURTHER NOTING that integrated monitoring measures are desirable and efficient;

CONSIDERING that integrated monitoring measures should take into account the characteristics of the fisheries and the fishing areas covered by ICCAT;

RECOGNIZING that this is a complex task, but that it should be initiated without delay;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RESOLVES:

- 1 That a Working Group be established to develop integrated monitoring measures, in accordance with applicable international law, such as the United Nations Convention on the Law of the Sea, the 1995 United Nations Agreement on Straddling Fish Stocks and Highly Migratory Fish Stocks, the FAO Compliance Agreement, the FAO Code of Conduct, and appropriate FAO International Plans of Action (IPOAs), for fisheries managed by ICCAT.
- 2 That in carrying out this task, the Working Group will:
 - a) be supported by the ICCAT Secretariat;
 - b) establish a time schedule for the development of its work, and will hold at least one meeting during 2001 before the next Commission meeting; and
 - c) invite observers attending ICCAT meetings, the FAO, and other regional fishery organizations to participate in the meetings of this Working Group.

**RESOLUTION BY ICCAT TO ESTABLISH A
WORKING GROUP ON SPORT AND RECREATIONAL FISHERIES**

(Transmitted to Contracting Parties: **December 14, 2006**)

TAKING INTO ACCOUNT the need to regulate sport and recreational fishing activities to ensure that these activities do not undermine sustainable exploitation of the stocks managed by ICCAT,

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS RESOLVES AS FOLLOWS:

1. A Working Group on Sport and Recreational Fishing Activities is established and will meet in late 2007 or early 2008 at a place to be determined by the Commission.
2. The Working Group will:
 - a) Examine the biological and economic impact of recreational and sport fishing activities on ICCAT-managed stocks and notably assess the level of harvest.
 - b) Based on available information, identify approaches for managing the recreational and sport fishing activities in ICCAT fisheries.
 - c) Report the results of deliberations to the Commission at its 2008 Meeting and, as appropriate, propose recommendations for next steps to manage the recreational and sport fishing activities in the Convention area. CPCs shall report prior to the Working Group meeting the techniques used to manage their sport and recreational fisheries and methods used to collect such data.
3. The SCRS should provide the Working Group with relevant information notably concerning the harvest levels in the recreational and sport fisheries for the most recent year(s) available in advance of the Working Group to assist deliberations.

**RECOMMENDATION BY ICCAT TO AMEND THE TERMS OF REFERENCE OF THE PERMANENT
WORKING GROUP FOR THE IMPROVEMENT OF ICCAT STATISTICS AND CONSERVATION
MEASURES (PWG)**

(Entered into force: **June 7, 2012**)

RECALLING the 1992 Resolution by ICCAT to Establish a Permanent Working Group for the Improvement of ICCAT Statistics and Conservation Measures and the Terms of Reference of the Working Group [Res. 92-02] and the 2002 Recommendation by ICCAT to Change the Terms of Reference of the Permanent Working Group for the Improvement of ICCAT Statistics and Conservation Measures [Rec.02-28];

TAKING INTO ACCOUNT calls at recent ICCAT meetings to clarify the roles and responsibilities of the Permanent Working Group and the Compliance Committee to strengthen their operation, effectiveness, and efficiency;

RECOGNIZING the importance of robust MCS and other technical measures to ensure effective implementation of ICCAT's conservation and management measures, improve ICCAT statistics, and help address IUU fishing;

MINDFUL of the need to ensure that actions taken to support ICCAT conservation and management measures are non-discriminatory and in accordance with international law;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF THE ATLANTIC TUNA (ICCAT) RECOMMENDS THAT:**

The Terms of Reference of the PWG be as follows:

1. Review trade and other relevant fishery information regarding species under the purview of ICCAT in order to identify deficiencies in ICCAT statistics.
2. Consider the effectiveness and practical aspects of the implementation of ICCAT's technical measures, including but not limited to:
 - a) Catch Documentation and Statistical Document Programs;
 - b) Observer programs
 - c) At-sea and in-port transshipment requirements
 - d) Rules for chartering and other fishing arrangements
 - e) At-sea vessel sighting and inspection programs
 - f) Port inspection schemes and other port State measures
 - g) Vessel listing requirements
 - h) Vessel Monitoring System requirements
 - i) Flag State responsibilities
3. Develop or modify, where needed, technical measures to ensure effective implementation of ICCAT's conservation and management measures, including measures for the collection and reporting of statistical data, and proper application of the provisions of the Convention.
4. Oversee development of ICCAT's list of vessels presumed to be engaged in illegal, unreported, and unregulated (IUU) fishing activities.
5. Recommend measures to the Commission based upon the findings of the Permanent Working Group.
6. In carrying out its responsibilities, the PWG shall cooperate closely with other ICCAT subsidiary bodies in order to remain informed on all issues that may affect its work and refer relevant matters identified during its deliberations to the appropriate subsidiary body for attention, such as issues of non-compliance with ICCAT conservation and management measures.
7. This recommendation replaces the *Recommendation by ICCAT to Change the Terms of Reference of the Permanent Working Group for the Improvement of ICCAT Statistics and Conservation Measures (PWG)* [Rec. 02-28] and the *Resolution by ICCAT to Establish a Permanent Working Group for the Improvement of ICCAT Statistics and Conservation Measures (PWG) and the Terms of Reference of the Working Group* [Res. 92-02].

**RECOMMENDATION BY ICCAT TO AMEND THE MANDATE AND
TERMS OF REFERENCE ADOPTED BY THE COMMISSION FOR THE ICCAT
CONSERVATION AND MANAGEMENT MEASURES COMPLIANCE COMMITTEE (COC)**

(Entered into force: **June 7, 2012**)

RECALLING the 1995 adoption by ICCAT of the “Mandate and Terms of Reference for the ICCAT Conservation and Management Measures Compliance Committee” (Compliance Committee) (95-15);

TAKING INTO ACCOUNT calls at recent ICCAT meetings to clarify the roles and responsibilities of the Permanent Working Group and the Compliance Committee to strengthen their operation, effectiveness, and efficiency;

MINDFUL of the need to ensure that actions taken to support ICCAT conservation and management measures are non-discriminatory and in accordance with international law;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS RECOMMENDS THAT:**

The Mandate and Terms of Reference of the Compliance Committee be as follows:

1. The Compliance Committee shall be broadly responsible for reviewing all aspects of compliance with ICCAT conservation and management measures.
2. The Compliance Committee shall report directly to the Commission on its deliberations and recommendations.
3. Compliance Committee shall:
 - a) Gather and review information relevant to the assessment of compliance by Contracting Parties and Cooperating non-Contracting Parties, Entities, and Fishing Entities (CPCs) with ICCAT conservation and management measures, including information from ICCAT subsidiary bodies; Annual Reports submitted to the Commission; catch data compiled by the Commission and SCRS; trade information obtained through statistics of CPCs and non-Contracting Parties, Entities or Fishing Entities (NCPs), including from statistical and catch document programs; and other relevant information;
 - b) Pursuant to this review, assess the status of each CPC’s implementation of and compliance with ICCAT conservation and management measures, including monitoring, control, and surveillance (MCS) measures;
 - c) Review available information to assess the cooperation of NCPs with ICCAT in the conservation and management of ICCAT species;
 - d) Review domestic measures for the implementation of the Commission’s recommendations, as reported by CPCs, and, if available, NCPs;
 - e) Review and evaluate reports on inspection and surveillance activities carried out in accordance with ICCAT measures, including reports of activities in contravention of such measures as well as follow-up actions taken to address such activities;
 - f) Develop and make recommendations to the Commission to address issues of non-compliance or lack of cooperation with ICCAT conservation and management measures,
 - g) Where needed, develop new or modify existing recommendations to the Commission designed to enhance compliance and cooperation with ICCAT conservation and management measures, such as rules on quota carryovers, or to address ambiguity with respect to the application of such measures; and
 - h) Review and make recommendations to the Commission regarding requests for cooperating status.
4. In carrying out its responsibilities, the Compliance Committee shall cooperate closely with other ICCAT subsidiary bodies in order to remain informed on all issues that may affect its work and refer relevant matters to the appropriate subsidiary body for attention, such as the development of new or revision of existing MCS or other technical measures.
5. This recommendation replaces the *Mandate and Terms of Reference Adopted by the Commission for the ICCAT Conservation and Management Measures Compliance Committee* [TOR 95-15].

**RECOMMENDATION BY ICCAT TO ESTABLISH A WORKING GROUP
TO DEVELOP AMENDMENTS TO THE ICCAT CONVENTION**

(Entered into force: **June 10, 2013**)

RECALLING that, further to the 2005 *Resolution by ICCAT to Strengthen ICCAT* [Res. 05-10], the Commission should review ICCAT's conservation and management program and develop a work plan to address the strengthening of the organization;

RECOGNIZING the results of the Independent Performance Review of ICCAT;

RECALLING the discussions held during the meetings of the Working Group on the Future of ICCAT pursuant to the *Resolution by ICCAT to Strengthen ICCAT* [Res. 06-18];

TAKING INTO ACCOUNT developments in relevant international fisheries governance since the signature of the Convention;

FURTHER TAKING INTO ACCOUNT the outcome of the 2012 meeting of the Working Group on the Future of ICCAT acknowledging that to address certain issues, amendments to the ICCAT Convention are necessary;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION OF
ATLANTIC TUNAS (ICCAT) RECOMMENDS AS FOLLOWS:

A Working Group is established with the following Terms of Reference:

- a) Develop proposed amendments to the Convention with respect to the items identified in the **Annex 1** and produce draft recommendations or amendments to the Convention, if the draft recommendations cannot address the issue, with respect to the items identified in the **Annex 2**, in order to further strengthen ICCAT to ensure it can fully meet current and future challenges.
- b) In developing proposed amendments and producing draft recommendations, take into account the input of ICCAT Contracting Parties, Cooperating non-Contracting Parties, Entities or Fishing Entities (CPCs), including proposals considered during the Future of ICCAT Working Group process.
- c) The Working Group will carry out its work in accordance with the following work plan:

2013	2014	2015
Meet intersessionally to discuss proposed amendments to the Convention, including draft text, and to produce draft recommendations for their possible adoption at the 2013 Commission meeting.	Meet intersessionally to continue discussion of proposed amendments to the Convention, and develop a consolidated draft of proposed amendments that will serve as a negotiating text for future meeting(s).	Meet intersessionally to finalize, if possible, proposed amendments to the Convention. Present the final proposed Convention amendment text for adoption.

- d) The Working Group should seek to advance issues electronically, where possible.
- e) All CPCs should participate in the Working Group.
- f) Pursuant to Article 13 of the Convention, only Contracting Parties may propose amendments to the Convention and have the decision-making power on the adoption of the amendments to the Convention.
- g) A special Working Group Meeting Fund financed through voluntary contributions and, if necessary, the ICCAT Working Capital Fund is established to assist with the cost of participation of up to two representatives from each of those ICCAT Contracting Parties which are developing States.
- h) In carrying out this exercise, principles related to monitoring, control, and surveillance measures (MSC), *force majeure*, and responsible international trade should be duly taken into account.

Annex 1

(not in priority order)

Convention scope, in particular shark conservation and management

Decision-making processes and procedures:

- Entry into force provisions for recommendations
- Voting rules/quorum
- Objection procedures
- Dispute resolution

Non-party participation

Annex 2

Precautionary Approach

Ecosystem considerations

Capacity building and assistance

Allocation of fishing possibilities

Transparency

**RECOMMENDATION BY ICCAT AMENDING THE RECOMMENDATION
BY ICCAT FOR ENHANCING THE DIALOGUE BETWEEN
FISHERIES SCIENTISTS AND MANAGERS**

(Entered into force **3 June 2015**)

CONSIDERING scientific advice released by the Standing Committee on Research and Statistics (SCRS) as the corner stone for establishing a proper management framework on stocks and fisheries under the purview of ICCAT;

RECOGNIZING that an in depth understanding by the Commission of scientific advice and management recommendations made by the SCRS should ease the adoption by the Commission of relevant and effective conservation measures;

NOTING that the ICCAT Resolution 11-17 on best available science recommends improving the communication between CPCs, the Commission, and the SCRS by enabling a constant dialogue;

RECALLING the work in the Working Group of Fisheries Managers and Scientists held in June 2013 in support of the W-BFT stock assessment;

HIGHLIGHTING the need to further enhance the dialogue between fisheries managers and scientists in the coming years in order to achieve the Convention objectives in the most efficient and effective way;

STRESSING that such enhanced dialogue should, in particular, allow the Commission to focus on the establishment of management frameworks that take into account Target and Limit Reference points, associated level of risks and related Harvest Control Rules consistent with Recommendation 11-13;

STRESSING FURTHERMORE that such enhanced dialogue should also allow the Commission to review and provide input to the SCRS on the establishment of research priorities, considering more particularly the development of the Strategic Plan on Science, and to explore further improvements in ICCAT science and management processes;

RECALLING that provisions laid down in Recommendation 11-26 establishing a meeting participation fund should ease the attendance of fisheries scientist and managers from developing Contracting Parties and therefore contribute to an inclusive and participative dialogue;

EMPHASIZING that the Commission management decisions should be based on the best available science independently developed by the SCRS;

RECOGNIZING that the first meeting of the SWGSM was an important step to facilitate the dialogue between scientists and managers;

NOTING that the SCRS strongly supports the continuation of this initiative;

FURTHER NOTING that that development of Harvest Control Rules and application of the Management Strategy Evaluation to ICCAT fisheries is dependent upon input and guidance from fishery managers;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

1. A standing working group dedicated to the dialogue between fisheries scientists and managers ("SWGSM") is established under the following objectives and rules.

2. The objective of the SWGSM is to enhance communication and foster mutual understanding between fisheries managers and scientists, by establishing a forum to exchange views and to support the development and effective implementation of management strategies, in particular through, inter alia:
 - a. the development of a general framework to guide establishment, review and update of management objectives and strategies, which
 - i. is consistent with the Convention objectives, the ecosystem-based and precautionary approaches;
 - ii. defines the role and the responsibilities of both fisheries managers and scientists (SCRS) and possible interactions and feedbacks; and
 - iii. allows for reflecting both conservation and socio-economic considerations.
 - b. ways to improve managers and scientists' mutual understanding of concepts related to management strategies, including:
 - i. the adoption of Limit and Target Reference Points (LRPs and TRPs);
 - ii. the development of Harvest Control Rules (HCRs);
 - iii. the application of Management Strategies Evaluation (MSE).
 - c. the analysis of case studies, exchanges and feedbacks on ongoing experiences.
 - d. the identification of opportunities / approaches that would enhance the available data.
 - e. the identification of research needs and priorities, in the light of discussions on SCRS annual work programmes and on the Strategic Plan on Science and including possible social and economic research topics.
 - f. the promotion of an efficient use of scientific resources and information.
3. The Chair of the SWGSM will be selected by the Commission.
4. The SWGSM will meet inter-sessionally and its meetings will be open to fisheries managers of Contracting Parties, Cooperating non-Contracting Parties, Entities and Fishing entities (CPCs), SCRS scientists and accredited observers. Fishery managers of the CPCs and fishery scientists of the SCRS will be considered on an equal footing during the standing working group meetings. Other experts may be invited to specific meetings of the standing working group depending on the topics to be discussed.
5. The structure of the meetings will include an open forum/dialogue. Recommendations to the Commission shall be developed through formal sessions of the SWGSM, which should ensure a balanced presence and an active participation of scientists and managers.
6. As part of its meeting, the SWGSM will review its work plan and make recommendations to update it, as necessary. Taking into account these recommendations and based on objectives identified in paragraph 2, the Commission will develop a schedule and draft agenda for future meetings of the SWGSM and assess the need to continue the Standing Working Group.
7. This Recommendation replaces the Recommendation by ICCAT for Enhancing the Dialogue between Fisheries Scientists and Managers [Rec. 13-18].

**RECOMMENDATION BY ICCAT TO CLARIFY AND SUPPLEMENT THE PROCESS FOR SEEKING
CAPACITY BUILDING ASSISTANCE PURSUANT TO ICCAT RECOMMENDATION 14-08**

(Entered into force 12 June 2017)

RECOGNIZING the role of the port State and the importance of port inspections in combating Illegal, Unreported, and Unregulated (IUU) fishing activities;

ACKNOWLEDGING the port inspection obligations established in *Recommendation by ICCAT for an ICCAT Scheme for Minimum Standards for Inspection in Port* [Rec. 12-07];

RECALLING the provisions of Recommendation 12-07 that recognize the special requirements of developing CPCs in implementing ICCAT's port inspection minimum standards and calling on CPCs to provide assistance to such developing CPCs to ensure effective implementation of those minimum standards;

FURTHER RECALLING the *Recommendation by ICCAT to Support Effective Implementation of Recommendation 12-07 by ICCAT for an ICCAT Scheme for Minimum Standards for Inspection in Port* [Rec. 14-08];

DESIRING to enhance the process for identifying and evaluating port inspection capacity building needs and providing assistance to ensure the Monitoring, Control, and Surveillance Fund (MCS Fund) established in Recommendation 14-08 is utilized as effectively as possible;

AWARE that FAO has identified important considerations and objectives related to port inspection capacity building;

RECOGNIZING the utility of taking advantage of existing training materials and initiatives for port inspection capacity building wherever possible;

EMPHASIZING the value of regional and sub-regional cooperation and coordinated approaches to maximize standardization of port inspection procedures and enhance port inspection capacity among developing CPCs;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

A Port Inspection Expert Group for Capacity Building and Assistance is established with the following Terms of Reference:

1. Identify state-of-the-art needs assessment tools, training materials, and programmes related to port inspection. Sources may include CPCs, other RFMOs, the FAO, and other relevant organizations.
2. As appropriate, adapt training materials and programmes to reflect specific requirements of the ICCAT port inspection scheme, including the specific obligations of port State CPCs and the operational training needs of relevant personnel.
3. Evaluate and, if possible, prioritize applications for port inspection capacity building assistance submitted to the Secretariat in accordance with paragraph 7 of Recommendation 14-08. To facilitate this work, the Expert Group will:
 - a) Develop one or more forms (with instructions) to help developing CPCs self-assess their port inspection capacity building needs and apply for assistance from ICCAT to address any identified needs, as appropriate. The Secretariat shall circulate the form(s) and instructions to all CPCs as soon as available and shall also post the form(s) and instructions on the public portion of the ICCAT website.

- b) Review any other relevant information that might indicate a need for port inspection capacity building assistance, as compiled by the Secretariat and/or available from other sources.
 - c) As appropriate, engage with developing CPCs regarding their port inspection capacity building needs, including exploring possible approaches for addressing those needs.
 - d) Consider information on trainings or other capacity building assistance received by a developing CPC that was or will be provided outside of ICCAT's capacity building efforts. As required by the Expert Group, the Secretariat shall compile relevant information to support this task.
4. Identify CPCs with existing capacity building programmes that may be able to provide assistance to developing CPCs, and coordinate with the Secretariat to facilitate information exchange among these CPCs. Further, evaluate the potential to collaborate with the FAO in providing port inspection capacity building assistance in ICCAT through the FAO regional workshops related to implementation of the Port State Measures Agreement. In addition, consider if opportunities exist to cooperate with other governments or organizations on port inspection capacity building efforts.
 5. Based on the work carried out under paragraphs 3 and 4 above, advise the Commission on the level and type of assistance that is needed, highlighting whether or not ICCAT funding would be required, to facilitate Commission decisions on the allocation of resources into and expenditures from the MCS Fund established in Recommendation 14-08.
 6. Consider the effectiveness of the process and procedures for providing technical and capacity building assistance to developing CPCs with respect to the implementation of Recommendation 12-07 and, where relevant, advise the Permanent Working Group for the Improvement of Statistics and Conservation (PWG) on ways to improve that effectiveness, including through the identification of difficulties that may be unrelated to a lack of capacity, such as unclear port inspection scheme requirements.
 7. The Expert Group will meet in 2017 to begin its work, preferably in conjunction with a meeting of the Integrated Monitoring Measures Working Group or other appropriate intersessional ICCAT meeting. In addition, the Expert Group should seek to advance issues electronically to the extent possible.
 8. At its first meeting, the Expert Group will elect a Chair from among its members. All CPCs with an interest in port inspection capacity building are encouraged to provide an expert to participate in the Group. The Expert Group will consist of no more than one participant from each CPC, participating as experts in port inspection and/or developing CPC needs, and not representing the interests of their respective CPCs. The ICCAT Secretariat will provide support and assistance as needed to ensure that the Expert Group can carry out these terms of reference as efficiently and effectively as possible.

**RECOMMENDATION BY ICCAT FOR THE
DEVELOPMENT OF AN ONLINE REPORTING SYSTEM**

(Entered into force **12 June 2017**)

RECOGNIZING that ICCAT has adopted a significant number of measures that require CPCs to submit information in various formats and under different schedules;

RECOGNIZING that the work of ICCAT benefits from timely and transparent information sharing;

RECOGNIZING the developments in electronic information exchange and the benefits, to the Secretariat and ICCAT members, of rapid communication with regard to the processing, management, and distribution of information;

NOTING the implementation of electronic systems will facilitate reporting, which should help address reporting delays, reporting in the wrong format, and incomplete reporting experienced by ICCAT under its current reporting process;

DESIRING to find effective ways to reduce the workload on the Secretariat and enhance the effective functioning of ICCAT, including the Compliance Committee;

THE INTERNATIONAL COMMISSION FOR THE
CONSERVATION OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

1. An online reporting system shall be developed and maintained at the ICCAT Secretariat covering ICCAT reporting requirements, with an initial focus on elements of the required CPC Annual Reports.
2. An Online Reporting Technology Working Group is established, in collaboration with the ICCAT Secretariat, to develop the plan for the online reporting system, based on the elements presented in **Annex 1**. The Working Group should specify what information the system will collect, the format and structure of the user interface, and the underlying technical specifications. In developing these elements, the Working Group should include a cost-benefit analysis of options for the development and maintenance of this system, with a priority on creating a simple, user-friendly system.
3. In carrying out the work specified in paragraph 2 above, the Working Group will determine which electronic reporting elements need to be undertaken by outsourced technical services and which can be developed by the Secretariat, based on experience and management of other existing systems, including open source solutions based on international UN/CEFACT standards, and taking into account information from other regional fisheries management organizations considering implementation of such systems.
4. This Working Group shall begin its work in 2017 with a completion goal of 2019. The Working Group will provide annual interim reports to the Commission on the progress of its work, including presenting its proposal for the content and format of the online reporting system to the Commission for its consideration in order to inform the development of the technical specifications referred to in paragraph 2.
5. Any interested CPCs are invited to participate and shall notify the Secretariat of the name of their Working Group participant by 15 January 2017. Participants identified should have knowledge and experience in the development and use of electronic, web-based reporting tools. The Working Group will select a chair from among its membership.
6. Once the online reporting system is established, training programs shall be developed and implemented to the extent possible through existing bilateral or broader capacity building and technical assistance programs, to ensure that CPCs utilize the system for a more efficient and effective reporting.

CONCEPT NOTE ON AN ICCAT ONLINE REPORTING SYSTEM

Purpose and Need

ICCAT has adopted a significant number of measures that require CPCs to submit data and reports in various formats and under different schedules. This information is typically submitted via electronic mail to the general intake address (info@iccat.int). This approach places a significant burden on the Secretariat to evaluate the received information and place it into the appropriate databases for scientific and/or administrative uses. Additionally, there is a heavy burden on the Secretariat to extract the information from numerous electronic files in order to produce required reports and communications in a timely manner, in particular reports to support the work of the Compliance Committee.

An online reporting system on the ICCAT website could provide CPCs with a unified and comprehensive approach to submitting information. The system could assist CPCs by providing a “single window” reporting and management tool for tracking and organizing their respective submissions. The online reporting system could replace the need to separately submit Annual Reports and, to the extent possible, many other periodic submissions to the Secretariat.

Such a system could address the persistent problem of lack of reporting and/or incomplete and late reporting that creates work for the Secretariat and that impedes the effective functioning of the Compliance Committee. Extracts of information made directly by CPCs from the online reporting system could replace several reports and documents now prepared by the Secretariat and help streamline the support to the Compliance Committee and other ICCAT Sub-committees. In addition, these extracts could be available to CPCs at any time and could facilitate advance and more effective preparation for the Compliance Committee or other ICCAT bodies.

Potential Features of a System

The system would be based on a relational database consisting of individual reporting elements. These data elements are, to a large extent, already well defined (see ICCAT Guidelines for submitting data and the list of reporting requirements).

The system would include integrated information on reporting elements indicating origin (ICCAT measure) and purpose, an explanation of the requirement, conditions of its applicability, and an indication of the format and due date.

Filtering criteria would be assigned to each reporting element to enable system queries of a particular focus. For example, filters could be developed to allow selection by:

- Associated Recommendation(s)/Resolution(s)
- Associated Species (BFT, SWO, ALB, etc.)
- Associated Subject (e.g., observers, vessels, MCS)
- Reporting period (year) and applicable due date
- Indication of whether the element contains legacy data or is an active requirement

Mode of Operation

The internet-based self-reporting would be accomplished by authorized CPC officials such as scientific and administrative correspondents. Password protected accounts would be assigned by the Secretariat and the system would have a self-service password reset.

An automated e-mail reminder could be sent to designated CPC officials when a reporting element is due/overdue.

The system would automatically record the CPC account that is used to enter/modify data and record dates of the original entry and most recent change for that reporting element on each annual cycle.

The CPC official would attach formatted files for loading into respective databases by Secretariat (e.g., Task I and Task II data, vessel lists). The Secretariat would record a CPC specific response in cases of incorrect/incomplete submission (system would record date of message).

The Secretariat could post messages for response by involved CPCs (e.g., VMS irregularities, observer PNC reports, inspection reports, submissions under Rec. 08-09) with automated e-mail notification of Secretariat queries to the individual CPCs.

The Secretariat would develop and post an online user manual and help request tool. The Secretariat staff would have administrator role to assist/modify records when needed.

An extract tool would allow CPCs to generate reports (at any time) according to selected filtering criteria (due date, associated species, subject, CPCs indicating not applicable, etc.).

The system would be automatically locked from further changes to that year's reporting requirement during the annual meeting/after the annual meeting/at the end of the calendar year.

Benefits

An online reporting system would reduce workload and streamline the process for the Secretariat's compilation of information (direct submissions through online reporting system rather than collate information submitted in emails).

The system would enforce formats and completeness of response (e.g., reporting that a measure is not applicable requires explanation).

Access to structured, specific extracts would facilitate work of the Compliance Committee in assessing status of each CPC prior to meeting; the system would provide a harmonized real time and historical record of reporting status by measure, by subject area, etc.

Such online systems promote transparency through access to extracts (similar to queries on conservation measures and authorized vessel list).

Costs to Consider

- Database development and user interface, including new reporting elements when new measures adopted and deactivation of legacy reporting elements when measures replaced/rescinded
- Online user guide and training tools
- Operations and maintenance costs

**RESOLUTION BY ICCAT TO ESTABLISH AN AD HOC
WORKING GROUP TO FOLLOW UP ON THE SECOND ICCAT PERFORMANCE REVIEW**

(Transmitted to Contracting Parties: **12 December 2016**)

CONSIDERING that the second performance review of ICCAT was carried out in 2016 by an external panel of experts;

NOTING that the panel of experts highlighted a number of areas where ICCAT made progress since the first performance review;

FURTHER NOTING that the panel of experts also drew up a number of recommendations to improve the performance of ICCAT;

RECOGNIZING the necessity to follow up on the conclusions of the second performance review with a view to further strengthening ICCAT;

RECALLING that a process to strengthen ICCAT was initiated in 2005 and that in 2006 ICCAT established a Working Group on the future of ICCAT that was tasked, among other things, to follow-up on the recommendations of the first performance review

RECOGNIZING that it would be appropriate to establish a an ad-hoc Working Group to propose recommendations to the Commission for next steps further to the second performance review;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RESOLVES AS FOLLOWS:**

1. An ad-hoc Working Group on Performance Review Follow-up is established and will meet intersessionally in 2017 to:
 - a) examine the outcomes of the second independent performance review of ICCAT to identify issues raised and recommendations made by the Performance Review Panel that need further consideration; and
 - b) propose next steps in light of the examination carried out pursuant to 1(a) in particular draw up a work plan specifying which ICCAT body (Commission, Committee, Working Group or Panel) should consider identified issues and recommendations.
2. The ad-hoc Working Group will report to the Commission at its 2017 Annual meeting on the outcomes of its deliberations.
3. At its 2017 Annual Meeting the Commission will consider the outcomes of ad-hoc Working Group and decide on a work plan.
4. The Working Group will be supported by the ICCAT Secretariat and will be chaired by the ICCAT Chairman.

**RESOLUTION BY ICCAT ON THE THIRD MEETING OF THE STANDING WORKING GROUP FOR
ENHANCING THE DIALOGUE BETWEEN FISHERIES SCIENTISTS AND MANAGERS (SWGSM)**

(Transmitted to Contracting Parties: **12 December 2016**)

RECOGNIZING that ICCAT has adopted Recommendation 15-07 for the development of Management Strategy Evaluation (MSE) and Harvest Control Rules (HCR);

ACKNOWLEDGING that in 2016 the Standing Committee on Research and Statistics (SCRS) responded to the Commission's request to provide a 5-year schedule for advancing this work;

CONSIDERING the need for continuing dialogue between scientists and managers;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RESOLVES THAT:

Based on ICCAT Recommendation 14-13, for Enhancing the Dialogue between Fisheries scientists and Managers, a meeting of the Standing Working Group for Enhancing the Dialogue Between Fisheries Scientists and Managers (SWGSM) will be held in 2017 and thereafter as appropriate.

Appendix 1

Draft Agenda for 2017

1. SWGSM Terms of Reference (Rec. 14-13) and outcomes of 1st and 2nd SWGSM meetings
2. Outcomes of the 2016 Joint Tuna RFMOs Working Group on Management Strategy Evaluation (MSE)
3. Status of the development of harvest control rules (HCR) and actions to be taken in 2017 for priority stocks identified in Rec. 15-07¹:

NALB:

- Status update on the testing of candidate HCRs through MSE

BFT:

- Status update on MSE-related work by the SCRS
- Consideration of management objectives
- Identification of performance indicators

NSWO:

- Identification of the acceptable quantitative probability of achieving and/or maintaining the stock in the green zone of the Kobe plot and avoiding the limit reference point
- Identification of performance indicators

¹ Chairs of respective Panels together with the SCRS Species Group chairs and the SCRS Chair will work intersessionally to prepare an analysis of how management objectives have been established for priority stocks, which performance indicators have been identified and progress toward MSE/HCR development to date. An example of performance measures and associated statistics is attached (**Appendix 2**).

Tropical tunas:

- Identification of the acceptable quantitative probability of achieving and/or maintaining the stocks in the green zone of the Kobe plot and avoiding the limit reference point
 - Review of indicative performance indicators adopted in Rec. [16-01], Annex 8
- 4 Recommendations to the Commission on management objectives, performance indicators and HCR for stocks referred to under point 3
 5. Review of the 5-year road map for the development of MSE/HCR for priority stocks
 6. Consideration of other stocks for possible addition to the 5-year road map
 7. Outcomes of the 2016 Joint Tuna RFMO Working Group on Ecosystem Based Fisheries Management (EBFM)
 8. Development of a draft road map to implement EBFM, including roles and responsibilities

Performance Indicators and Associated Statistics

PERFORMANCE INDICATORS AND ASSOCIATED STATISTICS	UNIT OF MEASUREMENT	TYPE OF METRICS
Status		
1.1 Minimum biomass relative to B_{MSY}	B / B_{MSY}	Minimum over [x] years
1.2 Mean biomass relative to B_{MSY} ¹	B / B_{MSY}	Geometric mean over [x] years
1.3 Mean fishing mortality relative to F_{MSY}	F / F_{MSY}	Geometric mean over [x] years
1.4 Probability of being in the Kobe green quadrant	B, F	Proportion of years that $B \geq B_{MSY}$ & $F \leq F_{MSY}$
1.5 Probability of being in the Kobe red quadrant ²	B, F	Proportion of years that $B \leq B_{MSY}$ & $F \geq F_{MSY}$
2 Safety		
2.1 Probability that biomass is above B_{lim} ($0.4B_{MSY}$) ³	B / B_{MSY}	Proportion of years that $B > B_{lim}$
2.2 Probability of $B_{lim} < B < B_{thresh}$	B / B_{MSY}	Proportion of years that $B_{lim} < B < B_{thresh}$
3 Yield		
3.1 Mean catch – short term	Catch	Mean over 1-3 years
3.2 Mean catch – medium term	Catch	Mean over 5-10 years
3.3 Mean catch – long term	Catch	Mean in 15 and 30 years
4 Stability		
4.1 Mean absolute proportional change in catch	Catch (C)	Mean over [x] years of $(C_n - C_{n-1}) / C_{n-1}$
4.2 Variance in catch	Catch (C)	Variance over [x] years
4.3 Probability of shutdown	TAC	Proportion of years that TAC=0
4.4 Probability of TAC change over a certain level ⁴	TAC	Proportion of management cycles when the ratio of change ⁵ $(TAC_n - TAC_{n-1}) / TAC_{n-1} > X\%$
4.5 Maximum amount of TAC change between management periods	TAC	Maximum ratio of change ⁶

¹ This indicator provides an indication of the expected CPUE of adult fish because CPUE is assumed to track biomass.

² This indicator is only useful to distinguish the performance of strategies which fulfil the objective represented by 1.4.

³ This differs slightly from being equal to 1- Probability of a shutdown (4.3), because of the choice of having a management cycle of 3 years. In the next management cycle after B has been determined to be less than B_{lim} the TAC is fixed during three years to the level corresponding to F_{lim} , and the catch will stay at such minimum level for three years. The biomass, however, may react quickly to the lowering of F and increase rapidly so that one or more of the three years of the cycle will have $B > B_{lim}$.

⁴ Useful in the absence of TAC-related constraints in the harvest control rule.

⁵ Positive and negative changes to be reported separately.

⁶ Positive and negative changes to be reported separately.

**RESOLUTION BY ICCAT TO FACILITATE
AN EFFECTIVE AND EFFICIENT COMPLIANCE PROCESS**

(Transmitted to Contracting Parties: **12 December 2016**)

RECOGNIZING the substantial amount of information that must be reviewed and analyzed to prepare for meetings of the Compliance Committee;

DESIRING to enhance the efficiency and effectiveness of ICCAT's compliance review process in a fair, equitable, and transparent manner; and

NOTING that the effort to enhance ICCAT's compliance review process will, necessarily, be iterative in nature and that future review and amendment of the process set forth in this Resolution will be informed by the COC's experience in its implementation;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RESOLVES THAT:

1. The Secretariat will, in consultation with the Compliance Committee (COC) Chair, compile an inventory of compliance information for each CPC (i.e., Draft Summary Compliance Tables), using all appropriate sources, including reports submitted under Recommendation 08-09. The Draft Summary Compliance Tables will include information on whether CPCs complied with applicable recommendations of the Commission, including reporting obligations. Further, if requested by the COC or COC Chair, the Secretariat will also compile a supplementary inventory of compliance information by species, issue, or topic (i.e., supplementary tables) to facilitate focused compliance review of identified priority matters.
2. The Secretariat will circulate the Draft Summary Compliance Tables and any supplementary tables to all CPCs for their review as far in advance of the ICCAT Annual meeting as possible with a target deadline of three weeks before the opening session. CPCs will be invited to give initial, written explanations of inaccuracies or additional information to the Secretariat on their own compliance information as reflected in the Draft Summary Compliance Tables and any supplementary tables at least five days before the start of the first session of the COC. The COC will hold its first session early in the ICCAT Annual Meeting as determined by the Commission Chair or at an appropriate time before the start of the ICCAT Annual Meeting if so decided by the Commission.
3. Prior to the first COC session, the COC Chair will review any written input received from CPCs on the Draft Summary Compliance Tables and any supplementary tables, revise the tables as appropriate, and recirculate them to the CPCs. At this time, the COC Chair will also identify and propose priority CPCs or cases, as well as broader issues or areas of focus for the current or a future ICCAT Annual Meeting, as needed and appropriate.
4. To assist with the tasks specified in paragraph 3 above, the COC Chair may convene a Friends of the Chair Review Group before and/or during the ICCAT Annual Meeting. If and when such a Group is to be convened, all CPCs will be notified and invited to provide one representative to participate in its work and interested CPCs should ensure their representative has expertise in Commission recommendations. To ensure the work of the group is as efficient and effective as possible, the Chair will ensure that the composition of the Group is as small as feasible given the varied fisheries interests of CPCs and reflects the geographical representation of the Commission to the extent possible. Participants will take no active part in discussions of compliance issues pertaining to their CPC during meetings of the Friends of the Chair Review Group. A CPC's ability to engage in compliance related discussions during COC sessions, however, will not be affected by participation on the Friends of the Chair Review Group. The COC Chair may also invite the Panel, PWG, and SCRS Chairs to participate in the Group, as appropriate.

5. The first COC session should be held early in the annual meeting. Discussions will focus on those priority cases, CPCs, or issues identified pursuant to paragraph 3. Other CPCs, cases, and issues not identified as priorities, will not be discussed, unless a CPC raises a specific matter for discussion. Each CPC will have the opportunity to provide additional information concerning their compliance during this discussion, such as any mitigating circumstances or actions they intend to take to ensure future compliance and, as needed, to allow for questions and discussions.
6. Additionally, once every two years, the COC will hold a special session just prior to the ICCAT Annual Meeting for a CPC by CPC review.
7. After the initial discussion review, the COC Chair will consider any additional information provided under paragraph 5 above or available from other sources, revise and finalize the Summary Compliance Tables and any supplementary tables with assistance from the Secretariat, and, where appropriate, propose actions for addressing issues of non-compliance, taking into account any guidance that may be adopted by the Commission. The COC Chair may seek assistance from the Friends of the Chair Group in completing this task. The Chair will ensure that the Group's deliberations and the Chair's rationale underpinning each proposed action to address issues of non-compliance are clearly documented.
8. After completion of the work specified in paragraph 6, the Chair will have the draft Summary Compliance Tables, any supplementary tables, and the Chair's proposed compliance status and actions to address non-compliance (with documented rationale) circulated to the CPCs for consideration by the COC at a later session held during the ICCAT Annual Meeting. Provided this transparent, well-documented compliance review process has been followed, neither repeated discussion of compliance issues, nor a detailed presentation of each proposed action, should be necessary. Rather, at this stage of the process, substantive COC discussion should be reserved for those cases where there are differences of view on the Chair's proposed action. Once any such differences have been resolved, the COC will forward its recommendations for addressing any issues of non-compliance to the Commission for consideration and appropriate action.

**RECOMMENDATION BY ICCAT TO CONTINUE THE DEVELOPMENT
OF AN INTEGRATED ONLINE REPORTING SYSTEM**

(Entered into force **20 June 2020**)

RECALLING the *Recommendation by ICCAT for the Development of an Online Reporting System* (Rec. 16-19) adopted by the Commission in 2016;

NOTING that the reporting requirements of the Commission are numerous and change over time and that any such system must, by its nature, be broad in scope and dynamic;

RECOGNISING the progress made to date by the Online Reporting Technology Working Group and the Secretariat in the initial development of the system;

ACKNOWLEDGING that the substantial scale of the project requires work beyond the initial target completion date of 2019;

DESIRING to continue to find ways to enhance the effective functioning of the Commission, including by reducing the burden associated with ICCAT reporting requirements for both the Secretariat and the CPCs and increasing access to valuable information;

THE INTERNATIONAL COMMISSION FOR THE
CONSERVATION OF ATLANTIC TUNA RECOMMENDS THAT:

1. The deadline for completion by the Online Reporting Technology Working Group of the first phase of the online reporting system in relation to the elements of the required CPC Annual Reports shall be extended to 2021. The Working Group will present to the Commission for its consideration a prototype of the system in relation to this first phase in 2020, with the aim of completing necessary refinements in 2021 or as soon as possible thereafter.
2. To further the work on the first phase, the Online Reporting Technology Working Group shall meet at least once in 2020 and shall also continue to work virtually as required in order to meet the deadlines in paragraph 1 for production of a prototype as well as the completed first phase of the system.
3. The Working Group shall remain active following the completion the first phase of the system until such time as the Commission decides otherwise. The tasks of the Working Group after 2021 shall be:
 - a) To oversee the incorporation into the online reporting system of any new Annual Report requirements;
 - b) To determine any redundant requirements for which reporting is no longer necessary and;
 - c) With appropriate input from the Commission, to oversee development of additional system modules covering other ICCAT reporting requirements in order to establish a comprehensive and fully integrated online reporting system;
 - d) And other tasks as the Commission may identify.
4. In carrying out the above tasks, the Working Group shall work in consultation with the SCRS, Compliance Committee, and other subsidiary bodies of the Commission as necessary and appropriate.
5. The Working Group shall continue to provide annual updates to the Commission regarding its activities, including presenting its proposal(s) for the content and format of the online reporting system and related modules for Commission consideration in order to inform their design and development.
6. This Recommendation supplements the *Recommendation by ICCAT for the Development of an Online Reporting System* (Rec. 16-19).

**RESOLUTION BY ICCAT ESTABLISHING AN ICCAT WORKING GROUP
ON BLUEFIN TUNA CONTROL AND TRACEABILITY MEASURES**

(Transmitted to Contracting Parties **20 December 2019**)

ACKNOWLEDGING that ICCAT has adopted the *Recommendation by ICCAT amending the Recommendation 18-02 establishing a multi-annual management plan for bluefin tuna in the eastern Atlantic and the Mediterranean* (Rec. 19-04);

NOTING that paragraphs 8 and 117 of Recommendation 19-04 calls for a discussion on potential additional measures for further strengthening the control and traceability of live bluefin tuna;

FURTHER NOTING that ICCAT has adopted Recommendation 17-06 establishing an interim conservation and management plan for Western Atlantic bluefin tuna;

CONSIDERING that additional measures on control and traceability may be required to reinforce the efforts made over the past years for the recovery of bluefin tuna in the ICCAT Convention area;

CONSIDERING that the constitution of a Working Group under Panel 2 would contribute to facilitate progress on control and traceability measures on bluefin tuna through the discussion and exchanges drawing on the expertise available from all the Contracting Parties concerned;

RECOGNIZING that this Working Group should be initiated without delay;

THE INTERNATIONAL COMMISSION FOR THE
CONSERVATION OF ATLANTIC TUNAS (ICCAT) RESOLVES THAT:

1. A Working Group is established:
 - a. to identify the weaknesses and loopholes that may reduce the effectiveness of the ICCAT control and traceability measures in force for the bluefin tuna fishery, from catching to post-harvest trade activities;
 - b. to recommend to Panel 2 amendments to those measures, and/or additional measures, to strengthen the control and traceability of the ICCAT bluefin tuna fisheries; and
 - c. to prevent any IUU fishing activities and the trading of illegal bluefin tuna.
2. In carrying out the following tasks, the Working Group will mainly focus on the control and traceability measures applied to live Eastern Atlantic and Mediterranean bluefin tuna as foreseen in paragraphs 8 and 117 of the Recommendation 19-04. In particular, the Working Group will:
 - a. assess in the ICCAT Recommendations in force all the measures related to the control and traceability of live bluefin tuna, from the catching to the post-harvesting trade activities;
 - b. identify the existing weaknesses and/or loopholes, including the lack of sufficient technical and operational details;
 - c. identify specific corrective and/or additional measures to address those weaknesses and/or loopholes; and
 - d. report, and as appropriate, submit to Panel 2 recommendations to adopt the corrective and /or additional measures referred to in subparagraph c.
3. After having been discussed by the Working Group, any corrective and/or additional measures identified under paragraph 2 shall be presented to Panel 2. The measures related to the current electronic bluefin tuna catch documentation scheme (eBCD) shall be referred by Panel 2 to the PWG/eBCD Technical Working Group to evaluate their implementation and consider advice on necessary developments. Any new measure shall enter into force when the Commission adopts the related functionalities.

4. The Working Group will be assisted by the ICCAT Secretariat in its work and will be Chaired by the European Union. The Working Group shall hold a meeting back-to-back with the intersessional meeting of Panel 2 before the ICCAT Annual Meeting in November 2020. The Commission shall decide on the need for additional meetings of the Working Group at its 2020 Annual Meeting.

**RESOLUTION ON THE COLLECTION OF STATISTICS ON
THE ATLANTIC TUNA FISHERIES****The Conference**

Taking note of documents FID: AT/66/4, Annex 6, and FID: AT/66/INF-5 relating to the collection and publication of statistics on Atlantic tuna fisheries; and

Agreeing that it is essential that all countries fishing these Atlantic tuna resources should collect adequate statistics on catch and fishing effort and the necessary biological data, and make available for publication the statistical and related economic data with a view to enabling the International Commission for the Conservation of Atlantic Tunas to fulfill its functions adequately as soon as it is established;

Urges all countries to take steps without delay to create, where they do not already exist, offices within their fisheries administrations suitably staffed and having appropriate financial and legislative support to undertake the collection and the processing of the data to be used by the Commission; and

Suggests that all countries faced with the tasks of establishing and operating such offices, give priority to requests for assistance in this connection through the United Nations Development Programme and through the regular programme of the Food and Agriculture Organization of the United Nations.

**RESOLUTION BY ICCAT ON COOPERATION WITH THE
CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED
SPECIES OF WILD FAUNA AND FLORA (CITES)**

(Transmitted to Contracting Parties: **November 30, 1993**)

WHEREAS, among the objectives of the International Commission for the Conservation of Atlantic Tunas is to ensure the effective conservation and rational management of tuna and tuna-like fishes in the Atlantic Ocean, including the adjacent seas;

RECALLING that international trade in threatened and endangered species, including marine species, is under the purview of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES);

NOTING that Article XV, paragraph 2.b of the CITES Convention requires the Secretariat, when it receives a proposal for an amendment to the Appendices on marine species, to consult inter-governmental bodies having a function in relation to those species especially with a view to obtaining scientific data these bodies may be able to provide and to ensuring coordination with any conservation measures enforced by such bodies;

NOTING the provisions of the Draft Resolution contained in the Notification to the Parties of CITES No. 773 of October 15, 1993, which states in particular that the views of inter-governmental organizations with competence for the management of the species concerned should be taken fully into account;

NOTING that Appendix 6 of the above Draft Resolution would require proponents, when preparing proposals to amend the Appendices relating to marine species, to consult in advance with the competent inter-governmental organizations responsible for the conservation and management of the species, and to take their views fully into account;

CONSIDERING that marine fishery resources constitute one of the valuable food sources of humankind, and that their importance will become even greater in the future.

ENDORSING the Declaration of the International Conference on Responsible Fishing (Cancun, May 1992), in virtue of which States recognize that policy for the protection of the environment should encompass the fundamental causes of the degradation of the environment, in order to avoid that the measures adopted do not involve useless restrictions in trade matters.

ENDORSING the concept of sustainable utilization of resources, agreed at the United Nations Conference on Environment and Development (UNCED) in 1992;

**THE INTERNATIONAL COMMISSION FOR
THE CONSERVATION OF ATLANTIC TUNAS (ICCAT):**

- a) *REQUESTS* that the Parties of CITES consult fully with ICCAT in reaching conclusions on proposals for listing any of the relevant marine species, and for the revision of the criteria for listing species on the CITES Appendices;
- b) *REAFFIRMS* its intention to provide CITES with a report on the status of the Bluefin Tuna populations, and on related conservation initiatives;
- c) *EXPRESSES* its wish that the management measures undertaken by ICCAT and the information provided will be taken fully into account by CITES.

**RESOLUTION BY ICCAT
CONCERNING THE COMPOSITION OF THE DELEGATIONS
OF ICCAT CONTRACTING PARTIES TO CITES**

(Transmitted to Contracting Parties: **November 30, 1993**)

NOTING that the International Commission for the Conservation of Atlantic Tunas (ICCAT) has full competence on the conservation and management of tunas and tuna-like species in the Atlantic Ocean and its adjacent seas,

CONSIDERING that any decision which might be taken by the Conference of Parties to the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), as regards the trade of tunas and tuna-like species in the Atlantic Ocean and its adjacent seas should take fully into account the conservation and management measures adopted by ICCAT,

RECOGNIZING that the Delegates of the Contracting Parties to CITES may be unaware of the objectives and efforts made by ICCAT concerning the conservation of Atlantic tunas and tuna-like species,

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RESOLVES:**

That when any proposal is made to CITES to list in its Appendices any tuna or tuna-like species which is under ICCAT competence, each Contracting Party of ICCAT which is also a Party to the CITES should:

- a) Include on its official delegation, a member or members who are familiar with ICCAT, its work and its objectives, or
- b) Identify a contact point in their CITES delegation, and communicate this to the other Contracting Parties of ICCAT.

**RESOLUTION BY ICCAT ON
COORDINATION WITH NON-CONTRACTING PARTIES**

(Transmitted to Contracting Parties: **January 23, 1995**)

RECOGNIZING that the international community has an important responsibility to conserve the tuna and tuna-like resources of the Atlantic for present and future generations;

RECOGNIZING that the problem of ensuring such sustainability cannot be resolved properly unless all nations fishing these species work together cooperating through the Commission, which is the accredited international body with jurisdiction regarding these species in the Convention area;

RECALLING that the on-going United Nations Conference on Straddling Stocks and Highly Migratory Species has emphasized the importance of ensuring the conservation of highly migratory species through international fisheries organizations such as the Commission;

THEREFORE,

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RESOLVES THAT:

- 1 The Executive Secretary of ICCAT shall contact all non-Contracting Parties known to be fishing in the Convention area for species under the competence of the Convention to urge them to become Contracting Parties or "Cooperating Parties". A Cooperating Party shall be defined as a non-Contracting Party that does not hold membership in ICCAT as a Contracting Party but voluntarily fishes in conformity with the conservation decisions of ICCAT.
- 2 Non-Contracting Parties that continue to fish for bluefin tuna and that do not become Cooperating Parties shall be advised that their continued fishing outside ICCAT's conservation measures will diminish the effectiveness of those measures.
- 3 Cooperating Parties may attend the meetings of ICCAT as observers.
- 4 The Executive Secretary shall provide to non-Contracting Parties referred to in paragraph 1 above a copy of all relevant ICCAT Resolutions and Recommendations adopted by ICCAT.

**RESOLUTION BY ICCAT ON IMPROVING
RECREATIONAL FISHERY STATISTICS**

(Transmitted to Contracting Parties: **December 16, 1999**)

RECOGNIZING that in accordance with the terms of the Convention, it is the responsibility of each Contracting Party to provide annually on a timely basis, data relating to fishing activities in the Convention Area for species of interest to the Commission;

RECALLING that the Commission, through its Standing Committee on Research and Statistics (SCRS), has established minimum data reporting requirements comprised of Task I and Task II, and length sampling annual statistics for all tunas and tuna-like fishes as defined by the Convention, by flag vessels, by fishing area and time, and by gear (e.g., longline, purse seine, baitboat, trap, troll, other methods, and by recreational gears);

CONSIDERING that lack of compliance with the minimum data reporting requirements established diminishes the effectiveness of the Commission;

CONSIDERING that ICCAT managed species provide important benefits to recreational fishery activities and that these benefits may not be achieved through management that relies primarily on quotas, effort and access limitations, and commercial fishing gear limitations;

RECOGNIZING that the scientific information that can be obtained from recreational fishing can be substantial; for example fish can be tagged and released without adversely affecting the recreational experience.

NOTING that information and scientifically collected data concerning the extent of and participation in recreational fishery activities are generally lacking;

RECOGNIZING that these activities generally occur almost exclusively within waters outside the high seas;

DESIRING that significant improvements be made in the routine, standardized submission of data concerning the use of ICCAT-managed species;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RESOLVES THAT:**

- 1 Beginning in 2000, each Contracting Party, Cooperating non-Contracting Party, Entity, or Fishing Entity provide specific data to SCRS that allow the Commission to determine separately the magnitude of recreational fisheries of each species of Atlantic tuna and tuna-like fish.
- 2 Beginning in 2000, each Contracting Party, Cooperating non-Contracting Party, Entity, or Fishing Entity should include a discussion in their annual national reports¹ to ICCAT of the techniques used to manage these fisheries.
- 3 The Commission urge all non-Contracting Parties, Entities and Fishing Entities not referred to above to act in conformity with operative paragraphs 1 and 2 of this Resolution.
- 4 That SCRS carry out an examination of the extent of recreational fisheries and their effects on Atlantic tuna and tuna-like resources.

¹Note from the Secretariat: Based on a Commission decision in 2004, these reports are now called *Annual Reports*. Please see the *Revised Guidelines for the Preparation of Annual Reports* [Ref. 12-13].

**RESOLUTION BY ICCAT ENDORSING
THE INTERNATIONAL PLAN OF ACTION
FOR THE MANAGEMENT OF FISHING CAPACITY (IPOA)**

(Transmitted to Contracting Parties: **December 16, 1999**)

RECALLING that the FAO Committee on Fisheries adopted the International Plan of Action for the Management of Fishing Capacity (IPOA) in February 1999,

FURTHER RECALLING that the Rome Declaration on the Implementation of the Code of Conduct for Responsible Fisheries (the Code) adopted by the FAO Ministerial Meeting on Fisheries in March 1999 underlines the important role of regional fishery management organizations in respect of the implementation of the Code,

NOTING that Japan's initiative to implement the reduction in the number of large-scale tuna longline fishing vessels by 20% (132 vessels) by scrapping of those vessels in accordance with the IPOA,

ALSO NOTING that Chinese Taipei's previous efforts of reducing by 136 vessels, or 16%, its large-scale longline fleet during 1991-1995, and its commitment to take further reduction of large-scale tuna longline fishing vessels in accordance with the IPOA,

ALSO NOTING that the European Community has introduced a Multi Annual Program for the management of its fishing capacity,

ALSO NOTING Korea's previous efforts of reducing its large-scale tuna longline fleet by 73 vessels, since 1991,

RECALLING that the ICCAT is now undertaking a measure to limit the fishing capacity for bigeye tuna,

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RESOLVES THAT THE COMMISSION:

Endorse the FAO International Plan of Action for the Management of Fishing Capacity (IPOA) and attaches high priority to its implementation.

- RESOLUTION -
DEADLINES & PROCEDURES FOR DATA SUBMISSION

(Transmitted to Contracting Parties: **February 22, 2002**)

GIVEN that Article IX of The Convention states that the Contracting Parties agree to furnish, on the request of the Commission, any available statistical, biological and other scientific information the Commission may need for the purposes of this Convention;

ALSO GIVEN that Rule 13 of the Rules of Procedure states that the Standing Committee on Research and Statistics shall develop and recommend to the Commission such policies and procedures in the collection, compilation, analysis and dissemination of fishery statistics as may be necessary to ensure that the Commission has available at all times complete, current and equivalent statistics on fishery activities in the Convention Area;

RECOGNIZING that the Format Adopted by the Commission for Annual National Reports to be Submitted to ICCAT established by this Commission in 1995 states that National Reports¹ should be submitted to the ICCAT Secretariat at least one month before the start of the annual or Regular or Special Commission meeting. Where the meeting of SCRS is held some time before the Commission meeting, such reports should be submitted at the start of the SCRS meeting. The exact submission dates should be annually determined by the Secretariat;

ALSO GIVEN that the *Recommendation by ICCAT on Application of Three Compliance Recommendations* adopted at the 1998 Commission meeting states that each Contracting Party shall include in its national report a completed "ICCAT Reporting Table;"

EMPHASIZING that the SCRS continues to recommend that the Commission ensure that the ICCAT Secretariat be provided with reliable data in a timely manner on catch, effort, size in the format requested, and on as fine a scale as possible. These obligations are considered a minimum standard as they are clearly stated in the ICCAT Convention, FAO's Code of Conduct for Responsible Fisheries, as well as the UN Implementation Agreement;

NOTING that in 2001, the SCRS recommended that the deadline for the submission of Task I data be revised to 31 July concurrent with the deadline for Task II statistics;

AND ALSO NOTING that the 1996 SCRS recommended that all data changes be formally reported and justified.

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RESOLVES THAT:

1. All Task I and Task II data should be submitted annually to the Secretariat by 31 July the following year, as recommended by the SCRS. In case where the final statistics cannot be submitted by that date, at least preliminary statistics should be provided. Exceptions may be in years when early assessment meetings are held, in which case Task I and Task II for those particular species being addressed should be submitted two weeks prior to the start of the meeting or as specified in the meeting announcement.
2. National Reports, and therefore ICCAT Reporting Tables (for use by the Compliance Committee), should be submitted to the ICCAT Secretariat at least one month before the start of the annual or Regular or Special Commission meeting. Where the meeting of SCRS is held some time before the Commission meeting, the sections on the *National Fisheries Information* and *Research and Statistics* (Parts 1 and 2 of the National Report) should be submitted at the start of the SCRS meeting. The exact submission dates should be annually determined by the Secretariat.

¹ Note from the Secretariat: Based on a Commission decision in 2004, these reports are now called *Annual Reports*. Please see the *Revised. Guidelines for the Preparation of Annual Reports* [Ref. 12-13]. Paragraph 2 should be read in the light of the modifications required by the aforementioned Guidelines.

3. All revisions of historical scientific data should be formally reported and duly justified. In the case of Task I and II data, these reports should be made on forms provided by the Secretariat and reviewed by the SCRS. The SCRS will advise the Secretariat if revisions are then accepted for scientific use.

**RECOMMENDATION BY ICCAT ON CRITERIA FOR ATTAINING
THE STATUS OF COOPERATING NON-CONTRACTING PARTY,
ENTITY OR FISHING ENTITY IN ICCAT**

(Entered into force: **June 19, 2004**)

RECALLING the *Resolution by ICCAT on Coordination with Non-Contracting Parties* [94-6] adopted at the Commission's 9th Special Meeting in 1994 and the *Resolution by ICCAT on Becoming a Cooperating Party, Entity or Fishing Entity* [01-17] adopted at the 17th Regular Meeting in 2001;

RECOGNIZING the continuing need to encourage non-Contracting Parties, Entities, or Fishing Entities with vessels fishing for ICCAT species in the Convention area to implement ICCAT conservation measures;

RECOGNIZING the need for clear criteria to enable non-Contracting Parties, Entities or Fishing Entities whose vessels fish for ICCAT species in the ICCAT Convention area to attain the status of Cooperating non-Contracting Party, Entity or Fishing Entity;

**THE INTERNATIONAL COMMISSIONS FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

- 1 Each year, the Executive Secretary of ICCAT shall contact all non-Contracting Parties, Entities, or Fishing Entities known to be fishing in the Convention area for species under ICCAT competence to urge them to become a Contracting Party to ICCAT or to attain the status of a Cooperating non-Contracting Party, Entity or Fishing Entity. In doing so, the Executive Secretary shall provide a copy of all relevant Recommendations and Resolutions adopted by the Commission.
- 2 Any non-Contracting Party, Entity, or Fishing Entity that seeks to be accorded the status of a Cooperating non-Contracting Party, Entity or Fishing Entity shall apply to the Executive Secretary. Requests must be received by the Executive Secretary no later than ninety (90) days in advance of an ICCAT annual meeting, to be considered at that meeting.
- 3 Non-Contracting Parties, Entities or Fishing Entities requesting the status of Cooperating non-Contracting Party, Entity or Fishing Entity shall provide the following information in order to have this status considered by the Commission:
 - a) where available, data on its historical fisheries in the Convention area, including nominal catches, number/type of vessels, name of fishing vessels, fishing effort and fishing areas;
 - b) all the data that Contracting Parties have to submit to ICCAT based on the Recommendations adopted by ICCAT;
 - c) details on current fishing presence in the Convention area, number of vessels and vessel characteristics and;
 - d) information on any research programs it may have conducted in the Convention area and the information and the results of this research.
- 4 An applicant for Cooperating non-Contracting Party, Entity or Fishing Entity Status shall also:
 - a) confirm its commitment to respect the Commission's conservation and management measures and;
 - b) inform ICCAT of the measures it takes to ensure compliance by its vessels with ICCAT conservation and management measures.

- 5 The Commission's Permanent Working Group for the Improvement of ICCAT Statistics and Conservation Measures (hereinafter PWG) shall be responsible for reviewing requests for Cooperating Status and for recommending to the Commission whether or not an applicant should receive Cooperating Status. In this review, the PWG shall also consider information regarding the applicant available from other Regional Fisheries Management Organizations (RFMOs) as well as data submission of the applicant to the Commission. Caution shall be used so as not to introduce into the Convention area the excessive fishing capacity of other regions or IUU fishing activities in granting Cooperating Status to the applicant.
- 6 Cooperating non-Contracting Parties, Entities or Fishing Entity status shall be annually reviewed and renewed unless revoked by the Commission due to non-compliance with ICCAT conservation and management measures.
- 7 The *Resolution by ICCAT on Becoming a Cooperating Party, Entity or Fishing Entity* [01-17], adopted at the 2001 Commission meeting, is substituted by this Recommendation.

**RESOLUTION BY ICCAT ON IMPROVEMENTS
IN DATA COLLECTION AND QUALITY ASSURANCE**

(Transmitted to Contracting Parties: **December 19, 2003**)

RECOGNIZING that collection and submission of accurate fishery data is a fundamental obligation of Contracting Parties to the Convention;

KNOWING that these data collection and submission requirements are clearly stated in Article IX (paragraph 2) of the ICCAT Convention, Rule 13 (paragraph 2) of the Rules of Procedure, the *Resolution by ICCAT on the Collection of Statistics on the Atlantic Tuna Fisheries* [Res. 66-01], and the *Resolution by ICCAT on the Deadlines and Procedures for Data Submission* [Res. 01-16];

NOTING that in 2002, the Commission resolved to convene a Data Workshop [02-30] in response to concern that the quality of such fishery data continues to deteriorate for some fisheries and that for some fisheries relevant required data have never been available to the Commission;

CONSIDERING the recommendations held within the Report of the Data Workshop which included, among other items, provision of training and funds to build capacity of Parties not yet capable of meeting their fundamental obligations, updating the *ICCAT Field Manual for Statistics and Sampling*, and elevating or instituting scientific sampling in some fisheries with inadequate levels;

FURTHER CONSIDERING the results of ICCAT's Survey on Statistic Collection Systems indicating that many Parties with important tuna fisheries do not have the data collection programs in place that are required or recommended by ICCAT, although of the more than 90 Parties believed to be fishing for tuna or tuna-like species in the Convention Area, only 17 have so far completed questionnaires and;

ALSO DESIRING to improve capacity of various Parties to the Convention in their ability to collect, quality assure, and report the required data;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RESOLVES THAT:**

- 1 Parties should respond to the ICCAT Survey on Statistic Collection Systems at the earliest possible date;
- 2 Parties with sufficient capacity for meeting fundamental data collection, quality assurance, and reporting obligations should make voluntary contributions in proportion to their catch level, to a special fund, managed at the Secretariat. These funds will be used for training in data collection and for supporting of scientific participation in SCRS data preparatory and stock assessment sessions by scientists from Parties with insufficient capacity to meet data collection, quality assurance, and reporting obligations. For 2004, this special fund should be initially established at 40,000 Euros and activities undertaken with these funds should be reviewed by the Commission at its 2004 meeting and annually thereafter.
- 3 A plan for reinstituting ICCAT port sampling should be developed by SCRS, including expected costs associated with this sampling, and presented to the Commission at its 2004 meeting for further consideration.

**RECCOMENDATION BY ICCAT ON
COMPLIANCE WITH STATISTICAL REPORTING OBLIGATIONS**

(Entered into force: **June 13, 2006**)

WHEREAS the reporting of basic catch and effort statistics is a fundamental obligation of Contracting Parties under Article IX, Rule 2 of the Convention and for Cooperating non-Contracting Parties, Entities and Fishing Entities under the terms of the 2003 *Recommendation by ICCAT on Criteria for Attaining the Status of Cooperating Non-Contracting Party, Entity, or Fishing Entity in ICCAT* [Rec. 03-20];

NOTING that, despite the adoption of numerous measures intended to address the matter, lack of compliance with reporting obligations has been a persistent problem for the Commission over the entire history of its work;

FURTHER NOTING that SCRS has frequently identified incomplete, missing, or late data as a contributor to uncertainty in assessments for several stocks, a factor that limits its ability to formulate specific and science-based management advice;

RECOGNIZING the need to establish a clear process and procedures to identify data gaps, particularly those that limit the ability of SCRS to conduct robust stock assessments, and to find appropriate means to address those gaps;

RECALLING that the *ICCAT Criteria for the Allocation of Fishing Possibilities* (Reference Document 01-25) clearly links fishing access with the obligation to provide accurate data on fishing effort and catch;

COGNIZANT of the differing levels of development of ICCAT's membership and recalling the 2003 *Resolution by ICCAT on Improvements in Data Collection and Quality Assurance* [Res. 03-21];

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:**

- 1 The Secretariat shall prepare, as part of its annual report on statistics and research, a list of specific data elements that are lacking for each stock. Such listing shall indicate the missing data elements pertaining to catch, by-catch, effort, and/or size composition, by fleet, gear, and fishing area to the extent such fishing operations are presumed to have occurred based on secondary sources.
- 2 In view of the report of the Secretariat, SCRS shall provide:
 - a) an evaluation of the extent to which missing data have adversely affected the most recent assessment or update,
 - b) an appraisal of the effect on new stock assessments if the data remain unavailable or incomplete, and
 - c) the consequences of the data deficiencies with respect to the formulation of management advice.
- 3 Each Contracting Party and Cooperating non-Contracting Party, Entity, or Fishing Entity (CPC) shall provide an explanation regarding its reporting deficiencies including the reasons underlying the identified data gaps, capacity challenges and plans for corrective action. The Commission, through the Compliance Committee or Permanent Working Group for the Improvement of ICCAT Statistics and Conservation Measures (PWG), as appropriate, shall evaluate the information provided by the Secretariat, SCRS and CPCs under this Recommendation.
- 4 Based on the information provided under Paragraphs 1-3, the Compliance Committee or PWG shall identify problematic data deficiencies and recommend appropriate actions by the respective CPC to address the problem. In making this determination, the Compliance Committee or PWG shall take into account:

- a) any explanations and/or plans for corrective action,
- b) the responsible CPC's record of late, incomplete, and/or missing data submissions,
- c) the extent to which the responsible CPC has requested and/or received data collection assistance from the Food and Agriculture Organization, other CPCs, the Secretariat, including through the data fund established by the 2003 *Resolution by ICCAT on Improvements in Data Collection and Quality Assurance* [Res. 03-21], or others, and
- d) the effect of the data deficiency(ies) on the Commission's ability to determine the status of the stock(s) and on the effectiveness of the ICCAT conservation and management measures.

RESOLUTION BY ICCAT ON PELAGIC SARGASSUM

(Transmitted to Contracting Parties: **December 14, 2005**)

RECALLING that the Commission is responsible for the study of the populations of tuna and tuna-like fishes and that such study includes research on the abundance, biometry and ecology of the fishes, the oceanography of their environment, and the effects of natural and human factors upon their abundance;

RECOGNIZING that pelagic *Sargassum* supports a diverse assemblage of marine organisms, including over 140 species of fish, and that the fishes associated with pelagic *Sargassum* include tuna and tuna-like species at different life stages;

WHEREAS the greatest concentrations of pelagic *Sargassum* (*Sargassum natans* and *S. fluitans*) are found within the North Atlantic Central Gyre in the Sargasso Sea, providing nutrients and habitat for large pelagic fish traversing the otherwise nutrient-poor, energy-poor open ocean;

RECOGNIZING that certain stocks under ICCAT jurisdiction could be adversely impacted by a decline in the abundance of pelagic *Sargassum*, diminishing the Commission's ability to maintain the stocks at maximum sustainable levels;

RECALLING that the United Nations Agreement on Straddling Fish Stocks and Highly Migratory Fish Stocks calls for consideration of habitat and biodiversity in the marine environment, refers to the need to take ecosystem considerations into account, and that many countries, including Contracting Parties, are moving to incorporate ecosystem considerations into fisheries management;

FURTHER RECALLING that the Commission's Sub-Committee on the Environment, meeting October 6, 2005, recommended expanding its area of research to ecosystem matters;

CONFIRMING that the objective of including ecosystem considerations in fisheries management, including protection of fish habitat, is to contribute to long-term food security and to human development and to assure the effective conservation and sustainable use of the ecosystem and its resources;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RESOLVES THAT:

1. Contracting Parties, non-Contracting Parties, Entities and Fishing Entities, where appropriate, undertake to provide to the SCRS information and data on activities that impact pelagic *Sargassum* in the Convention area on the high seas, directly or indirectly, with particular emphasis in the Sargasso Sea.
2. The SCRS should examine available and accessible information and data on the status of pelagic *Sargassum* and its ecological importance to tuna and tuna-like species.

**GUIDELINES AND CRITERIA FOR GRANTING
OBSERVER STATUS AT ICCAT MEETINGS**

- 1 In exercising the responsibilities in respect to invitation to observers to ICCAT Meetings as provided for in Article XI of the Convention and in Article 2 of the FAO/ICCAT Agreement, the Executive Secretary, acting on behalf of the Commission, shall invite:
 - FAO.
 - Intergovernmental economic integration organizations constituted by States that have transferred to it competence over the matters governed by the ICCAT Convention, including the competence to enter into treaties in respect of those matters.
 - Intergovernmental organizations that have regular contacts with ICCAT as regards fisheries matters or whose work is of interest to ICCAT or vice versa.
 - Non-Contracting countries with coastlines bordering the Convention Area as defined in Article I of the Convention, or those non-contracting parties, entities or fishing entities identified as harvesting tunas or tuna-like species in the Convention Area.
- 2 All non-governmental organizations (NGOs) which support the objectives of ICCAT and with a demonstrated interest in the species under the purview of ICCAT should be eligible to participate as an observer in all meetings of the organization and its subsidiary bodies, except extraordinary meetings held in executive sessions or meetings of Heads of Delegations.
- 3 Any NGO desiring to participate as an observer in a meeting of the organization or its subsidiary bodies shall notify the Secretariat of its desire to participate at least 50 days in advance of the meeting. This application must include:
 - Name, address, telephone and fax number of the organization;
 - Address of all its national/regional offices;
 - Aims and purposes of the organization and an indication as to how they relate to the objectives of ICCAT;
 - A brief history of the organization and a description of its activities;
 - Any papers produced by or for the organization on the conservation, management or science of tunas or tuna-like species;
 - A history of ICCAT observer status granted/revoked;
 - Information or input that the organization proposes to present at the meeting in question;
- 4 The Executive Secretary shall review applications received within the prescribed time, and, at least 45 days before the meeting for which the application was received, shall notify the Contracting Parties of the names and qualifications of NGOs determined to meet the criteria for participation stipulated in paragraph 2 above. Such applications will then be considered as accepted unless one-third of Contracting Parties object in writing at least 30 days prior to the meeting, or within 60 days of receipt of applications, if such date falls earlier than 30 days prior to the meeting.
- 5 Any eligible NGO admitted to a meeting may:
 - Attend meetings, as set forth above, but may not vote;
 - Make oral statements during the meeting upon the invitation of the presiding officer;
 - Distribute documents at meetings through the secretariat; and
 - Engage in other activities, as appropriate and as approved by the presiding officer;
- 6 Observers will be required to pay a fee for their participation at the meetings of the Organization, which will contribute to the additional expenses generated by their participation, as determined annually by the Executive Secretary.

- 7 The Executive Secretary will determine whether, due to conference room capacity, seating limitations require that a limited number of observers per NGO may be present at any meetings. The Executive Secretary will transmit any such determination in the conditions of participation.
- 8 All observers admitted to a meeting shall be sent or otherwise receive the same documentation generally available to Contracting Parties and their delegations, except those documents deemed confidential by the Parties.
- 9 All observers admitted to a meeting shall comply with all rules and procedures applicable to other participants in the meeting. Failure to conform to these rules or any other rules that ICCAT may adopt for the conduct of observers will result in withdrawal of accreditation by the Chairman of the Commission.

(Adopted by the Commission at its 11th Special Meeting, Santiago de Compostela - November 16 to 23, 1998, and subsequently amended by the Commission at its 19th Regular meeting, Seville, November 14-20, 2005).

**RESOLUTION BY ICCAT REGARDING THE PRESENTATION
OF OBJECTIONS IN THE CONTEXT OF PROMOTING EFFECTIVE
CONSERVATION AND MANAGEMENT MEASURES ADOPTED BY ICCAT**

(Transmitted to Contracting Parties: **November 28, 2012**)

RECALLING that pursuant to Article VIII of the Convention, Contracting Parties may present objections to recommendations adopted by the Commission;

CONCERNED that the presentation of objections by ICCAT Contracting Parties has increased;

CONSIDERING that the presentation of an objection does not exempt a Contracting Party from the obligation to cooperate with Contracting Parties in pursuing the objectives of the ICCAT Convention;

FURTHER CONSIDERING that in conformity with the aims of the Commission and in view of the rights accorded by Article VIII of the Convention and taking account of the fundamental obligation of all Contracting Parties not to undermine the ICCAT objectives, it is essential that the terms relating to the presentation of objections be clearly defined;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION OF
ATLANTIC TUNAS (ICCAT) RESOLVES THAT:

1. Contracting Parties wishing to present objections should do so no less than 45 days before the end of the extended objection period, so not as to delay further the entry into effect of a recommendation.
2. Each Contracting Party that presents an objection pursuant to Article VIII of the Convention should provide to the Commission, at the time of presenting its objection, the reasons for its objection, based on, *inter alia*, the following grounds:
 - The recommendation is inconsistent, with UNCLOS, the UN Fish Stocks Agreement, the ICCAT Convention or another ICCAT recommendation still in effect;
 - The recommendation unjustifiably discriminates in fact or law against the objecting Contracting Party;
 - The recommendation is inconsistent with a domestic measure that pursues compatible conservation and management objectives and that is at least as effective as the recommendation.
3. Each Contracting Party that presents an objection pursuant to Article VIII of the Convention should, at the same time, to the extent applicable, specify to the Commission the alternative management and conservation measures consistent with the objectives of the Convention it proposes to adopt and implement.
4. At each Commission meeting thereafter while its objection is maintained, the Contracting Party concerned should communicate to the Commission the alternative conservation and management measures it has adopted to respect the objectives of ICCAT and their effectiveness.
5. The Executive Secretary should provide all Contracting Parties with the details of all information and clarifications that have been received in conformity to paragraphs 2 and 3.
6. Each year the Commission should consider the effectiveness of the measures identified in paragraph 3.

RESOLUTION BY ICCAT ON THE SARGASSO SEA

(Transmitted to Contracting Parties: **November 28, 2012**)

RECALLING the *Resolution by ICCAT on Pelagic Sargassum* [Res. 05-11] which called upon the Standing Committee on Research and Statistics (SCRS) to examine available and accessible information and data on the status of pelagic *Sargassum* and its ecological importance to tuna and tuna-like species;

RECOGNISING that relevant new information is available concerning *Sargassum* and the Sargasso Sea;

NOTING also that the United Nations Agreement on Straddling Fish Stocks and Highly Migratory Fish Stocks calls for the protection of biodiversity in the marine environment and refers to the need to take ecosystem considerations into account;

NOTING further that the International Commission for the Conservation of Tunas (ICCAT) has already incorporated ecosystem considerations into fisheries management;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS RESOLVES THAT:

1. The SCRS will examine the available data and information concerning the Sargasso Sea and its ecological importance to tuna and tuna-like species and ecologically associated species.
2. The SCRS will provide an update on the progress of this work in 2014 and report back to the Commission with its findings in 2015.

REVISED GUIDELINES FOR THE PREPARATION OF ANNUAL REPORTS

1. Introduction

The purpose of Annual Reports is to provide a mechanism for the submission to ICCAT of relevant information on the tuna-related activities of Contracting Parties and Cooperating non-Contracting Parties, Entities or Fishing Entities during the preceding year.

2. Submission process

Annual Reports should be submitted in two parts, Part I relating to information on fisheries, research and statistics and Part II relating to information on management implementation and other related activities. Part I should be submitted to the SCRS one week before the start of the SCRS Plenary Session (i.e., by 9:00 am on the first day of the Species Groups meetings. The complete report, comprising Part I and Part II, should be submitted on 16 October of each year.

Annual Reports must be provided to the Secretariat in Word file. The layout should follow these *Revised ICCAT Guidelines for Preparation of Annual Reports* (also available on www.iccat.int).

3. Report sections

Annual Reports should contain specific, separate sections on fisheries, research, management and inspection activities and may optionally include appendices containing additional information pertinent to these sections. Information presented in Annual Reports should be divided into the relevant sections to facilitate the extraction and copying of particular information required by the Commission and its subsidiary bodies.

The overall structure of the main report sections should be as follows:

Summary

A summary (not to exceed 20 lines, or half a page) must be included with the report. This summary should be submitted in one (or more) of the three official languages of the Commission (English, French or Spanish). The ICCAT Secretariat will translate these summaries to the other two languages.

Part I (Information on Fisheries, Research and Statistics)

Please note that national fisheries information and information on research and statistics **should be concise**. Detailed information of a more scientific nature, or for discussion by individual species working groups, should be presented to the SCRS as a scientific paper. **Fisheries statistics should be reported separately by the Statistical Correspondent in accordance with the ICCAT Request for Atlantic tuna and shark statistics.**

Section 1: Annual fisheries information

This report section should provide complementary information relating to the data submitted to ICCAT on total catches, effort, CPUE and size-frequency data and briefly describe trends in tuna fisheries during the preceding year. Attention should be given to changes in fishing patterns or new developments in fisheries, as well as socio-economic factors which influence or explain such changes and developments.

Section 2: Research and statistics

This report section should provide a description of the statistical data collection systems implemented to monitor tuna fisheries, with an indication of the degree of coverage of catch, effort and size data for fishing operations in local and distant waters. Attention should be given to problems, changes and improvements in such statistical systems and, where possible, the coverage of retained catches of target and by-catch species, and of discarded catches.

This section should also present summarized information on tuna-related research activities and results of particular interest to ICCAT, such as research related to stock delineation, stock assessment, migration and environmental factors.

A brief description and summarized results or observer programs may also be included in this section.

A list of the information submitted to Secretariat in accordance with Commission requirements and which is to be reviewed by the SCRS should also be included in Part I for submission to SCRS.

Part II (Management implementation)

Section 3: Compliance with reporting requirements under ICCAT conservation and management measures

This section should comprise the list of reporting requirements and the response as appropriate. A template will be circulated early in the year by the Secretariat and should be followed and inserted into the report. Responses should indicate:

Where information is required in a specific format by a deadline, the date on which this was sent should be entered.

Where the requirement is not applicable, this should be noted, with one sentence as to why it is not applicable.

Where information is required by a Recommendation to be included in the Annual Report, the text should be written under the heading of that requirement.

Section 4: Implementation of other ICCAT Conservation and Management Measures

Text on measures taken to implement ICCAT conservation and management measures not included in Section 3 above, and any other information of interest to the Commission. This section should not exceed four pages in length.

Section 5: Difficulties encountered in implementation of and compliance with ICCAT conservation and management measures

This section should outline any difficulties encountered in implementing ICCAT conservation and management measures and/ or explanations of why reporting requirements or deadlines could not be met, and any steps being taken to overcome these difficulties. In addition, if standard forms have not been used, a brief indication of the difficulties encountered in the use of these forms should be included.

Appendices (if any)

Appendices may be included as a supplement to the information contained in the main body of the Annual Reports to be submitted to ICCAT. The purpose of such appendices should be to provide detailed supplementary information to the main sections of the Annual Reports. As such, information contained in the appendices should be considered to have been formally transmitted to the ICCAT Secretariat, as will be the contents of the body of the Annual Reports. However, such appendices will not be included in the subsequent publication of Annual Reports, but will be made available on request.

4. Formats

General text must be in Times New Roman 10 (see margins below). Section headings are standardized; further sub-headings should be short, reflect a logical sequence, and follow the rules of multiple subdivision (*i.e.*, there can be no subdivision without at least 2 two subheadings). The entire text should be intelligible to readers and therefore acronyms and abbreviations should be written out and all lesser-known technical terms should be defined the first time they are mentioned. Dates should be written as follows: 10 November 2003. Measures should be expressed as metric units, *e.g.*, metric tons (t).

Tables should be placed after the text, followed by the figure(s); they should be in MSWord files. Tables should be cited in numerical order in the text. Tables should be numbered (Arabic) and the table heading should be included above the table; avoid using grids. Headings in tables should be short but sufficient to allow the table to be intelligible on its own. All unusual symbols should be explained in the Table legend. Other incidental comments may be footnoted.

Figures should be in MSWord files and placed after tables. Figures should be cited in numerical order in the text. Figures should be numbered (Arabic) and the figure caption should be included beneath the figure; avoid using grids. Clearly identify numerical scales, units and legends for the X- and Y-axes for each figure. If graphics are prepared in color, please be sure that the information plotted or depicted can also be easily read in black and white (e.g., use ■, ♦, ●, etc. or colors that are easily distinguishable).

Appendices should be placed after figures, and following the standardized headings.

Summary of Formatting Instructions

Software:	Please prepare in MSWord.
Paper size:	A4
Margins:	(Top, Bottom, Left, Right): 2.5 cm; headers 1.5 cm, footers 2.0 cm.
Line spacing:	Single (or 1.0); Double space between paragraphs; Triple space before new major headings. For contributors using an East Asian version of MSWord, please ensure that the printed copy is indeed single-spaced.
Page numbering:	None (for electronic copies)
Header:	ANN-xxx/year [insert year and document number as provided by the Secretariat]; page 1 header only (different first page), Arial 10, right justified. No other running headers.
Font type:	Times New Roman.
Font size:	TR 10. Footnotes should be in TNR 8.
Case:	Only the document title on the title page should be in CAPS.
Tabs:	Every 0.6 cm; no paragraph indents
Files:	Please submit 1 file with the formatted text (and tables, figures and appendices, should there be any).

**RECOMMENDATION BY ICCAT ON THE ESTABLISHMENT OF A SCIENTIFIC CAPACITY BUILDING
FUND FOR DEVELOPING STATES WHICH ARE ICCAT CONTRACTING PARTIES**

(Entered into force: **June 10, 2014**)

RECOGNISING that the ICCAT Commission has noted with concern the low number of participants from developing States at its scientific meetings.

TAKING INTO ACCOUNT the concern expressed by several developing States, which are ICCAT CPCs on their difficulties to actively contribute to the works of SCRS and to the formulation of scientific advice due to a lack of capacity and training;

NOTING that Article 25 paragraph 3 of the Agreement for the Implementation of the Provisions of the United Nations Convention of the Law of the Sea of December 1982 relating to the Conservation and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks (UNFSA) identifies, *inter alia*, forms of cooperation with developing states and the need for assistance relating to collection, reporting, verification, exchange and analysis of fisheries data and related information; and stock assessment and scientific research;

ACKNOWLEDGING the increasing role and workload of the SCRS and the need of all Contracting Parties to actively and effectively contribute to its works;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNA (ICCAT) RECOMMENDS THAT:**

1. A special Scientific Capacity Building Fund (SCBF) be established for the purposes of supporting scientists from those ICCAT Contracting Parties which are developing States in their need to acquire knowledge and develop skills on issues related to ICCAT.
2. Funds will be allocated to scientists from those developing States, which are ICCAT Contracting Parties, in order to attend ad-hoc trainings of their choice (up to 14 days) on ICCAT related matters in the scientific Institutes and, or Research Centres, of another ICCAT CPC, based on a training strategy submitted to the ICCAT Secretariat and to the SCRS.
3. The SCBF shall be financed from an initial allocation of €80,000 from ICCAT's accumulated Working Capital Fund, and subsequently by voluntary contributions from Contracting Parties and such other sources as the Commission may identify. The Commission will identify a procedure for supplying funds to the SCBF in the future.
4. The Fund will be administered by the ICCAT Secretariat, in accordance with the same financial controls as regular budget appropriations.
5. The ICCAT Executive Secretary shall establish a process for notifying Contracting Parties annually of the level of available funds in the SCBF, and provide a timeline and describe the format for the submission of applications for assistance, and the details of the assistance to be made available.
6. The ICCAT Executive Secretary shall submit an annual report to the Commission on the status of the Fund, including a financial statement of contributions to and disbursements from the Fund;
7. All potential eligible applicants are encouraged to explore the alternative avenues of funding available to developing State Contracting Parties prior to applying to the ICCAT Fund.
8. This Recommendation will be evaluated and reviewed at the latest in 2017.

**RECOMMENDATION BY ICCAT AMENDING
RECOMMENDATION 11-26 ON THE ESTABLISHMENT OF A MEETING
PARTICIPATION FUND FOR DEVELOPING ICCAT CONTRACTING PARTIES**

(Entered into force **3 June 2015**)

RECOGNISING that the ICCAT Meeting Participation Fund established by Recommendation 11-26 has contributed improving the participation of representatives from developing States at meetings of the Commission and of its subsidiary bodies;

RECALLING that concerns on the lack of participation from developing States had been echoed by the ICCAT Performance Review Panel in 2008;

NOTING that Article 25 paragraph 3 of the Agreement for the Implementation of the Provisions of the United Nations Convention of the Law of the Sea of December 1982 relating to the Conservation and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks (UNFSA) identifies, inter alia, forms of cooperation with developing States and the need for assistance relating to collection, reporting, verification, exchange and analysis of fisheries data and related information; and stock assessment and scientific research;

FURTHER NOTING that the first meeting of the Standing Working Group to Enhance Dialogue between Fisheries Scientists and Managers (SWGSM) recommended that in future meetings of the SWGSM the Commission consider providing funds for two members per delegation (one manager and one scientist) for those CPCs needing assistance;

RECOGNISING that implementing the recommendation of the SWGSM to allow for a sufficient and balanced participation of representatives from developing States at its meetings requires amending Recommendation 11-26;

**THE INTERNATIONAL COMMISSION FOR THE
CONSERVATION OF ATLANTIC TUNA (ICCAT) RECOMMENDS THAT:**

1. A special Meeting Participation Fund (MPF) be established for the purposes of supporting representatives from those ICCAT Contracting Parties which are developing States to attend and/or contribute to the work of the Commission and other subsidiary bodies.
2. The MPF shall be financed from an initial allocation of €60,000 from ICCAT's accumulated Working Capital Fund, and subsequently by voluntary contributions from Contracting Parties and such other sources as the Commission may identify.
3. The Fund will be administered by the ICCAT Secretariat, in accordance with the same financial controls as regular budget appropriations.
4. The ICCAT Executive Secretary shall establish a process for notifying Contracting Parties annually of the level of available funds in the MPF, and provide a timeline and describe the format for the submission of applications for assistance, and the details of the assistance to be made available.
5. The ICCAT Executive Secretary shall submit an annual report to the Commission on the status of the Fund, including a financial statement of contributions to and disbursements from the Fund.
6. For participation in ICCAT scientific meetings, including Species Group and other inter-sessional meetings, those eligible scientists may submit an application for assistance from the existing funds from voluntary contribution. Applicants will be selected in accordance with the protocol established by the Standing Committee on Research and Statistics (Addendum 2 to Appendix 7 to the 2011 SCRS Report).

7. For participation in non-scientific meetings, funds will be allocated in order of application. Only one participant per Contracting Party will be funded for any one meeting, with the exception of the SWGSM, for which two members per delegation (one manager and one scientist) are eligible to receive assistance. All applications shall be subject to the approval of the Chair of the Commission, the Chair of STACFAD and the Executive Secretary and, in the case of subsidiary bodies, the Chair of the meeting for which funding is being sought.
8. The funds in the MPF shall be disbursed in a manner that ensures a balanced distribution between nonscientific and scientific meetings.
9. All potential eligible applicants are encouraged to explore the alternative avenues of funding available to developing State Contracting Parties prior to applying to the ICCAT Fund.
10. This recommendation replaces and repeals Recommendation 11-26 in its entirety.

**RESOLUTION BY ICCAT CONCERNING THE APPLICATION
OF AN ECOSYSTEM APPROACH TO FISHERIES MANAGEMENT**

(Transmitted to Contracting Parties: **4 December 2015**)

NOTING that provisions of the United Nations Convention on the Law of the Sea and the 1995 UN Fish Stocks Agreement reflect certain elements of an ecosystem approach to the conservation and management of marine living resources;

RECALLING that certain aspects of the ICCAT Convention reflect components of an ecosystem approach, particularly with regard to the research activities of ICCAT;

FURTHER RECALLING that ICCAT has taken decisions, such as Rec. [10-06] and Rec. [10-09] that take ecosystem considerations into account;

ACKNOWLEDGING the ongoing work of the Sub-Committee on Ecosystems which provides valuable information and advice concerning ecosystem related issues and questions facing the Commission;

DESIRING to ensure the long-term conservation and sustainable use of ICCAT species and in so doing safeguarding the marine ecosystems in which the resources occur;

TAKING INTO ACCOUNT the discussions taking place within the Convention Amendment Working Group on the incorporation of an ecosystem approach to fisheries management in the proposed amendments to the ICCAT Convention; and

NOTING that this resolution is without prejudice to any discussions or decisions made by the Working Group in this regard;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RESOLVES THAT:**

1. When making recommendations pursuant to Article VIII of the Convention, the Commission should apply an ecosystem-based approach to fisheries management,
2. In implementing an ecosystem-based approach to fisheries management, the Commission should, *inter alia*:
 - a) consider the interdependence of stocks and species belonging to the same ecosystem or associated with or dependent upon target stocks;
 - b) consider the impacts of fishing, other relevant human activities, and environmental factors on target stocks, non-target species and species belonging to the same ecosystem or associated with or dependent upon target stocks in the Convention area; and
 - c) minimize negative impacts of fishing activities on the marine ecosystem.

**RESOLUTION BY ICCAT CONCERNING
THE USE OF A PRECAUTIONARY APPROACH IN
IMPLEMENTING ICCAT CONSERVATION AND MANAGEMENT MEASURES**

(Transmitted to Contracting Parties: 4 December 2015)

NOTING that the 1995 UN Fish Stocks Agreement has set out elements of a precautionary approach to the conservation and management of straddling and highly migratory fish stocks in order to protect the living marine resources and preserve the marine environment;

FURTHER NOTING the general principles and Article 6.5 of the 1995 FAO International Code of Conduct for Responsible Fisheries, which urges States and subregional and regional fisheries management organizations to apply a precautionary approach to conservation, management and exploitation of living aquatic resources in order to protect them and preserve the aquatic environment;

RECALLING that the ICCAT Convention does not prevent the Commission from applying a precautionary approach when making management and conservation decisions;

FURTHER RECALLING that ICCAT has taken decisions, such as ICCAT Resolutions 09-12, 11-14, and 11-17 as well as Recommendations 11-09, 11-13, 11-15 and 12-05 that apply elements of a precautionary approach;

TAKING INTO ACCOUNT the discussions taking place within the Convention Amendment Working Group on the incorporation of a precautionary approach in the proposed amendments to the ICCAT Convention; and

NOTING that this Resolution is without prejudice to any discussions or decisions made by the Working Group in this regard;

**THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RESOLVES THAT:**

1. When making recommendations pursuant to Article VIII of the Convention, the Commission should apply a precautionary approach, in accordance with relevant international standards.
2. In applying a precautionary approach, the Commission should *inter alia*:
 - a) use the best available scientific advice;
 - b) exercise caution when scientific information is uncertain, unreliable or inadequate;
 - c) determine, on the basis of the best scientific information available, stock specific reference points, in particular limit reference points, and the action to be taken if exceeded; and
 - d) not use the absence of adequate scientific information as a reason to postpone or not to take conservation and management action in relation to the species under its mandate.
3. In applying a precautionary approach, the Commission should take measures to ensure that when limit reference points are approached, they will not be exceeded. In the event that they are exceeded, the Commission should without delay take action to restore the stocks to levels above the identified reference points.

**RESOLUTION BY ICCAT ON CRITERIA
FOR THE ALLOCATION OF FISHING POSSIBILITIES**

(Transmitted to Contracting Parties: **4 December 2015**)

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION
OF ATLANTIC TUNAS (ICCAT) RESOLVES THAT:

I. Qualifying Criteria

Participants will qualify to receive possible quota allocations within the framework of ICCAT in accordance with the following criteria:

1. Be a Contracting or Cooperating Non-Contracting Party, Entity or Fishing Entity.
2. Have the ability to apply the conservation and management measures of ICCAT, to collect and to provide accurate data for the relevant resources and, taking into account their respective capacities, to conduct scientific research on those resources.

II. Stocks to Which the Criteria Would be Applied

3. These criteria should apply to all stocks when allocated by ICCAT.

III. Allocation Criteria

A. *Criteria Relating to Past/Present Fishing Activity of Qualifying Participants*

4. Historical catches of qualifying participants.
5. The interests, fishing patterns and fishing practices of qualifying participants.

B. *Criteria Relating the Status of the Stock(s) to the Allocated and the Fisheries*

6. Status of the stock(s) to be allocated in relation to maximum sustainable yield, or in the absence of maximum sustainable yield an agreed biological reference point, and the existing level of fishing effort in the fishery taking into account the contributions to conservation made by qualifying participants necessary to conserve, manage, restore or rebuild fish stocks in accordance with the objective of the Convention.
7. The distribution and biological characteristics of the stock(s), including the occurrence of the stock(s) in areas under national jurisdiction and on the high seas.

C. *Criteria Relating to the Status of the Qualifying Participants*

8. The interests of artisanal, subsistence and small-scale coastal fishers.
9. The needs of the coastal fishing communities which are dependent mainly on fishing for the stocks.
10. The needs of the coastal States of the region whose economies are overwhelmingly dependent on the exploitation of living marine resources, including those regulated by ICCAT.

11. The socio-economic contribution of the fisheries for stocks regulated by ICCAT to the developing States, especially small island developing States and developing territories¹ from the region.
12. The respective dependence on the stock(s) of the coastal States, and of the other States that fish species regulated by ICCAT.
13. The economic and/or social importance of the fishery for qualifying participants whose fishing vessels have habitually participated in the fishery in the Convention area.
14. The contribution of the fisheries for the stocks regulated by ICCAT to the national food security/needs, domestic consumption, income resulting from exports, and employment of qualifying participants.
15. The right of qualified participants to engage in fishing on the high seas for the stocks to be allocated.

D. Criteria Relating to Compliance/Data Submission/Scientific Research by Qualifying Participants

16. The record of compliance or cooperation by qualifying participants with ICCAT's conservation and management measures, including for large-scale tuna fishing vessels, except for those cases where the compliance sanctions established by relevant ICCAT recommendations have already been applied.
17. The exercise of responsibilities concerning the vessels under the jurisdiction of qualifying participants.
18. The contribution of qualifying participants to conservation and management of the stocks, to the collection and provision of accurate data required by ICCAT and, taking into account their respective capacities, to the conduct of scientific research on the stocks.

IV. Conditions for Applying Allocation Criteria

19. The allocation criteria should be applied in a fair, equitable and transparent manner with the goal of ensuring opportunities for all qualifying participants.
20. The allocation criteria should be applied by the relevant Panels on a stock-by-stock basis.
21. The allocation criteria should be applied to all stocks in a gradual manner, over a period of time to be determined by the relevant Panels, in order to address the economic needs of all parties concerned, including the need to minimize economic dislocation.
22. The application of the allocation criteria should take into account the contributions to conservation made by qualifying participants necessary to conserve, manage, restore or rebuild fish stocks in accordance with the objective of the Convention.
23. The allocation criteria should be applied consistent with international instruments and in a manner that encourages efforts to prevent and eliminate over-fishing and excess fishing capacity and ensures that levels of fishing effort are commensurate with the ICCAT objective of achieving and maintaining MSY.
24. The allocation criteria should be applied so as not to legitimize illegal, unregulated and unreported catches and shall promote the prevention, deterrence and elimination of illegal, unregulated and unreported fishing, particularly fishing by flag of convenience vessels.

¹ For the purposes of this document, the term "territories" refers only to the territories of those States that are Contracting Parties to the Convention in respect of those territories alone.

25. The allocation criteria should be applied in a manner that encourages cooperating Non-Contracting Parties, Entities and Fishing Entities to become Contracting Parties, where they are eligible to do so.
26. The allocation criteria should be applied to encourage cooperation between the developing States of the region and other fishing States for the sustainable use of the stocks managed by ICCAT and in accordance with the relevant international instruments.
27. No qualifying participant shall trade or sell its quota allocation or a part thereof.

**RESOLUTION BY ICCAT ON ECOSYSTEMS THAT
ARE IMPORTANT AND UNIQUE FOR ICCAT SPECIES**

(Transmitted to Contracting Parties: **12 December 2016**)

RECALLING the *Resolution by ICCAT on Pelagic Sargassum* [Res. 05-11] which called upon the Standing Committee on Research and Statistics (SCRS) to examine the available and accessible information and data on the status of pelagic *Sargassum* and its ecological importance to tuna and tuna-like species;

ALSO RECALLING the *Resolution by ICCAT on the Sargasso Sea* [Res. 12-12] which called upon the Standing Committee on Research and Statistics (SCRS) to examine the available data and information concerning the Sargasso Sea and its ecological importance to tuna and tuna-like species and ecologically associated species;

RECOGNISING that a report on the findings of this work was presented to the Commission in 2015;

ALSO RECOGNIZING that, in its 2015 report, the SCRS noted that the Sargasso Sea is an important and unique ecosystem for some ICCAT species, and at the same time it was acknowledged that there are other ecosystems in the Atlantic Ocean that are also important and unique for ICCAT species;

FURTHER RECOGNIZING that in 2013 the SCRS noted that the basic biological and ecological data provided for the Sargasso Sea offers a useful foundation for adopting this region as a basis for a case study in implementing the Ecosystem Based Fisheries Management (EBFM) approach within ICCAT;

NOTING that the United Nations Agreement on Straddling Fish Stocks and Highly Migratory Fish Stocks calls for the protection of biodiversity in the marine environment and refers to the need to take ecosystem considerations into account;

RECALLING the *Resolution by ICCAT Concerning the Application of an Ecosystem Approach to Fisheries Management* [Res. 15-11] which called upon the Commission to apply an ecosystem-based approach to fisheries management when making recommendations pursuant to Article VIII of the Convention;

**THE INTERNATIONAL COMMISSION FOR THE
CONSERVATION OF ATLANTIC TUNAS RESOLVES THAT:**

1. As part of advancing the work of Ecosystem Based Fisheries Management, the SCRS will examine the available information on the trophic ecology of pelagic ecosystems that are important and unique for ICCAT species in the Convention area.
2. The SCRS will provide an update on the progress of this work in 2018 and report back to the Commission with available findings in 2019, if possible.

**RECOMMENDATION BY ICCAT ON FISHES CONSIDERED TO BE
TUNA AND TUNA-LIKE SPECIES OR OCEANIC, PELAGIC,
AND HIGHLY MIGRATORY ELASMOBRANCHS**

(Entered into force 20 June 2020)

RECALLING the work of the Working Group on Convention Amendment to clarify the scope of the Convention through the development of proposed amendments to the Convention;

FURTHER RECALLING that the proposed amendments developed by the Working Group on Convention Amendment included defining “ICCAT species” to include tuna and tuna-like fishes and elasmobranchs that are oceanic, pelagic, and highly migratory;

NOTING the work of the Standing Committee on Research and Statistics (SCRS) to determine which modern taxonomic groupings correspond to the definition of “tuna and tuna-like fishes” in Article IV of the Convention, and which elasmobranch species would be considered “oceanic, pelagic, and highly migratory”;

THE INTERNATIONAL COMMISSION FOR THE CONSERVATION OF
ATLANTIC TUNAS (ICCAT) RECOMMENDS THAT:

1. Upon the entry into force of the amendments to the Convention as developed by the Working Group on Convention Amendment, the term “tuna and tuna-like fishes” shall be understood to include the species of the family Scombridae, with the exception of the genus *Scomber*, and the sub-order Xiphoidei.
2. Upon the entry into force of the amendments to the Convention as developed by the Working Group on Convention Amendment, the term “elasmobranchs that are oceanic, pelagic, and highly migratory” shall be understood to include the species as follows:

Orectolobiformes

Rhincodontidae

Rhincodon typus (Smith 1828) – Whale shark, Requin baleine, Tiburón ballena

Lamniformes

Pseudocarchariidae

Pseudocarcharias kamoharai (Matsubara 1936) – Crocodile shark, Requin crocodile, Tiburón cocodrilo

Lamnidae

Carcharodon carcharias (Linnaeus 1758) – Great white shark, Grand requin blanc, Jaquetón blanco

Isurus oxyrinchus (Rafinesque 1810) – Shortfin mako, Taupe bleue, Marrajo dientuso

Isurus paucus (Guitart Manday 1966) – Longfin mako, Petite taupe, Marrajo carite

Lamna nasus (Bonnaterre 1788) – Porbeagle, Requin-taupe commun, Marrajo sardinero

Cetorhinidae

Cetorhinus maximus (Gunnerus 1765) – Basking shark, Pélerin, Peregrino

Alopiidae

Alopias superciliosus (Lowe 1841) – Bigeye thresher, Renard à gros yeux, Zorro ojón

Alopias vulpinus (Bonnaterre 1788) – Thresher, Renard, Zorro

Carcharhiniformes

Carcharhinidae

Carcharhinus falciformis (Müller & Henle 1839) – Silky shark, Requin soyeux, Tiburón jaquetón

Carcharhinus galapagensis (Snodgrass & Heller 1905) – Galapagos shark, Requin des Galapagos, Tiburón de Galápagos

Carcharhinus longimanus (Poey 1861) – Oceanic whitetip shark, Requin océanique, Tiburón oceánico

Prionace glauca (Linnaeus 1758) – Blue shark, Peau bleue, Tiburón azul

Sphyrnidae

Sphyrna lewini (Griffith & Smith 1834) – Scalloped hammerhead, Requin marteau halicorne, Cornuda común

Sphyrna mokarran (Rüppell 1837) – Great hammerhead, Grand requin marteau, Cornuda gigante

Sphyrna zygaena (Linnaeus 1758) – Smooth hammerhead, Requin marteau commun, Cornuda cruz

Myliobatiformes

Dasyatidae

Pteroplatytrygon violacea (Bonaparte 1832) – Pelagic stingray, Pastenague violette, Raya-látigo violeta

Mobulidae

Manta alfredi (Krefft 1868) – NA*, NA, NA

Manta birostris (Walbaum 1792) – Giant manta, Mante géante, Manta gigante

Mobula hypostoma (Bancroft 1839) – Lesser devil ray, Mante diable, Manta del Golfo

Mobula japonica (Müller & Henle 1841) – NA, NA, NA

Mobula mobular (Bonnaterre 1788) – Devil fish, Diable de mer méditerranéen, Manta mobula

Mobula tarapacana (Philippi 1892) – Chilean devil ray, NA, NA

Mobula thurstoni (Lloyd 1908) – Smoothtail mobula, Mante vampire, Diablo chupasangre

* NA – Common name not available

3. The species set forth in paragraphs 1 and 2 above will be reviewed periodically and may be amended, as appropriate, upon the receipt of advice from the SCRS.

**RESOLUTION BY ICCAT REGARDING PARTICIPATION BY
FISHING ENTITIES UNDER THE AMENDED ICCAT CONVENTION**

(Transmitted to Contracting Parties **20 December 2019**)

RECALLING that, at its 18th Special Meeting in 2012, ICCAT adopted the *Recommendation by ICCAT to Establish a Working Group to Develop Amendments to the ICCAT Convention* (Rec. 12-10);

NOTING that one of the areas for which the Working Group was directed by the Commission to formulate proposed amendments (Annex 1 of the 2012 Recommendation) was “Non-party participation;”

RECALLING that the reference to “Non-party participation” reflected, *inter alia*, the will of the Commission to provide for an enhanced level of participation by “Fishing Entities” in the Commission for the purpose of strengthening the effective conservation and management of ICCAT species;

RECOGNIZING that the Working Group has, in accordance with its mandate, developed a series of “proposed amendments to the Convention with respect to the items identified in Annex 1” (of the 2012 Recommendation);

FURTHER RECOGNIZING that this series of proposed amendments includes Annex 2 concerning Fishing Entities;

RECALLING that this Annex provides that, “Any Non-Contracting Party, Entity, or Fishing Entity that obtains Cooperating Status after 10 July 2013 shall not be considered a Fishing Entity for purposes of this Annex and, thus, shall not enjoy the same rights and obligations as Members of the Commission as set forth in Articles III, V, VII, IX, XI, XII, and XIII of the Convention;”

NOTING that this resolution is adopted concurrent with the amended Convention;

The Commission hereby establishes and reaffirms that:

1. Chinese Taipei is the only Fishing Entity that has received Cooperating Status within ICCAT prior to 10 July 2013; and therefore,
2. Chinese Taipei is the only Fishing Entity that has met the qualifications specified in Annex 2 to the Convention; and therefore,
3. Upon entry into force of the amended Convention, including Annex 2, no Fishing Entity other than Chinese Taipei is to be eligible to participate in the work of the Commission pursuant to the provisions of that Annex.