



TWELFTH REGULAR SESSION
Bali, Indonesia
3 - 8 December 2015

PROPOSAL FOR ENHANCED PORT BASED MCS MEASURES

WCPFC12-2015-DP10
31 October 2015

Proposal by FFA Members



FFA

31 October 2015

Feleti P. Teo OBE
Executive Director
Western and Central Pacific Fisheries Commission
PO Box 2356, Kolonia
Federated States of Micronesia

Dear Feleti,

Enhanced Port Based MCS Measures

I write on behalf of the 17 members of the Forum Fisheries Agency in my capacity as the Chair of the Forum Fisheries Committee.

I am pleased to submit for the Commission's consideration a revised proposal from FFA members for enhanced port based MCS initiatives. You will note that the proposal is similar in nature to a proposal that we submitted in 2014. Modifications have been made to the proposal to respond to some concerns raised by other CCMs last year, and based on informal consultations at TCC11.

FFA members have noted with interest the recent adoption of a "Resolution for a CCSBT scheme for minimum standards for inspection in port". We have conducted a comparative assessment of our proposal against the CCSBT Resolution and are pleased to advise that in our view, the two schemes are compatible and highly consistent. We would be happy to work with CCSBT members to include any issues from the CCSBT Resolution in a WCPFC measure.

Please could distribute this letter to all CCMs and we welcome comments or queries about the proposal, which should be directed to the FFA Secretariat (peter.graham@ffa.int and pamela.maru@ffa.int).

Yours Sincerely,

Samasoni Finikaso
Chair
Forum Fisheries Committee

In accordance with CMM2013-06 *Conservation and Management Measure on the criteria for the consideration of Conservation and Management proposals* the following assessment has been undertaken.

a. Who is required to implement the proposal?

The proposal makes specific reference to port State CCMs, flag State CCMs, and the Secretariat, however CCMs in general can implement components of the proposed measure particularly in relation to CCMs making requests for port inspections and addressing the Special Requirements of Small Island Developing States and Participating Territories.

The busiest ports in the fishery area are located in SIDS, meaning that a large proportion of inspections and subsequent reporting will need to be undertaken by SIDS

b. Which CCMs would this proposal impact and in what way(s) and what proportion?

The proposal provides flexibility for implementation in that CCMs choose which, if any *designated ports* they will notify to WCPFC, and will subsequently come under the provisions of the CMM. CCMs that are able to immediately implement the measure can do so, whilst others are able to assess and determine whether the application of the measure is appropriate. The largest impact would be to port States within the WCPF-CA who decide to implement this measure and designate ports for fisheries inspections, however the impact would depend upon the level of use of the port, and the number of requests received to undertake inspections.

Again, though it cannot be overstated that busiest ports in the fishery area are located in SIDS, meaning that a large proportion of inspections and subsequent reporting will need to be undertaken by SIDS if full coverage is to be achieved.

c. Are there linkages with other proposals or instruments in other regional fisheries management organizations or international organizations that reduce the burden of implementation?

FAO has commenced development of a SIDS assistance fund under the PSMA. As yet though, no assistance is available and FFA members are concerned that such assistance would only be available *after* they ratify and become bound by the PSMA, whereas assistance is actually needed beforehand, such as to develop systems and procedures and to recruit and train inspectors.

The proposal takes in to account port State MCS initiatives adopted through international legal instruments, as well as the sovereignty of CCMs and national laws, and is therefore sufficiently flexible to recognise the various port State MCS initiatives implemented by different CCMs. Furthermore, the proposal requires the publication of port State MCS initiatives implemented by CCMs, which promotes transparency and an understanding of what different CCMs are implementing. This measure proposes to complement existing arrangements by encouraging greater cooperation and sharing of MCS information and resources amongst CCMs.

d. Does the proposal affect development opportunities for SIDS?

The overall aim of the measure is to strengthen overall port controls and thereby reduce IUU fishing. From that perspective the proposal actively supports development opportunities for SIDS by reducing the impact of IUU fishing on the stocks.

In terms of development aspirations, paragraph 26 encourages the promotion and use of SIDS ports; with the assumption that the use of designated ports would stimulate socio-economic benefits, noting also though that the potential increase in inspection MCS initiatives may also deter vessels from frequenting these ports.

Overall, impacts on *development opportunities* are expected to be positive, but will be better assessed at each review period and the identification of potential issues affecting development opportunities.

e. Does the proposal affect SIDS domestic access to resources and development aspirations?

As per the response above, detection and deterrence of IUU fishing in the region supports those SIDS that have aspirations to develop their own fleets by protecting the resource.

The implementation of port State MCS initiatives is not necessarily a high priority for most SIDS in the context of other competing national priorities and resourcing requirements, however the proposal should not affect domestic access to resources.

f. What resources, including financial and human capacity, are needed by SIDS to implement the proposal?

Specific areas of assistance to implement this measure are listed in paragraphs 20 through 25 of the proposal. However, it is envisaged that additional human and financial resources will be needed in particular, to undertake and report on port inspections.

The difficulty for SIDS is that this assistance is required before SIDS can agree to become bound by some of the provisions in the measure – otherwise they are agreeing to requirements that they do not have the capacity to deliver against.

g. What mitigation measures are included in the proposal?

The option for each CCM to decide which, if any, of its ports to designate under paragraph 3 is the largest mitigation of disproportionate burden in the proposal.

This is well supported through the exploration of assistance mechanisms in paragraphs 20 to 25.

In summary, paragraphs 3 and 25 work together as an “opt-in/opt-out” mechanism, and it will be incumbent on developed CCMs and the Commission at large to facilitate the assistance in paragraphs 20 to 25 in order to incentivise SIDS participation.

- h. What assistance mechanisms and associated timeframe, including training and financial support, are included in the proposal to avoid a disproportionate burden on SIDS?*

Although the proposal makes specific references to the areas where assistance would be required, the actual operationalisation is a task the Commission must address.

Until this is addressed through Commission processes, and noting that the majority of ports in the WCPF-CA are based in the jurisdiction of SIDS, paragraphs 3 and 25 remain imperative to avoid a disproportionate burden on SIDS.

**CONSERVATION AND MANAGEMENT MEASURE ON
PORT BASED INITIATIVES TO PREVENT, DETER AND ELIMINATE ILLEGAL,
UNREPORTED AND UNREGULATED FISHING**

Conservation and Management Measure 2015-XX

The Western and Central Pacific Fisheries Commission (WCPFC):

Deeply concerned about the continuation of illegal, unreported and unregulated (IUU) fishing¹ in the WCPFC Area and its detrimental effect upon fish stocks, marine ecosystems and the livelihoods of legitimate fishers in particular in Small Island Developing States and Participating Territories, and the increasing need for food security in the region;

Recalling that Article 27 of the WCPF Convention affirms that a port State has the right and the duty to take measures to promote the effectiveness of subregional, regional and global conservation and management measures;

Conscious of the role of the port State in the adoption of effective MCS initiatives to promote the sustainable use and the long-term conservation of living marine resources;

Recognizing that port State MCS initiatives potentially provide a powerful and cost-effective means of preventing, deterring and eliminating illegal, unreported and unregulated fishing;

Aware of the need for increasing coordination at the regional and interregional levels to combat illegal, unreported and unregulated fishing through, inter alia, port State MCS initiatives ;

Recognizing the special requirements of developing countries, in particular Small Island Developing States and Participating Territories provided for in Article 30 of the WCPFC Convention, including the importance of port operations in the domestic economies of many Small Island Developing States and Participating Territories, the need to ensure that port State MCS initiatives do not result in transferring a disproportionate burden of conservation action onto developing CCMs, and the need for assistance to developing countries, in particular Small Island Developing States and Participating Territories to adopt and implement port State MCS initiatives ;

Bearing in mind that, CCMs exercise sovereignty over ports in their territory in accordance with international law;

Recognizing the importance in the Western and Central Pacific Ocean (WCPO) of measures applied by sub-regional fisheries management arrangements and organisations;

Recalling the relevant provisions of the United Nations Convention on the Law of the Sea of 10 December 1982, hereinafter referred to as the 1982 Convention;

Further recalling 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

¹ The definition of IUU fishing is as described in the International Plan of Action to prevent, deter and eliminate illegal, unreported and unregulated fishing (IPOA-IUU).

and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks of 4 December 1995, the Agreement to Promote Compliance with International Conservation and Management Measures by Fishing Vessels on the High Seas of 24 November 1993 and the 1995 FAO Code of Conduct for Responsible Fisheries;

Noting the Plan of Action adopted in Kobe in January 2007 by the Joint Tuna RFMOs Meeting and the overall Kobe process;

Adopts the following conservation and management measure in accordance with Article 10 of the WCPFC Convention:

1. Nothing in this CMM shall prejudice the rights, jurisdiction and duties of CCMs under international law. In particular, nothing in this CMM shall be construed to affect:

- a) the sovereignty of CCMs over the internal, archipelagic and territorial waters or their sovereign rights over their continental shelf and in the exclusive economic zones;
- b) the exercise by port CCMs of their sovereignty over ports in their territory in accordance with international law, including their right to deny entry thereto.

2. Nothing in this measure affects the entry of vessels to port in accordance with international law for reasons of force majeure or distress, or prevents a port State from permitting entry into port to a vessel exclusively for the purpose of rendering assistance to persons, ships or aircraft in danger or distress.

3. Each port State CCM shall provide a list of its *designated ports* ('*designated ports*' for the purposes of this measure) to the WCPFC Executive Director within 6 months from the date of entry into force of this CMM. Any subsequent designation of ports or changes to this list shall be notified to the WCPFC Executive Director at least 30 days before the change takes effect.

4. Port State CCMs shall ensure that fisheries inspections are undertaken by Government authorised inspectors. Each inspector shall carry a document of identity issued by the port State CCM.

5. Where a port State CCM implements port State MCS initiatives provided for in the WCPFC Convention, this CMM or other international agreements or arrangements, each flag State CCM shall require its flagged vessels to cooperate with the port State CCM in the implementation of those port State MCS initiatives .

Vessel inspection procedures

6. When a CCM has grounds to believe that a vessel has engaged in IUU fishing or fishing related activities in support of IUU fishing, and is seeking entry in to, or is in the *designated port* of another CCM, it shall, as appropriate, request that CCM to inspect the vessel or to take other measures consistent with that CCM's port State MCS initiatives.

7. CCMs shall ensure that requests for inspections, as per paragraph 6, include information on the nature and grounds for suspicion of IUU fishing or fishing related activities. Port States shall acknowledge the receipt of the request for an inspection, and advise whether an inspection can be undertaken based on an assessment of the information provided, availability of resources, and their capacity to do so at the time of the request.

8. If an inspection, as per paragraph 6, is undertaken by the port State CCM, a report on the outcome (inspection report) shall be provided to the member making the request, to the flag State as appropriate and to the Commission as soon as practicable, and in any case within 15 days of such request. Where a port State CCM cannot provide a report within 15 days, that port State CCM shall notify the requesting CCM/flag State and Commission of the expected date that the inspection report will be provided.

9. On completion of an inspection, the port inspector shall provide to the vessel master prior to leaving the vessel, a copy of an interim report on the vessel inspection.

10. Where, following a port State CCM inspection, a flag State CCM receives an inspection report, as referred to in paragraph 8, indicating that there are clear grounds to believe that its flagged vessel has engaged in IUU fishing or fishing related activities in support of such fishing, it shall immediately and fully investigate the matter in accordance with *Article 25 of the Convention*.

11. In the event a port State cannot carry out an inspection, referred to in paragraph 6, the requesting CCM may then seek assistance from the Secretariat to advise, using available surveillance information², the requesting CCM of which designated port the vessel may next enter. The requesting CCM may then request that port State to undertake an inspection on the vessel, with subsequent actions to take place in accordance with paragraphs 6 to 10.

12. In the establishment of port State MCS initiatives CCMs may consider implementing the use of the port State inspection procedures, port inspection reports and port inspector training provided in Annex A, B and C of this measure as guidelines. CCMs may also consider implementing FFA standard inspection procedures and reporting frameworks or other such compatible procedures and frameworks.

General

13. In order to promote the effective implementation of this CMM and pursuant to the Commission's confidentiality and data protection requirements, and in accordance with national laws, CCMs shall cooperate and exchange information with relevant CCMs, the WCPFC Secretariat, other regional organisations and relevant international organisations to further the objectives of this CMM.

14. Port State CCMs shall carry out inspections on at least the following vessels:

- a) on any foreign longline, purse seine and carrier vessel that enters their *designated port* and is not listed on the WCPFC Record of Fishing Vessels, other than in cases where the vessel is authorised with another RFMO that the port State CCM is a Party to, as practicable; and
- b) vessels that appear on the IUU list of an RFMO.

A report on the outcome of the inspection undertaken by the port State CCM shall be provided to the flag State and to the Commission as soon as practicable, and in any case within fifteen days of the date of inspection. Where a port State CCM cannot provide a report within 15 days, that port State CCM shall notify the requesting CCM/flag State and Commission of the expected date that the inspection report will be provided.

² Surveillance information can include VMS information and other sources that may provide vessel location information, including information that may be obtained through consultation with other regional organisations.

15. To facilitate, coordinate and support compliance and/or enforcement action where port inspections have not been carried out, CCMs may request that port States within the Convention Area deny all access and entry to their ports, to vessels suspected of IUU fishing activity and where port inspections have not been carried out in accordance with this measure. The denial of port entry, shall be reported to the Executive Director, and shall only be used where all other options provided in this CMM, to inspect the vessel, have been exhausted.

16. A port State CCM shall give particular consideration to inspecting vessels suspected of undertaking IUU fishing activities, including if identified by non-CCMs or other regional fisheries management organisations, particularly where evidence of IUU fishing or fishing related activities in support of IUU fishing, is provided by the Executive Director to that CCM.

17. Each port State CCM shall notify the Commission of a contact point for the purposes of this measure. Port State CCMs shall transmit this information to the Executive Director within 6 months from the date of entry in to force of this CMM. Any subsequent changes shall be notified to the Executive Director at least 15 days before such change takes effect. The Executive Director shall establish and maintain a register of port State contacts and shall be published on the WCPFC website.

18. Nothing in this measure shall remove the rights, obligations and actions taken by port State CCMs in accordance with Article 27 of the Convention, and international law for port State control of foreign fishing vessels in order to prevent, deter and eliminate IUU fishing.

19. CCMs that establish any such port State MCS initiatives shall publicise relevant provisions in an appropriate manner, before entering in to force, and shall advise the Commission to facilitate wider distribution through posting on the WCPFC website.

Special Requirements of Small Island Developing States and Participating Territories

20. CCMs shall give full recognition to the Special Requirements of CCMs Small Island Developing States and Participating Territories in relation to the implementation of this CMM. To this end, WCPFC shall provide assistance to CCMs SIDS in order to, inter alia:

- a. enhance their ability to develop a legal basis and capacity for the implementation of effective port State MCS initiatives ;
- b. facilitate their participation in any international organizations that promote the effective development and implementation of port State MCS initiatives ; and
- c. facilitate technical assistance to strengthen the development and implementation of port State MCS initiatives by them, in coordination with relevant international mechanisms.

21. CCMs shall cooperate to establish appropriate mechanisms to assist CCMs Small Island Developing States and Participating Territories in the implementation of this CMM, including appropriate funding mechanisms.

22. These mechanisms shall, inter alia, be directed specifically towards:
- developing national and international port State MCS initiatives ;
 - developing and enhancing capacity, including for monitoring, control and surveillance and for training at the national and regional levels of port managers, inspectors, and enforcement and legal personnel;
 - monitoring, control, surveillance and compliance activities relevant to port State MCS initiatives , including access to technology and equipment; and
 - assisting CCMs Small Island Developing States and Participating Territories with the costs involved in any proceedings for the settlement of disputes that result from actions they have taken pursuant to this CMM.
23. No later than WCPFC13, the Commission shall agree on a mechanism, including through cost recovery, to provide funding support to SIDS CCMs that undertake inspections of foreign fishing vessels in accordance with this measure.
24. CCMs shall encourage the use of ports in the territory of Small Island Developing States and Participating Territories in order to increase the participation of Small Island Developing States and Participating Territories in fisheries for WCPO tuna stocks.
25. In implementing any obligation of this CMM, where the transfer of a disproportionate burden has been demonstrated by a SIDS or territory, that SIDS or territory shall identify mechanisms required to mitigate the burden of implementation, which may include key capacity or resource assistance and those mechanisms set out in CMM 2013-06, paragraph 4. CCMs shall cooperate with that SIDS or territory to adopt or obtain those mechanisms in order to assist that SIDS or territory to implement that obligation.

Periodic review

26. The Commission shall review this measure within three years of its entry in to force, which shall include but not be limited to an evaluation of its effectiveness, and any financial and administrative burdens associated with its implementation.

ANNEX A

Guidelines for Port State Inspection Procedures

Inspectors shall:

- a) verify, to the extent possible, that the vessel identification documentation onboard and information relating to the owner of the vessel is true, complete and correct, including through appropriate contacts with the flag State or international records of vessels if necessary;
- b) verify that the vessel's flag and markings (e.g. name, external registration number, International Maritime Organization (IMO) ship identification number, international radio call sign and other markings, main dimensions) are consistent with information contained in the documentation;
- c) verify, to the extent possible, that the authorizations for fishing and fishing related activities are true, complete, correct and consistent with the information provided in accordance with Annex A;
- d) review all other relevant documentation and records held onboard, including, to the extent possible, those in electronic format and vessel monitoring system (VMS) data from the flag State or relevant regional fisheries management organizations (RFMOs). Relevant documentation may include logbooks, catch, transshipment and trade documents, crew lists, stowage plans and drawings, descriptions of fish holds, and documents required pursuant to the Convention on International Trade in Endangered Species of Wild Fauna and Flora;
- e) examine, to the extent possible, all relevant fishing gear onboard, including any gear stowed out of sight as well as related devices, and to the extent possible, verify that they are in conformity with the conditions of the authorizations. The fishing gear shall, to the extent possible, also be checked to ensure that features such as the mesh and twine size, devices and attachments, dimensions and configuration of nets, pots, dredges, hook sizes and numbers are in conformity with applicable regulations and that the markings correspond to those authorized for the vessel;
- f) determine, to the extent possible, whether the fish on board was harvested in accordance with the applicable authorizations;
- g) examine the fish, including by sampling, to determine its quantity and composition. In doing so, inspectors may open containers where the fish has been pre-packed and move the catch or containers to ascertain the integrity of fish holds. Such examination may include inspections of product type and determination of nominal weight;
- h) evaluate whether there is clear evidence for believing that a vessel has engaged in IUU fishing or fishing related activities in support of such fishing;
- i) provide the master of the vessel with the report containing the result of the inspection, including possible measures that could be taken, 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, as appropriate, to contact the relevant authorities 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; and
- j) arrange, where necessary and possible, for translation of relevant documentation.

ANNEX B

Guidelines for Port Inspection Reports

1. Inspection report no		2. Port State		
3. Inspecting authority				
4. Name of principal inspector		ID		
5. Port of inspection				
6. Commencement of inspection	<i>YYYY</i>	<i>MM</i>	<i>DD</i>	<i>HH</i>
7. Completion of inspection	<i>YYYY</i>	<i>MM</i>	<i>DD</i>	<i>HH</i>
8. Advanced notification received	<i>Yes</i>		<i>No</i>	
9. Purpose(s)	<i>LAN</i>	<i>TRX</i>	<i>PRO</i>	<i>OTH (specify)</i>
10. Port and State and date of last port call			<i>YYYY</i>	<i>MM</i>
11. Vessel name				
12. Flag State				
13. Type of vessel				
14. International Radio Call Sign				
15. Certificate of registry ID				
16. IMO ship ID, if available				
17. External ID , if available				
18. Port of registry				
19. Vessel owner(s)				
20. Vessel beneficial owner(s), if known and different from vessel owner				
21. Vessel operator(s), if different from vessel owner				
22. Vessel master name and nationality				
23. Fishing master name and nationality				
24. Vessel agent				
25. VMS	<i>No</i>	<i>Yes: National</i>	<i>Yes: RFMOs</i>	<i>Type:</i>

26. Status in RFMO areas where fishing or fishing related activities have been undertaken, including any IUU vessel listing						
<i>Vessel identifier</i>	<i>RFMO</i>	<i>Flag State status</i>	<i>Vessel on uthorized vessel list</i>	<i>Vessel on IUU vessel list</i>		
27. Relevant fishing authorization(s)						
<i>Identifier</i>	<i>Issued by</i>	<i>Validity</i>	<i>Fishing area(s)</i>	<i>Species</i>	<i>Gear</i>	
28. Relevant transshipment authorization(s)						
<i>Identifier</i>		<i>Issued by</i>		<i>Validity</i>		
<i>Identifier</i>		<i>Issued by</i>		<i>Validity</i>		
29. Transshipment information concerning donor vessels						
<i>Name</i>	<i>Flag State</i>	<i>ID no.</i>	<i>Species</i>	<i>Product form</i>	<i>Catch area(s)</i>	<i>Quantity</i>
30. Evaluation of offloaded catch (quantity)						
<i>Species</i>	<i>Product form</i>	<i>Catch area(s)</i>	<i>Quantity declared</i>	<i>Quantity offloaded</i>	<i>Difference between quantity declared and quantity determined, if any</i>	
31. Catch retained onboard (quantity)						
<i>Species</i>	<i>Product form</i>	<i>Catch area(s)</i>	<i>Quantity declared</i>	<i>Quantity retained</i>	<i>Difference between quantity declared and quantity determined, if any</i>	
32. Examination of logbook(s) and other documentation			<i>Yes</i>	<i>No</i>	<i>Comments</i>	
33. Compliance with applicable catch documentation scheme(s)			<i>Yes</i>	<i>No</i>	<i>Comments</i>	
34. Compliance with applicable trade information scheme(s)			<i>Yes</i>	<i>No</i>	<i>Comments</i>	
35. Type of gear used						
36. Gear examined in accordance with paragraph e) of Annex B			<i>Yes</i>	<i>No</i>	<i>Comments</i>	
37. Findings by inspector(s)						
38. Apparent infringement(s) noted including reference to relevant legal instrument(s)						

39. Comments by the master
40. Action taken
41. Master's signature
42. Inspector's signature

ANNEX C

Guidelines for the training of port inspectors

Elements of a training programme for port State inspectors should include at least the following areas:

1. Ethics;
2. Health, safety and security issues;
3. Applicable national laws and regulations, areas of competence and conservation and management measures MCS initiatives of relevant RFMOs, and applicable international law;
4. Collection, evaluation and preservation of evidence;
5. General inspection procedures such as report writing and interview techniques;
6. Analysis of information, such as logbooks, electronic documentation and vessel history (name, ownership and flag State), required for the validation of information given by the master of the vessel;
7. Vessel boarding and inspection, including hold inspections and calculation of vessel hold volumes;
8. Verification and validation of information related to landings, transshipments, processing and fish remaining onboard, including utilizing conversion factors for the various species and products;
9. Identification of fish species, and the measurement of length and other biological parameters;
10. Identification of vessels and gear, and techniques for the inspection and measurement of gear;
11. Equipment and operation of VMS and other electronic tracking systems; and
12. Actions to be taken following an inspection.