

CC-04-14

4<sup>th</sup> Compliance Committee of the South Indian Ocean Fisheries Agreement  
(CC4)

09-11 November 2020 (online)

Proposal to amend SIOFA CMM 2017/08 establishing a Port  
Inspection Scheme

*Relates to agenda item: 4.1*

Working paper  Info paper

## Delegation of the European Union

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### Abstract

CMM 2017/08 sets out SIOFA requirements for Port Inspection. The EU proposes to amend CMM 2017/08 by including clear timeframes for completing port inspections (para 21) and for providing the inspection report (24bis). In addition, the EU proposes to clarify the roles of the port State inspector and the master in signing the inspection report (para 24).

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### Recommendations *(working papers only)*

1. CC4 is invited to review and discuss the proposed amendments to CMM 2017/08, and to recommend their adoption to MoP7.

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**CMM 2017/08**

**Conservation and Management Measure establishing a Port Inspection Scheme (Port Inspection)**

**Meeting of the Parties to the Southern Indian Ocean Fisheries Agreement;**

*DEEPLY CONCERNED* about illegal, unreported and unregulated (IUU) fishing in the SIOFA Area of Application (the Agreement Area) and its detrimental effect upon fish stocks, marine ecosystems and the livelihoods of legitimate fishers in particular in developing States;

*CONSCIOUS* of the role of the port State in the adoption of effective measures to promote the sustainable use and the long-term conservation of living marine resources;

*RECOGNISING* that measures to combat IUU fishing should build on the primary responsibility of flag States and use all available jurisdiction in accordance with international law, including port State measures, coastal State measures, market related measures and measures to ensure that nationals do not support or engage in IUU fishing;

*RECOGNISING* that port State measures provide a powerful and cost-effective means of preventing, deterring and eliminating IUU fishing;

*AWARE* of the need for increasing coordination at the regional and interregional levels to combat IUU fishing through port State measures;

*BEARING IN MIND* that, in the exercise of their sovereignty over ports located in their territory, Contracting Parties, cooperating non-Contracting Parties and participating fishing entities may adopt more stringent measures, in accordance with international law;

*RECALLING* the relevant provisions of the *United Nations Convention on the Law of the Sea of 10 December 1982*;

*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 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*, the *Agreement on Port State Measures to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated fishing of 22 November 2009* (Port State Measures Agreement), and the 1995 FAO Code of Conduct for Responsible Fisheries;

*RECALLING* Article 6(1)(i) of the Agreement which calls on the Meeting of the Parties to develop and monitor measures to prevent, deter and eliminate IUU fishing;

*BEARING IN MIND* Article 12 of the *Port States Measures Agreement* and the need to take into account the specifics of the fleets operating in the Agreement Area, the number of catches, the frequency and mode of port landings, and the status of the stocks, amongst others, in order to determine the level of port inspections sufficient to achieve the objective of preventing, deterring and eliminating IUU fishing

**ADOPTS** the following Conservation and Management Measure (CMM) in accordance with Article 6 of the Agreement:

## **Scope**

1. Each Contracting Party, cooperating non-Contracting Party (CNCP) and participating fishing entity (PFE) shall, in fulfilling its duties under Article 12 of the Agreement, maintain an effective system of port State control for all vessels that have been engaged in fishing in the Agreement Area, except container vessels that are not carrying fishery resources or, if carrying fishery resources, only fishery resources that have been previously landed, provided that there are no clear grounds for suspecting that such a vessel has engaged in fishing related activities in support of IUU fishing.

## **Designation of ports**

2. Each Contracting Party, CNCP and PFE shall designate, publicise and notify the Secretariat about the ports to which foreign vessels may request entry. The notification to the Secretariat shall include accompanying information, such as associated conditions of entry and the period of notice required. Each Contracting Party, CNCP and PFE shall provide this information to the Secretariat within 30 days from the date of entry into force of this CMM. Any subsequent changes to this information shall be notified to the Secretariat at least 30 days before the change takes effect.

3. Each Contracting Party, CNCP and PFE shall, to the greatest extent possible, ensure that every port designated and publicised in accordance with paragraph 2 has sufficient capacity to conduct inspections consistent with the requirements in the Agreement and this CMM.

4. The Secretariat shall establish and maintain a register of all ports designated and accompanying information pursuant to paragraph 2. The register and accompanying information shall be published, and updated as required, on the SIOFA website.

## **Advance request for port entry of foreign vessels**

5. Each Contracting Party, CNCP and PFE shall, before granting entry to a foreign vessel to its port, as a minimum standard, require the information set out in Annex I to be provided at least 48 hours before the estimated time of arrival. A Contracting Party, CNCP or PFE may prescribe for another notification period, taking into account, *inter alia*, the distance between the fishing grounds and its ports. In such a case the Contracting Party, CNCP or PFE concerned shall without delay inform the Secretariat, who shall put this information on the SIOFA website. Any other subsequent changes to the requirements shall be notified to the Secretariat at least 30 days before the changes becomes effective.

## **Port entry, authorisation or denial of foreign vessels**

6. After receiving the information required pursuant to paragraph 5, as well as such other information as it may require to determine whether the vessel requesting entry into its port has engaged in IUU fishing, each Contracting Party, CNCP or PFE shall decide whether to authorise or deny the entry of the vessel into its port and shall communicate this decision to the master of the vessel or to the vessel's representative.

7. In the case of authorisation of entry, the Contracting Party, CNCP or PFE shall require the master of the vessel or the vessel's representative to present the authorisation for entry to the competent authorities of the CP, CNCP or PFE upon the vessel's arrival at port.

8. In the case of denial of entry, the Contracting Party, CNCP or PFE shall communicate its decision taken pursuant to paragraph 6 to the flag State of the vessel and to the Secretariat, who shall put this information on the SIOFA website.

9. Without prejudice to paragraph 6, when a Contracting Party, CNCP or PFE has sufficient proof that a vessel seeking entry into its port has engaged in IUU fishing, in particular the inclusion of a vessel on a list of vessels having engaged in such fishing adopted by SIOFA, other Contracting Parties, CNCPs or PFEs, another regional fisheries management organization or the Commission for the Conservation of Antarctic Marine Living Resources (CCAMLR), the Contracting Party, CNCP or PFE shall deny that vessel entry into its ports.

10. Notwithstanding paragraphs 8 and 9, a Contracting Party, CNCP or PFE may allow the entry into its ports of a vessel referred to in those paragraphs exclusively for the purpose of inspecting it and taking other appropriate actions in conformity with international law which are at least as effective as denial of port entry in preventing, deterring and eliminating IUU fishing.

11. Where a vessel referred to in paragraphs 9 or 10 is in port for any reason, Contracting Parties, CNCPs and PFEs shall deny such vessels the use of its ports for landing, transshipping, packaging, and processing of fishery resources and for other port services including, *inter alia*, refuelling and resupplying, maintenance and dry-docking. Paragraphs 13 and 14 shall apply *mutatis mutandis* in such cases. Denial of such use of ports shall be in conformity with international law.

#### **Use of ports by foreign vessels**

12. Where a vessel has entered one of its ports, a Contracting Party, CNCP or PFE shall deny, pursuant to its laws and regulations and consistent with international law including the Agreement that vessel the use of the port for landing, transshipping, packaging and processing of fishery resources that have not been previously landed and for other port services, including, *inter alia*, refuelling and resupplying, maintenance and dry-docking, if:

- (a) the Contracting Party, CNCP or PFE finds that the vessel does not have a valid and applicable authorisation to engage in fishing or fishing related activities required by its flag State;
- (b) the State whose flag the vessel is flying does not confirm within a reasonable period of time, on the request of the port State, that the fishery resources on board were taken in accordance with the Agreement and SIOFA CMMs; or
- (c) the Contracting Party, CNCP or PFE has reasonable grounds to believe that the vessel was otherwise engaged in IUU fishing, including in support of a vessel referred to in paragraph 9, unless the owner/operator of the vessel can prove:
  - i. that it was acting in a manner consistent with relevant conservation and management measures; or
  - ii. in the case of provision of personnel, fuel, gear and other supplies at sea, that the vessel that was provisioned was not, at the time of provisioning, a vessel referred to in paragraph 9.

13. Notwithstanding paragraph 12, a Contracting Party, CNCP or PFE 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.

14. Where a Contracting Party, CNCP or PFE has denied the use of its port in accordance with paragraph 12, it shall promptly notify the State whose flag the vessel is flying and the Secretariat, who shall put this information on the SIOFA website.

15. A Contracting Party, CNCP or PFE shall withdraw its denial of the use of its ports pursuant to paragraph 11 only if there is sufficient proof that the grounds on which use was denied were inadequate or erroneous or that such grounds no longer apply.

16. Where a Contracting Party, CNCP or PFE has withdrawn its denial pursuant to paragraph 15 it shall notify those to whom a notification was issued pursuant to paragraph 14.

## Inspections

17. Each Contracting Party, CNCP and PFE shall ensure that inspections of any vessels are carried out by inspectors duly authorised, trained and familiar with the Agreement and relevant CMMs adopted by the Meeting of the Parties. Inspector training programs shall take into account the elements set out in Annex II, and Contracting Parties, CNCPs or PFEs shall seek to cooperate in this regard.

18. Prior to an inspection, the inspector shall present to the master of the vessel an appropriate identity document.

19. Each Contracting Party, CNCP and PFE shall ensure that inspections of vessels in their ports are carried out at least in accordance with the procedures set out in Annex III.

20. The port State may invite inspectors of other Contracting Parties, CNCPs and PFEs to accompany their own inspectors and observe the inspection of landings or transshipment operations of fishery resources caught by foreign vessels.

21. Inspections shall be carried out in accordance with international law, and shall be conducted within 48 hours of port entry<sup>1</sup> and shall be carried out in an expeditious fashion. Each Contracting Party, CNCP and PFE shall ensure that their inspectors make all possible efforts to avoid unduly delaying a vessel and that the vessel suffers minimum interference and inconvenience, and that degradation of the quality of the fish resources is avoided.

22. Contracting Parties, CNCPs and PFEs shall undertake inspections of all fishing vessels carrying or landing *Dissostichus* spp. which enter their ports.

23. Contracting Parties, CNCPs and PFEs shall inspect vessels not entitled to fly their flag in their ports when:

(a) there is a reasonable request from another Contracting Party, CNCP or PFE, any regional fisheries management organisation or CCAMLR that a particular vessel be inspected, particularly where such requests are supported by evidence of IUU fishing by the vessel in question, and there are clear grounds for suspecting that a vessel has engaged in IUU fishing;

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<sup>1</sup> Unless weather conditions or other circumstances make accessing the vessel for inspection unsafe, in which case the inspection shall be carried out at the earliest opportunity and the inspection report shall note the reason for the delay.

(b) a vessel has failed to provide the information required in paragraph 5;

24. The competent authority of each Contracting Party, CNCP and PFE shall include at least the information set out in Annex IV in the written report of the results of each inspection, ~~which shall be forwarded to the competent authority of the inspected vessel and to the Secretariat. On completion of the inspection, the port State inspector shall provide the master of the inspected fishing vessel a copy of the inspection report containing the findings of the inspection, to be signed by the inspector and the master. The master's signature shall serve only as acknowledgement 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 inspected vessel.~~

24bis. The inspection report shall be forwarded to the competent authority of the inspected vessel and to the Secretariat within 30 days following the date of completion of the inspection or as soon as possible where compliance issues have arisen. If the inspection report cannot be transmitted within 30 days, the port State shall notify the Secretariat within the 30 day time period of the reasons for the delay and when the report will be submitted.

### **Role of Contracting Parties, CNCPs and PFEs in relation to vessels flying their flags**

25. Each Contracting Party, CNCP and PFE shall require its vessels to cooperate with the port State in inspections carried out pursuant to this CMM.

26. When a Contracting Party, CNCP or PFE has clear grounds to believe that one of its vessels has engaged in IUU fishing and is seeking entry to or is in the port of another Contracting Party, CNCP or PFE, it shall, as appropriate, request that the Contracting Party, CNCP or PFE inspects the vessel or takes other adequate measures.

27. Where, following port State inspection, a Contracting Party, CNCP or PFE receives an inspection report indicating that there are clear grounds to believe that a vessel flying its flag has engaged in IUU fishing, it shall immediately and fully investigate the matter and shall, upon sufficient evidence, take enforcement action without delay in accordance with its laws and regulations.

28. Each Contracting Party, CNCP and PFE shall report to the Secretariat on any actions it has taken in respect of vessels flying its flag that, as a result of port State measures taken pursuant to this CMM, have been determined to have engaged in IUU fishing.

29. Each Contracting Party, CNCP, PFE and CNPFE shall provide a report to each ordinary meeting of the Compliance Committee of action that they have taken pursuant to paragraph 27.

### **Application**

30. This CMM shall be applied to the ports of all Contracting Parties, CNCPs and PFEs within the coastal States, which have areas of national jurisdiction adjacent to the Agreement Area.

31. Each Contracting Party, CNCP or PFE which does not have areas of national jurisdiction adjacent to the Agreement Area shall endeavour to apply this CMM.

## ANNEX I

### INFORMATION TO BE PROVIDED IN ADVANCE BY FOREIGN VESSELS REQUESTING PORT ENTRY

1. Intended port of call													
2. Port State													
3. Estimated date and time of arrival													
4. Purpose(s)													
5. Port and date of last port call													
6. Name of the vessel													
7. Flag State													
8. Type of vessel													
9. International Radio Call Sign													
10. Vessel contact information													
11. Vessel owner(s)													
12. Certificate of registry ID													
13. IMO ship ID, if available													
14. External ID, if available													
15. SIOFA ID, if applicable													
16. VMS		No		Yes: National		Yes: SIOFA		Type:					
17. Vessel dimensions			Length		Beam		Draft						
18. Vessel master name and nationality													
19. Relevant fishing authorisation(s)													
<i>Identifier</i>		<i>Issued by</i>		<i>Validity</i>		<i>Fishing area(s)</i>		<i>Species</i>		<i>Gear</i>			
20. Relevant transshipment authorisation(s)													
<i>Identifier</i>		<i>Issued by</i>		<i>Validity</i>									

<i>Identifier</i>		<i>Issued by</i>		<i>Validity</i>				
21. Transshipment authorisations concerning donor vessels								
<i>Date</i>	<i>Location</i>	<i>Name</i>	<i>Flag State</i>	<i>ID no.</i>	<i>Species</i>	<i>Product form</i>	<i>Catch area</i>	<i>Quantity</i>
22. Total catch onboard						23. Catch to be offloaded		
<i>Species</i>	<i>Product form</i>	<i>Catch area</i>	<i>Quantity, Conversion factor and Live weight</i>			<i>Quantity</i>		



## **ANNEX II**

### **GUIDELINES FOR THE TRAINING OF INSPECTORS**

Elements of a training program 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 of SIOFA, 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 fishing vessel;
7. Fishing 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 fishery resources 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.

## **ANNEX III**

### **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 authorisations for fishing and fishing related activities are true, complete, correct and consistent with the information provided in accordance with Annex I;
- 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, SIOFA and where relevant other RFMOs and CCAMLR. Relevant documentation may include logbooks, catch, transshipment and trade documents, crew lists, stowage plans and drawings, descriptions of 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 areas, 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 authorisations. 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 authorised for the vessel;

- f) determine, to the extent possible, whether the fishery resources on board was harvested in accordance with the applicable authorisations;
- g) examine the fishery resources, including by sampling, to determine its quantity and composition. In doing so, inspectors may open containers where the fishery resources have been pre-packed and move the catch or containers to ascertain the integrity of 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 IV**

**REPORT OF THE RESULTS OF THE PORT INSPECTION**

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

<b>23. Fishing master name and nationality</b>						
<b>24. Vessel agent</b>						
<b>25. VMS</b>	<i>No</i>	<i>Yes: National</i>	<i>Yes: SIOFA</i>	Type:		
<b>26. Status in SIOFA areas (if applicable) where fishing has been undertaken, including any IUU vessel listing</b>						
<i>Vessel identifier</i>	<i>SIOFA</i>	<i>Flag State status</i>	<i>Vessel on authorised vessel list</i>	<i>Vessel on IUU vessel list</i>		
<b>27. Relevant fishing authorisation(s)</b>						
<i>Identifier</i>	<i>Issued by</i>	<i>Validity</i>	<i>Fishing area(s)</i>	<i>Species</i>	<i>Gear</i>	
<b>28. Relevant transshipment authorisation(s)</b>						
<i>Identifier</i>		<i>Issued by</i>		<i>Validity</i>		
<i>Identifier</i>		<i>Issued by</i>		<i>Validity</i>		
<b>29. Transshipment information concerning donor vessels</b>						
<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>
<b>30. Evaluation of offloaded catch (quantity)</b>						
<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>	

<b>31. Catch retained onboard (quantity)</b>						
<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>	
<b>32. Examination of logbook(s) and other documentation</b>				<i>Yes</i>	<i>No</i>	<i>Comments</i>
<b>33. Compliance with applicable catch documentation scheme(s)</b>				<i>Yes</i>	<i>No</i>	<i>Comments</i>
<b>34. Compliance with applicable trade information scheme(s)</b>				<i>Yes</i>	<i>No</i>	<i>Comments</i>
<b>35. Type of gear used</b>						
<b>36. Gear examined in accordance with paragraph e) of Annex VIII</b>			<i>Yes</i>	<i>No</i>	<i>Comments</i>	
<b>37. Findings by inspector(s)</b>						
<b>38. Apparent infringement(s) noted including reference to relevant legal instrument(s)</b>						
<b>39. Comments by the master</b>						
<b>40. Action taken</b>						
<b>41. Master's signature</b>						

<b>42. Inspector's signature</b>