**SIOFA CCP Compliance Report (CCR) 2022**

This questionnaire template intends to provide a standard format to compile information which will assist each CCP with the completion of the Compliance Report (CCR). Information gathered will help both CCPs individually, and jointly through the Meeting of the Parties, to identify barriers to implementation of obligations which will facilitate the identification of remedial actions and measures required to improve implementation of the Southern Indian Ocean Fisheries Agreement and all adopted SIOFA CMMs.

In accordance with CMM 2020/11 Compliance Monitoring Scheme, which entered into force on 22 March 2021, the Secretariat requests that each CCP completes this template and includes a preliminary self-assessment of its compliance status for each assessed obligation, using Annex I as a reference.

The Compliance Assessment Period for this CCR is **1 January – 31 December 2021**.

Please note that CMMs 2020/01, 2020/08, and 2020/11 came into force on the 21st of March 2021. Therefore the compliance assessment for CMMs 2019/01, 2017/08, and 2018/11 must be considered from the 1st of January 2021 until the 20th of March 2021, while the new CMMs will be considered from the 22nd of March 2021 to the 31st of December 2021.

Additionally, CMMs 2021/02, 2021/14, and 2021/15 came into force on the 24th of October 2021. Therefore the compliance assessment for CMMs 2020/02, 2019/14, and 2020/15 must be considered from the 1st of January 2021 until the 23rd of October 2021, and the new CMMs considered from the 24th of October to the 31st of December 2021.

The completed report shall be returned to the Secretariat no later than 60 days before the commencement of the next ordinary Meeting of the Parties which will take place from 5 to 9 July 2022, i.e., no later than **5 May 2022**.

Each CCP shall ensure their CCR includes information relevant to the implementation of each obligation assessed for compliance and shall include a preliminary self-assessment of its compliance status for each assessed obligation. CMM 2020/11 sets out the following options for assigning compliance status: 1) compliant; 2) non-compliant; 3) critically non-compliant; 4) not assessed[[1]](#footnote-2); and 5) no compliance status assigned.

If a CCP self-assesses their compliance status as ‘non-compliant’ or ‘critically non-compliant’, they are invited to specify what remedial, or follow-up action have been taken.

If a measure is not applicable, CCPs are requested to answer, “NOT APPLICABLE”. In those cases and if there is no ambiguity in the relevant obligation, the Secretariat will propose a provisional compliance status of “Compliant” in the draft SIOFA Compliance Report (dSCR).

**Enter Name of CCP**

**The Compliance assessment period is**

**1st January 2021 to 31th December 2021[[2]](#footnote-3).**

**Implementation of the Southern Indian Ocean Fisheries Agreement**

*Each CCP response shall describe actions & measures taken, any barriers to implementation, identification of technical assistance or capacity building needed to ensure compliance. If not applicable, please tick the box labelled “NOT APPLICABLE” and leave the self-assessment blank.*

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| **Article** | **Questions** |
| Article 10 (2) | Article 10(2) requires that each CCP shall make available to the Meeting of the Parties a statement of implementing and compliance measures, including any imposition of sanctions for any violations, it has taken in accordance with this article, and, in the case of Coastal States that are Contracting Parties to the Agreement, as regards the conservation and management measures they have taken for straddling stocks occurring in waters under their jurisdiction adjacent to the Area.  Submission of a Compliance Report in accordance with CMM 2018/11 Compliance Monitoring Scheme satisfies this requirement.  Please find below three questions in regard of the obligations referred in the Article 10(2). |

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|  | 1. Have you submitted in 2021 a Compliance Report in accordance with CMM 2020/11? |
|  | YES ☐ NO ☐ |
|  | Did you encounter any difficulties or barriers to submission of this report? |
|  | YES ☐ NO ☐  If **yes**, please explain any barriers encountered. |
|  | 1. Have you provided an annual statement of any sanctions imposed? |
|  | YES ☐ NO ☐ |
|  | 1. (For Coastal States only) What measures have you taken to manage straddling stocks occurring in waters under your jurisdiction adjacent to SIOFA Area? |

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|  | Answer: |

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|  | You are compliant if you satisfied the 2 (or 3 if relevant) questions above. |

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|  | Preliminary CCP self-assessment (indicate status with ‘**X’**). Please leave blank if self-assessment is non-applicable | | | | |
|  | Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| *Article 11 3. (c)* | Article 11.3.(C) requires submission of a report on fishing activities in the Area. Completion of the section ‘Description of Fisheries’ within the ‘Template for the submission of National Reports’ satisfies this requirement.  Did you submit in 2021 a National Report concerning the calendar year 2020that conforms to the requirements of paragraph 9 of CMM 2019/02? | | | | |
| Answer:  YES ☐ NO ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is not-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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**Implementation of CMM 2020/01 and CMM 2019/01[[3]](#footnote-4) (Interim Management of Bottom Fishing)**

**10(1)(a) For CCPs that have fished more than 40 days in a single year in the Agreement Area at the time this CMM was adopted (2016) (*for other CCPs, leave blank)* :**

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| **Para** | **Questions** | | | | |
| 10(1) (a) i | Have you taken measures so as to limit bottom fishing effort and/or catch in order to avoid exceeding the average annual level as stipulated in paragraph 10(1)(a)(i)? | | | | |
| Answer:  YES ☐ NO ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable. | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 10(1) (a) ii | What constraints on spatial distribution of bottom fishing, excluding line and trap methods, to recently fished areas to prevent any expansion of these activities have been implemented? | | | | |
|  | Answer: | | | | |
|  | Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
|  | Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 10(1) (a) iii | What provisions have been implemented to ensure bottom fishing incurs no significant adverse impacts on VMEs in line with paragraph 10(1)(a)(iii)? | | | | |
| Answer: | | | | |
|  | Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
|  | Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 10(1) (a) iv | What measures been implemented to ensure vessels are not authorised to fish in any areas closed to fishing by the Meeting of the Parties? | | | | |
| Answer: | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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**10(1)(b) For CCPs that have fished less than 40 days in a single year at the time this CMM was adopted (2016) (*for other CCPs, leave blank)* :**

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| **Para** | **Questions** | | | | | | | |
| 10(1)(b)i | Have measures been implemented to limit bottom fishing effort and/or catch and spatial distribution in accordance with 10(2)? | | | | | | | |
| Answer:  YES  NO  If **yes,** please explain what these measures are | | | | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | | | | |
| Compliant | Non-Compliant | Critically non-compliant | | Not Assessed | | No compliance status assigned | |
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| 10(1)(b)ii | What measures have been implemented to ensure bottom fishing incurs no significant adverse impacts on VMEs in accordance with paragraph 10(1)(a)(iii)? | | | | | | | |
| Answer: | | | | | | | |
|  | Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | | | | |
|  | Compliant | Non-Compliant | Critically non-compliant | | Not Assessed | | No compliance status assigned | |
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| 10(1)(b)iii | What measures have been implemented to ensure vessels are not authorised to fish in any areas that the Meeting of the Parties has decided to close to fishing in accordance with paragraph 10(1)(a)(iv)? | | | | | | | |
|  | Answer: | | | | | | | |
|  | Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | | | | |
|  | Compliant | | Non-Compliant | Critically non-compliant | | Not Assessed | | No compliance status assigned |
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**For all CCPs:**

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| **Para** | **Questions** | | | | |
| 10(2) | Have the established measures pursuant to paragraph 10 been disclosed to the Meeting of the Parties? | | | | |
| Answer:  YES ☐ NO ☐ NOT APPLICABLE ☐ | | | | |
|  | Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
|  | Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 10(3) | Have you revised or made amendments to measures established in accordance with the requirements of paragraph 10(1)?  YES  NO | | | | |
| If **yes**, what amendments or revisions were made? | | | | |
| Was the Secretariat notified within 30 days?  YES  NO | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 12 | Have you applied the following threshold levels for VME encounter: the catch/recovery of 10 or more VME-indicator units of species listed in Annex 1 in a single line segment for longline fishing, and more than 60 kg of live corals and/or 300 Kg of sponges in any tow for trawl gears? | | | | |
| Answer:  YES  NO  If **not**, what prevented you from achieving this? | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 13 | Have you applied the following fishing restrictions on VME encounter: Cease trawl fishing around 2 nautical miles of the trawl track, cease fishing in a radius of 1 nautical miles of the encountering line segment for longline, cease fishing around 1 nautical miles of the midpoint operation for all other gears? | | | | |
| Answer:  YES  NO  If **not**, what prevented you from achieving this? | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 14 | Where evidence of a VME is encountered during fishing operations, that exceed the threshold levels established under paragraph 12, have such encounters been reported in National Reports to the Scientific Committee in accordance with the guidelines provided in Annex 2? | | | | |
| Answer:  YES  NO  If **not**, what prevented you from achieving this? | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 15 | Did you receive a bottom fishing suspension notification from the Secretariat under paragraph 14(b)? | | | | |
| Answer:  YES  NO  If **yes**, please describe the arrangements and measures you have implemented to ensure that vessels flying your flag do not undertake bottom fishing in the notified encounter area. | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 20(a) | Did you submit to the Secretariat the spatial extent of historic bottom fishing effort expressed as grid blocks of at least 20 minutes resolution? | | | | |
| Answer:  YES  NO  If **not**, when did you provide it or what prevented you from achieving this? | | | | |
|  | Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
|  | Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 21-22 | Did you submit a Bottom Fishing Impact Assessment for your bottom fishing activities? | | | | |
| Answer:  YES  NO  If not, what prevented you from achieving this? | | | | |
| If yes, was it submitted at least 30 days prior to the commencement of the subsequent ordinary meeting of the Scientific Committee ? | | | | |
| Answer:  YES  NO | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 27(a) | If you are a State or fishing entity that has become a CCP to SIOFA after the Meeting of the Parties in 2017, did you advise the Meeting of the Parties (MoP) of the measures you intended to be take pursuant to para 10(1)(a)(i),(ii),(iii) and (iv) | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐  If **not**, what prevented you from achieving this? | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 27(b) | If you are a State or fishing entity that has become a CCP to SIOFA after the Meeting of the Parties in 2017 did you provide, 30 days before the next ordinary meeting of the Scientific Committee, data related to para 20 and a BFIA as outlined in para 21? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐  If **not**, what prevented you from achieving this? | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 29 | Did you submit any proposals to bottom fish at variance with established measures? | | | | |
| Answer:  YES  NO  If **yes**, did you submit it 30 days prior to next ordinary meeting of the Scientific Committee and in accordance with the requirements of paragraph 29?  YES  NO | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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**General Management and Conditions for Bottom Fishing in the Agreement Area**

**Please describe the arrangements and measures you have implemented to ensure that vessels flying your flag:**

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| 33 | participate in bottom fishing in the Agreement Area in accordance with the provisions of the Agreement, this CMM and all other applicable CMMs, and do not engage in any activity which undermines the effectiveness of these measures. | | | | |
| Answer:  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 34 | are equipped and configured to comply with all relevant CMMs when participating in bottom fishing in the Agreement Area. | | | | |
| Answer:  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 36 | provide the minimum required data to the Secretariat in accordance with SIOFA. | | | | |
| Answer:  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 39(a) | If you have vessels fishing with trawl gear in the Agreement Area have you achieved 100% scientific observer coverage on these vessels? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐  If **not**, how many trawl fishing trips (or days) have been performed and how many were observed? What percentage was achieved, what were the constraints and what actions are you taking to improve the level of coverage? | | | | |
| If, due to constraints related to COVID-19, you have benefited from a temporary suspension of Observer embarkation, have you put in place alternative data collection measures?  YES  NO  NOT APPLICABLE ☐  If **yes**, please provide details of such measures | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable. | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 39(b) | If you have vessels fishing with any other bottom fishing gear in the Agreement Area, have you achieved 20% scientific observer coverage per annum on these vessels? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐  If **not**, how many fishing trips (or days) have been performed and how many were observed? What percentage was achieved, what were the constraints and what actions are you taking to improve the level of coverage? | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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**Interim Protected Area Designation**

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| 45(a) | Have you implemented measures to prohibit vessels flying your flag from engaging in bottom fishing, excluding line and trap methods, in the interim protected areas provided in Annex 3 ? Please describe the measures taken. | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐  If not, what are the constraints and what steps are you taking to comply with this obligation? | | | | |
|  | Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
|  | Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 45(b) | Did you have vessels engaged in fishing in any of the areas provided in Annex 3 with other gears than line and trap methods? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐  If **yes,** how many vessels, and did they always have a scientific observer onboard at all times while fishing inside those areas?  If not, what are the constraints and what steps are you taking to comply with this obligation? | | | | |
|  | Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
|  | Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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**Implementation of CMM 2021/02 and CMM 2019/02 [[4]](#footnote-5) (Data Standards)**

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| **Have any vessel flying your flag been engaged in fishing in the Agreement Area during the reference period ?**  YES  NO  **If not, you do not need to answer questions 4 to 8 and can move directly to subsequent questions.** |

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| **Para** | **Questions** | | | | |
| 4 | During this assessment period was data on fishing activities collected in accordance with the relevant sections of Annex A? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐  If any constraints were experienced, please provide an explanation | | | | |
|  | Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
|  | Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 5 | Did you collect data on a haul-by-haul basis? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐  If any constraints were experienced, please provide an explanation | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 6 | Have you submitted your 2020 vessel catch and effort data to Secretariat by 31 May 2021 and included all information in accordance with Annex A with the format prescribed in Annex C?  This includes (but is not limited to):  - Vessel identification  - All fishing operations reported individually at exact time and precise location  - Full gears technical specifications  - Full details for effort (hooks number, gear soak or operation time, line length, etc.)  - Depth information (bottom depth and fishing depth)  - Species identification (FAO code)  - Retained and discarded catch weight  - Bycatch (incidental by catch of mammals, birds, and species of concern including benthos species) | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐  If **not,** describe the constraints preventing this. | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 7 | Have you submitted your 2020 annual catch summary by 31 May 2021? Have you included all information pursuant to paragraph 7(a) (b) (c) (d) and (e)? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐  If **not**, describe the constraints preventing this. | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 8 | Did you implement that on-board all fishing vessels flying your flag the FAO Identification guide to the deep–sea cartilaginous fishes of the Indian Ocean? | | | | |
| Answer:  YES  NO  If **not** describe the constraints preventing this. | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 9(b) | Did you submit a National Report on your fishing, research, and management activities for the calendar year 2020 at least thirty days prior to the ordinary SC meeting in 2021? | | | | |
| Answer:  YES  NO  If **not**, Describe the constraints preventing this. | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 9(c) | Did you complete the National Report taking into account the Guidelines for the submission of Annual National reports to the SIOFA Scientific Committee (copy provided on the SC page of SIOFA website)? | | | | |
| Answer:  YES  NO  If **not,** describe any problem experienced in completing any sections listed in the Guidelines. | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 10 | Did you submit the data on historical catch, effort, observer reports for the period 2000-2015, where available, in accordance with Annex A and Annex B, to the extent applicable? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐  If **not**, when did you provide it or what prevented you from achieving this? | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| For new CCPs (joining after October 2016) historical catch, effort, and observer data for the period 2000-2017 is required to be submitted within 12 months of joining; Have you achieved this? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐  If **not,** describe the constraints in providing this. | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 12 | Have you implemented national scientific observer programmes? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐  If **not**, describe any constraints in implementation. | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 14 | Did you include in the annual national report an annual observer programme implementation report? | | | | |
| YES  NO  NOT APPLICABLE ☐  If **not**, describe any constraints in implementation. | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable. | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 15 | Did you collect, for all observed trips, the data in accordance with the relevant sections of Annex B Scientific Observer? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐  If **not**, what prevented you from achieving this? | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
|  |  |  |  |  |
| Was all the observer data for the year 2020 reported in accordance with Annex B to the Secretariat by 31 May 2021? This includes (but is not limited to):  - Observer, trips and vessels information  - Fishing operation details  -Species retained, discarded and lost (weight and/or number)  - Incidental bycatch  - Biological samplings  - Interactions with VME  - Interactions with birds or marine mammals | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐  If **not**, please describe any problems encountered, which prevented you from meeting this deadline. | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 18 (a) (b) | What data verification mechanisms (VMS, scientific observers, inspection, port sampling) have you developed, implemented, or improved in 2021? | | | | | | | |
| Answer: NOT APPLICABLE ☐ | | | | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | | | | |
| Compliant | Non-Compliant | | Critically non-compliant | Not Assessed | | | No compliance status assigned |
|  |  | |  |  | | |  |
| 18 (c) | Did you include in the annual national report an annual data verification report? | | | | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐  If **not**, explain problems encountered. | | | | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | | | | |
| Compliant | | Non-Compliant | Critically non-compliant | | Not Assessed | No compliance status assigned | |
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| 19-20 | All data required to be reported by this measure must be reported in accordance with the formats described in CMM 02, including its Annexes. Have you encountered any problem with providing data in accordance with the specified formats? | | | | |
| Answer:  YES  NO  If **so**, explain problems encountered. | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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**Implementation of CMM 2016/04 (Vessels Without Nationality)**

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| --- | --- | --- | --- | --- | --- |
| 5 | Did you report to the Secretariat, as soon as possible, any sightings of fishing vessels that were suspected of, or confirmed as being, without nationality that may be fishing in the high seas of the Agreement Area? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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**Implementation of CMM 2016/05 (Pelagic Driftnets and Deepwater Gillnets)**

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| **Para** | **Questions** | | | | |
| 1 | Did you prohibit the use of large-scale pelagic driftnets (more than 2.5km in length) in the Agreement Area by national vessels? | | | | |
| Answer:  YES  NO  If **not** yet implemented, please describe the constraints, which prevented you from achieving this. | | | | |
|  | Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
|  | Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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**Implementation of CMM 2018/06 (IUU Vessel List)**

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| --- | --- | --- | --- | --- | --- |
| **Para** | **Questions** | | | | |
| 2 | Did you submit information on vessels presumed to have been engaged in IUU fishing to the Secretariat? | | | | |
|  | Answer:  YES  NO  NOT APPLICABLE ☐  If **yes**, was this done using the form in Annex I and transmitted within 90 days before the ordinary Meeting of the Parties at which it is to be considered?  If **not,** describe any constraints encountered. | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 3 | If you submitted information on vessels presumed to have been engaged in IUU fishing to the Secretariat, was the responsible flag State notified prior to submission or at the same time? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 19 | Have you implemented the measures listed in paragraph 19(a)-(j) under your applicable legislation and pursuant to paragraphs 56 and 66 of the FAO International Plan of Action to Prevent, Deter, and Eliminate Illegal, Unreported and Unregulated Fishing (IPOA-IUU)? | | | | |
| Answer:  YES NO  NOT APPLICABLE ☐  If **not**, indicate which measure(s) was (were) not implemented and why. | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 20 | Did you deny the use of your port(s) to vessels included on the IUU Vessel list?  YES  NO  NOT APPLICABLE ☐  If yes, which vessels were denied the use of your port(s) and for what reason(s)? | | | | |
| Answer: | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 30 | (a) Did you take measures to verify if any of your nationals or any natural or legal persons subject to your jurisdiction are engaged in IUU fishing?  (b) Did you take measures to verify if any of your nationals or any natural or legal persons subject to your jurisdiction are responsible for, benefiting from, supporting or engaging in the activities described in paragraph 5 (e.g. as operators, effective beneficiaries, owners, logistics and service providers, including insurance providers and other financial service providers)? | | | | | |
|  | Answer:  YES  NO  NOT APPLICABLE ☐ | | | | | |
|  | Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | | |
|  | Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned | |
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|  | If any of the activities referred to in paragraph 30 (a) (b) were verified, what action did you take in accordance with paragraph 30 (c)? | | | | | |
|  | Answer: | | | | | |
|  | Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | | |
|  | Compliant | | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 31 | Have you designated a contact point to exchange information on IUU activities described in paragraph 30 (a) (b) with other CCPs? | | | | |
| Answer:  YES  NO | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 32 | Have you included in your 2021 CCR report all the actions and measures taken in accordance with this CMM during the assessment period (1st January-31st December 2021) ? | | | | |
| Answer:  YES  NO  If **not**, what prevented you from achieving this?  Please also describe all actions and measures taken in accordance with this CMM not already described. | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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**Implementation of CMM 2019/07 (Vessel Authorisation)**

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| **Para** | **Questions** | | | | |
| 3 | Have you informed the Executive Secretary of any modification regarding vessel data for vessels flying your flag authorised to fish in the Agreement Area (including authorisation status of current fishing vessels and any new vessels)? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| If so, were these changes notified to the Executive Secretary within 15 days after modification? | | | | |
| Answer:  YES ☐ NO ☐ NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 4 | If you became a CCP after 18 Oct 2017 (and before 31 Dec 2020), did you provide the information referred to in paragraph 2 (a)-(s) within 30 days of becoming a CCP? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐  If **not,** what information remains outstanding? What is preventing the provision of this information? | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 6(a) | Have you authorised only vessels flying your flag to operate in the Agreement Area that meet all the requirements and responsibilities under the Agreement, and all relevant SIOFA CMMs? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
|  |  |  |  |  |
| 6(b) | Have you taken measures to ensure that the vessels flying your flag comply with all relevant SIOFA CMMs?  Please describe these measures and/or any difficulties encountered | | | | |
| Answer:  YES  NO | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
|  |  |  |  |  |
| 6(c) | Have you taken measures to ensure that your authorised vessels keep on board valid certificates of vessel registration and valid authorisation to fish and/or to undertake fishing related activities? Please describe these measures and/or any difficulties encountered. | | | | |
| Answer:  YES  NO | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
|  |  |  |  |  |
| 6(d) | Have you ensured that the vessels flying your flag on the SIOFA Record of Authorised Vessels  have no history of IUU fishing, or, if those vessels have such history, that 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, your vessels are not engaged in or associated with IUU fishing? | | | | |
| Answer:  YES  NO | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
|  |  |  |  |  |
| 6(e) | Have you ensured, to the extent possible under domestic law, that the owners and operators of vessels you have registered on the SIOFA Record of Authorised Vessels are not associated with fishing activities conducted in the Agreement Area by vessels not registered in the SIOFA Record of Authorised Vessels? | | | | |
| Answer:  YES  NO  Please describe how this is achieved and/or any difficulties encountered. | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
|  |  |  |  |  |
| 6(f) | Have you taken the necessary measures to ensure that the owner and/or operator of your vessels on the SIOFA record of authorised vessels are citizens, residents, or legal entities within your jurisdiction so that any enforcement or punitive actions can be effectively taken against them? Please describe these measures and/or any difficulties encountered. | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 7 | Did you take measures, under your applicable legislation, to prohibit the fishing and fishing-related activities on fishery resources covered by the Agreement by vessels which are not registered on the SIOFA Record of Authorised Vessels? Please describe these measures and/or any difficulties encountered with implementing them | | | | |
| Answer:  YES  NO | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 8 | If you had any evidence showing that there were reasonable grounds for suspecting that vessels not registered on the SIOFA Record of Authorised Vessels were operating in the Agreement Area, did you notify the Secretariat of any such evidence ? | | | | |
| YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
|  |  |  |  |  |

**Implementation of CMM 2020/08 and CMM 2017/08[[5]](#footnote-6) (Port Inspection)**

*This CMM is only applicable to CCPs concerned.*

*CCPs that are not concerned by this do not have to answer NOT APPLICABLE*

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| **Para** | **Questions** | | | | |
| 1 | Did you maintain an effective system of port State control? Please describe how you achieve this and/or any difficulties encountered. | | | | |
| Answer:  YES  NO | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 2 | Have you notified the Secretariat of designated ports to which foreign vessels may request entry in accordance with the requirements of paragraph 2? (Coastal members: obligation, other members: encouragement) | | | | |
| Answer:  YES  NO | | | | |
| Were there any changes to your designated ports during this compliance assessment period? | | | | |
| Answer:  YES  NO  If **yes**, were these notified within 30 days before the change took effect?  YES  NO | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 3 | Did you ensure, to the greatest extent possible, that every port designated and publicised in accordance with paragraph 2 had sufficient capacity to conduct inspections consistent with the requirements in the Agreement and this CMM? If not, please describe any constraints experienced. | | | | |
| Answer:  YES  NO | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 5 | Have you implemented the minimum standard to collect foreign vessel information 48h before the estimated time of arrival in your port described in paragraph 5 and Annex I? Please describe how you achieve this and/or any difficulties encountered. | | | | |
| Answer:  YES  NO | | | | |
| Please specify if you have prescribed a notification period other than 48 hours and explain why this was required.  YES  NO | | | | |
| Were there any other subsequent changes to the requirement above? | | | | |
|  | Answer:  YES  NO  NOT  If **yes**, were these notified within 30 days before they became effective ?  YES  NO  ☒ | | | | |
|  | Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
|  | Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 8 | Did you deny any foreign vessel entry into your port(s)? | | | | |
| Answer:  YES  NO | | | | |
| If yes, was this decision communicated to the flag State and to the Secretariat? | | | | |
| Answer: | | | | |
|  | Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
|  | Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 9 | Have you denied port entry to any vessels, for which you had sufficient proof that it had engaged in IUU fishing? | | | | |
|  | Answer:  YES  NO | | | | |
|  | Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
|  | Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 10 | Did you authorise entry of a foreign vessel referred to in paragraphs 8 and 9 exclusively for the purpose of inspecting it and taking other appropriate actions in conformity with international laws? | | | | |
| Answer:  YES  NO ☐ NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 11 | Where a vessel referred to in paragraphs 9 or 10 was in port for any reason, did you deny such vessel the use of your ports for landing, transhipping, packaging, and processing of fishery resources, and for other port services including, inter alia, refuelling and resupplying, maintenance and dry docking? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐  If so, please explain the circumstances. | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 12 | Did you deny the use of port services to any foreign flagged vessel ? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐  If yes, please explain the circumstances with reference to the situations set out in paragraph 12 (a), (b) and (c).  If no, please specify if this was pursuant to any of the situations set out in paragraph 13. | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 13 | If you denied the use of your port to any foreign vessel in accordance with paragraph 12, were the flag State and Secretariat notified promptly? | | | | |
| Answer:  YES  NO | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 15 | Did you ensure that if port access denial was withdrawn at any point, it only occurred if there was sufficient evidence to prove that the grounds on which use was initially denied were inadequate or erroneous or that such grounds no longer applied? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 16 | If you withdrew a denial of port services, was this communicated in accordance with paragraph 14? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 17 | Were your port inspectors duly authorised, trained and familiar with the Agreement and all of its relevant CMMs? | | | | |
| Answer:  YES NO  NOT APPLICABLE ☐ | | | | |
| Did your national training programme take into account the guidelines elements set out in Annex II? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐  If **not**, please identify the relevant barriers to each missing element. | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 19 | Were vessel inspections carried out, at a minimum, in accordance with the procedures set out in Annex III? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 21 | Did you ensure that all inspections were carried out in accordance with international law, conducted within 72 hours of port entry, and carried out in an expeditious fashion ? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 22 | Did you undertake inspections of all fishing vessels carrying or landing *Dissostichus* spp which entered your ports? If **not,** what prevented you from achieving this? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
|  | Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
|  | Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 23 (a) | Did you receive any request from another CCP, any RFMO or CCAMLR to inspect a particular vessel not entitled to fly your flag, in accordance with para 23 (a)? | | | | |
|  | Answer:  YES  NO  If **yes,** did you conduct all inspections requested?  If not, please explain what prevented you from achieving this? | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 23 (b) | Did any vessel(s) not entitled to fly your flag entering your port(s) fail to provide information required in accordance with paragraph 5? | | | | |
| Answer:  YES  NO  If **yes,** did you inspect this vessel(s) ?  If **not**, what prevented you from achieving this? | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 24 | Did all written inspection reports produced include, at a minimum, the information set out in Annex IV? | | | | |
| Answer:  YES  NO  If **not**, what prevented all information in Annex IV being included? | | | | |
| Were all inspection reports produced forwarded to the competent authority of the inspected vessel and the Secretariat? | | | | |
| Answer:  YES  NO | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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**Please complete the table below for each vessel inspected in accordance with Paragraphs 22-24.**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Vessel name** | **Flag** | **Reason for inspection (including any circumstances described in para 23)** | **Date** | ***Dissostichus* spp on board?** | **Written report forwarded to the competent authority?** | **Written report forwarded to the Secretariat?** | **Report includes info. set out in Annex IV?** |
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| 25 | Did you ensure that inspection reports were forwarded to the competent authority of the inspected vessels and to the Secretariat within 30 days, following the date of the inspection, or as soon as possible if compliance issues which warranted the attention of the competent authority arose? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| If you were unable to transmit within this period, was the Secretariat notified of the reasons for the delay and informed when the report would be submitted by? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 26 | Did you require your vessels to comply with the port State in relation to inspections carried out under CMM 2020/08? | | | | |
| Answer:  YES  NO  Please describe the measures taken and/or any difficulties encountered. | | | | |
|  | Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
|  | Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 27 | Did you have clear grounds to believe that one of your vessels had engaged in IUU fishing and was seeking entry to, or was in the port of another Contracting Party, CNCP or PFE? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| If yes, did you request the relevant CCP to inspect the vessel or take other adequate measures (please describe)? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 28 | Following a port State inspection, did you receive an inspection report indicating that there were clear grounds to believe that one of your vessels had engaged in IUU fishing? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| If yes, did you investigate the matter fully? | | | | |
| YES  NO  NOT APPLICABLE ☐ | | | | |
| If sufficient evidence was found, did you ensure that enforcement action was taken without delay in accordance with your relevant laws and regulation? | | | | |
| Answer:  YES  NO | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 29 | Did you report to the Secretariat on any actions you have taken in respect of vessels flying your flag that, as a result of port State measures taken pursuant to this CMM, have been determined to have engaged in IUU fishing. ? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐  If **not**, what prevented you from achieving this? | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Compliant | Compliant | Compliant | Compliant |
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| --- | --- | --- | --- | --- | --- |
| 30 | Did you provide a report to each ordinary meeting of the Compliance Committee of actions that you have taken pursuant to paragraph 27 ? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐  If **not**, what prevented you from achieving this? | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Compliant | Compliant | Compliant | Compliant |
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**Implementation of CMM 2018/09 (Control)**

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| --- | --- | --- | --- | --- | --- |
| **Para** | **Questions** | | | | |
| 1 | Have you consulted, co-operated, or exchanged information with other CCPs and/or the Secretariat to ensure compliance with SIOFA CMMs? | | | | |
| Answer:  YES  NO  If **yes**, please describe how this was achieved. | | | | |
| If you cooperated with another CCP, which CCP(s)? Did you cooperate with the Secretariat? | | | | |
| Answer: | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 2 | Have you designated the competent authority or authorities which shall act as the Contact Point for the purposes of receiving reports and notifications and issuing authorisations in accordance with the relevant SIOFA CMMs and provided the contacts to the Secretariat? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Have you, during this assessment period, made any subsequent changes to these contacts ? | | | | |
| Answer:  YES  NO  If **yes**, were these notified to the Secretariat without delay?  YES  NO | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 3(a)  3(b) | Did you to ensure that vessels flying your flag carry on board the current, valid documents issued by its competent authority listed in paragraph 6 (c) of CMM 2019/07 . ?  Please describe the arrangements and measures you have implemented | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
|  |  |  |  |  |
| Did you either ensure that vessels flying your flag carry on board valid document issued by its competent authority, containing up to date information listed in paragraph 2 of CMM 2019/07 ; or otherwise agree that the Secretariat shall make this information available upon request for the purpose of control ? ?  In the latter case, have you provided the secretariat with all the necessary documents? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 4 | Did you ensure that vessels flying your flag, and authorised to operate in the Agreement Area, are marked in such a way that they can be readily identified and where possible marked with generally accepted international standards?  Please describe any specific measures taken to ensure that all vessels were marked. | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 5 | Did you ensure that fixed gear used by vessels flying your flag, and authorised to operate in the Agreement Area, are marked following the requirements of paragraph 5 ?  Please describe the arrangements and measures you have implemented. | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 6 | Have you notified the Secretariat of the information regarding the marking of fixed gear used by vessels flying your flag and authorised to operate in the Agreement Area?  If you have already notified the information to the Secretariat, this measure is only applicable if there were changes during the assessment period to be reported. | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 7(a)-(f) | Did you ensure that vessels flying your flag, and authorised to operate in the Agreement Area, have equipment on board to retrieve abandoned, lost or otherwise discarded fishing gear (ALDFG)? | | | | |
| Answer:  YES NO  NOT APPLICABLE ☐ | | | | |
| Is training available to facilitate the recovery of ALDFG?  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
|  |  |  |  |  |
| Have any vessels flying your flag, and authorised to operate in the Agreement Area, lost gear in the Agreement Area? | | | | |
| Answer:  YES  NO  If **gear could not be retrieved**, was the competent authority notified without delay of all the information listed in 7(d)?  YES  NO | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
|  |  |  |  |  |
| Have any vessels flying your flag, and authorised to operate in the Agreement Area, retrieved any other lost gear in the Agreement Area? | | | | |
| Answer:  YES  NO  If **yes**, was the competent authority notified without delay of all information listed in 7(e)?  YES  NO | | | | |
|  | Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
|  |  |  |  |  |
| If you were notified by one of your vessels in accordance with paragraphs 7(d) and/or 7(e), did you notify the Secretariat without delay? | | | | |
| Answer:  YES  NO  NOT APPLICABLE | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 8 | Please describe the arrangements and measures you have implemented to ensure that vessels flying your flag and authorised to operate in the Agreement Area are prohibited from discharging plastics into the sea.  Except as provided in paragraph 9, did any discharge into the sea of plastics from vessels flying your flag occur ? | | | | |
| Answer:  YES  NO  NOT APPLICABLE  If **yes**, please described the reasons. | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 10 | Did you ensure that labelling and storage of frozen products of fishery resources is achieved in accordance with the specifications listed in paragraph 10 (a)-(e) ? Please describe the arrangements and measures you have implemented. | | | | |
| Answer:  YES  NO  NOT APPLICABLE | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 11 | Did you ensure that the scientific observers carried by vessels flying your flag operating in the Agreement Area are qualified and authorised to perform their tasks and record any requested data ? | | | | |
| Answer:  YES  NO  NOT APPLICABLE | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
|  |  |  |  |  |
| 12 | Did you ensure that any vessels flying your flag reports any presumed fishing as defined in the Agreement, including transhipment, by vessels flying the flag of a State or fishing entity which is not a Party to or otherwise cooperating with the Agreement in the Agreement Area ? | | | | |
| Answer:  YES  NO  NOT APPLICABLE | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 13 | Have any of your flagged vessels reported any presumed fishing by non-CCP vessels? | | | | |
| Answer:  YES  NO  NOT APPLICABLE  If **yes**, was all the information listed in paragraph 12 submitted to the Secretariat?  YES  NO | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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**Implementation of CMM 2019/10 (Monitoring)**

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| --- | --- | --- | --- | --- | --- |
| **Para** | **Questions** | | | | |
| 1 | Do the vessels flying your flag maintain either an electronic fishing logbook or a bound fishing logbook? | | | | |
| Answer:  YES  NO  NOT APPLICABLE  If **yes**, please describe the arrangements and measures taken to ensure that the electronic fishing logbook or the bound fishing logbook contain all the information relevant for compliance with the data collection and submission requirements of CMM 2019/02 and CMM 2021/02, and that pages are consecutively numbered. | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 2 (a) |  | | | | | | | | |
| Did you ensure that vessels flying your flag submit their fishing logbook data within 30 days of the completion of a fishing trip in the Agreement Area to their Competent Authority ? | | | | | | | | |
| Answer:  YES  NO  NOT APPLICABLE | | | | | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | | | | | |
| Compliant | Non-Compliant | | | Critically non-compliant | Not Assessed | | | No compliance status assigned |
|  |  | | |  |  | | |  |
| 2(b) | Did you ensure that data referred to in sub paragraph (a) are submitted in accordance with CMM 2021/02 and maintained in accordance with CMM 2016/03 ? | | | | | | | | |
| Answer:  YES  NO  NOT APPLICABLE | | | | | | | | |
|  | Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | | | | | |
| Compliant | | Non-Compliant | | Critically non-compliant | | Not Assessed | | No compliance status assigned |
|  | |  | |  | |  | |  |
| 2(c) | Did you ensure that the quantities of catch recorded on vessels flying your flag correspond to the quantities of catch kept on board ? | | | | | | | | |
| Answer:  YES  NO  NOT APPLICABLE | | | | | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | | | | | |
| Compliant | | | Non-Compliant | Critically non-compliant | Not Assessed | | No compliance status assigned | |
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| --- | --- | --- | --- | --- | --- |
| 3 | Did you receive a request from another CCP for any information contained in the fishing logbooks of vessels flying your flag? | | | | |
| Answer:  YES  NO  If **yes**, were you able to supply this information? | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 4 & 5 | Are all fishing vessels flying your flag and operating in the Agreement Area fitted with an operational automatic location communicator (ALC) unit reporting back to your competent authority? | | | | |
| Answer:  YES NO  NOT APPLICABLE | | | | |
| Did you ensure that ALC units on vessels flying your flag always remain operational while in the Agreement Area ? Please describe the arrangements and measures you have implemented.  YES NO  NOT APPLICABLE | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 6 | Please provide a description of the systems you have developed to maintain a record of all vessel position information reported through VMS and logbooks in accordance with paragraph 6. | | | | |
| Answer: | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 8 (a)-(c) | Did you ensure that VMS position reports were transmitted at least once every 2 hours, in accordance with paragraph 8 (a)-(b) from each fishing vessel flying your flag and included in the SIOFA Record of Authorised Vessels, while operating in the Agreement Area? | | | | |
| Answer:  YES  NO  NOT APPLICABLE | | | | |
| Preliminary CCP self-assessment (indicate assessment with ‘X’). If question is N/A leave blank. | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 9 | Did any fishing vessel flying your flag and included in the SIOFA Record of Authorised Vessels encounter a technical failure or non-operation of the ALC fitted onboard ? | | | | |
| Answer:  YES  NO  NOT APPLICABLE  If **yes**, please describe the circumstances around this. | | | | |
| If **yes**, has the ALC been fixed within a month? | | | | |
| Answer:  YES  NO | | | | |
| If **yes**, has the master of the vessel manually communicated to his FMC the relevant information at least every 4 hours? | | | | |
| Answer:  YES  NO | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 10 | Did you ensure that the ALCs fitted on board vessels flying your flag are tamper resistant following the requirements included in paragraph 10 ? Please describe the arrangements and measures you have implemented. | | | | |
| Answer:  YES  NO  NOT APPLICABLE | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 11 | Have you transmitted any VMS reports to the Secretariat during this assessment period? | | | | |
| Answer:  YES  NO  If **yes**, were these transmitted in full accordance with the format provided in CMM 2019/02 Annex C?  YES  NO | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 14 | During this assessment period, did all vessels flying your flag and included in the SIOFA Record of Authorised Vessels or relevant authorities notify the Secretariat, within 24h and in accordance with paragraph 14 and Annex I, of each entry to or exit from the Agreement Area? : | | | | |
| Answer:  YES  NO  NOT APPLICABLE  Describe any barriers to implementation encountered. | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 15 | Did you ensure that all vessels flying your flag and included in the SIOFA Record of Authorised Vessels only undertake transhipments at sea of fishery resources with other vessels included on the SIOFA Record of Authorised Vessels Please describe the arrangements and measures you have implemented. | | | | |
| Answer:  YES  NO  NOT APPLICABLE | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 16 | Did you ensure that, all vessels flying your flag and included in the SIOFA Record of Authorised Vessels followed the obligations listed in paragraph 16 (a)-(h) when undertaking an at sea transhipment operation? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐  If **not**, describe any barriers to implementation encountered. | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| --- | --- | --- | --- | --- | --- |
| 17 | Did you ensure that all vessels flying your flag undertaking an at sea transfer operation of fuel, crew, gear or any other supplies, notifies its competent authority at least 24 hours in advance of the planned transfer, using all information available required in Annex V? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| If the competent authority was notified of the information of paragraphs 17 (a-c), was the Secretariat notified without delay? | | | | |
| Answer:  YES  NO  NOT APPLICABLE | | | | |
| Did you ensure that the vessel(s) notified all of the operational details to their competent authority, as specified in Transfer Declaration Annex VI, within 24 hours following the transfer ? | | | | |
| Answer:  YES  NO  NOT APPLICABLE | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
|  |  |  |  |  |

|  |  |
| --- | --- |
| 19 | Please describe the arrangements and measures you have implemented Did you take appropriate measures to verify the accuracy of the information received in accordance with paragraphs 16 and 17 ?Please describe the arrangements and measures you have implemented |
| Answer:  YES  NO  NOT APPLICABLE |

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| --- | --- | --- | --- | --- | --- |
| 20 | During this assessment period, have any vessels flying your flag transhipped in a port? | | | | |
| Answer:  YES  NO | | | | |
| If **yes,** were all transhipments conducted with prior authorisation from their competent authority and the port State? | | | | |
| Answer:  YES  NO | | | | |
| Please describe the arrangements and measures you have implemented to ensure vessels flying your flag only tranship in a port if it has prior authorisation from its competent authority and the port State. | | | | |
| Answer: | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 21 | For each transhipment of fishery resources in port, did the competent authority of the CCP of the unloading vessel notify, at least 24 hours in advance, the information provided in paragraph 21 (a)-(d) to the competent authority of the port State and, if known, the competent authority of the receiving vessel? | | | | |
| Answer:  YES  NO  NOT APPLICABLE | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 22 | Where applicable, in the case where the receiving vessel was flying your flag, did you inform the competent authority of the port State of the quantities of fishery resources on board the vessel 24 hours before the transhipment and again 24 hours after the transhipment ? | | | | |
| Answer:  YES  NO  NOT APPLICABLE | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 23 | Did you require vessels flying your flag that were operating as unloading vessels in a port transhipment to submit a transhipment Declaration in accordance with paragraph 23 and the format in Annex IV to their competent authority, and that of the port State, within 24 hours of the transhipment, and to also provide a copy to the receiving vessel ?  Please describe the arrangements and measures you have implemented. | | | | |
| Answer:  YES  NO  NOT APPLICABLE | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 24 | Where applicable in the case where vessels flying your flag were operating as the receiving vessel in a port transhipment, did you submit 48 hours before a landing of the transhipped fishery resources, a copy of the received transhipment Declaration to the competent authority of the port State where the landing takes place ? | | | | |
| Answer:  YES  NO  NOT APPLICABLE | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 25 | Please describe the arrangements and measures you have implemented to verify the accuracy of the information received in accordance with paragraphs 21 to 24. | | | | |
| Answer: | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 26 | Have any vessels flying your flag and included in the SIOFA Record of Authorised Vessels conducted a transhipment or at sea transfer? | | | | |
| Answer:  YES  NO  If **yes**, how many transhipments have been performed? | | | | |
| If yes, did you provide to the Secretariat a report on each transhipment and at sea transfer that includes all the information listed in paragraph 26 (a)-(e) ? | | | | |
| Answer:  YES  NO | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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**Implementation of CMM 2020/11 and 2018/11 (Compliance Monitoring Scheme)[[6]](#footnote-7)**

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| **Para** | **Questions** | | | | |
| 12 | Did you prepare a CCP Compliance Report in full accordance with paragraph 12 and return it to the Secretariat no later than 60 days before the commencement of the Meeting of the Parties (MoP7)? | | | | |
| Answer :  YES  NO | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 16 | Did you provide comments on your respective section of the Draft SIOFA Compliance Report prepared by the Secretariat no later than 30 days before the seventh ordinary Meeting of the Parties in accordance with paragraph 16 and provided information listed in paragraph 16(a) to (f) as appropriate? | | | | |
| Answer :  YES  NO | | | | |
| Please describe any difficulties or barriers experienced in the process of completing your respective part of the SIOFA Compliance Report. How could this be improved? | | | | |
| Answer :  YES  NO | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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**Implementation of CMM 2019/12 (Sharks)**

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| **Para** | **Questions** | | | | |
| 2 | Please describe the arrangements and measures you have implemented to ensure that fishing vessels flying your flag do not target any deep-sea shark species listed in Annex 1 within the Agreement Area. | | | | |
| Answer: | | | | |
| Preliminary CCP self-assessment (indicate assessment with ‘X’). If question is N/A leave blank. | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 3 | Please describe the arrangements and measures you have implemented to ensure that fishing vessels flying your flag record and submit all reporting requirements as per CMM 2019/02 and 2021/02 (Data Standards) for all deep-sea sharks to the lowest taxonomical level possible when caught in SIOFA fisheries. | | | | |
| Answer: | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 5 | Please describe any research that has been undertaken, where possible, to identify ways to make all relevant fishing gears more selective to minimise deep sea shark by-catch. | | | | |
| Answer: | | | | |
| Has this information been provided to the Scientific Committee? | | | | |
| Answer:  YES  NO  NOT APPLICABLE | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 6 | Please describe any research that has been conducted, where possible, to identify shark nursery areas in the Agreement Area. | | | | |
| Has the relevant information been provided to the Scientific Committee?  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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**Implementation of CMM 2019/13 (Mitigation of Seabirds Bycatch)**

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| **Para** | **Questions** | | | | |
| 2 | Please describe the arrangements you have implemented to ensure any demersal long-liners and other demersal fishing gears flying your flag and operating in the Agreement Area apply the mitigation measures listed in paragraph 2. | | | | |
| Answer:  NOT APPLICABLE | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 3(a) | Did any demersal long liners flying your flag and operating in the Agreement Area catch a total of three (3) seabirds in a single season? | | | | |
| Answer:  YES  NO  NOT APPLICABLE  If **yes**, did this vessel change immediately to night setting only (i.e. setting only during the hours of darkness between the times of nautical twilight)?  YES  NO | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 3(c)-(h) | Please describe the arrangements and measures you have implemented to ensure any demersal long-liners flying your flag and operating in the Agreement Area applies the mitigation measures listed in paragraph 3(c)-(h). | | | | |
| Answer:  NOT APPLICABLE | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 4 | Please describe the arrangements and measures you have implemented to ensure that demersal long-liners of less than 25 m, apply at least one of the measures listed in paragraph 4. | | | | |
| Answer:  NOT APPLICABLE | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 5 | Please describe the arrangements and measures you have implemented to require any fishing vessel flying your flag and operating in the Agreement Area using demersal pots or traps ensure the cleanliness of the traps and pots not to attract birds, and ensure that buoy lines shall not be left floating at the surface. | | | | |
| Answer:  NOT APPLICABLE | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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**Implementation of CMM 2019/14 AND 2021/14 [[7]](#footnote-8) (High Seas Boarding and Inspection Procedures)**

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| **Para** | **Questions** | | | | |
| 5 | Did you engage in boarding and inspection activities in the Agreement Area of fishing vessels flying the flag of a CCP that is engaged in or suspected to have engaged in fishing as defined in article 1g of the Agreement for fisheries resources? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 6 | Are the masters of fishing vessels flying your flag required to accept and facilitate boarding and inspections carried out pursuant to this measure? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 7 | Did you engage in boarding and inspection activities in the Agreement Area between a Contracting party and a participating Fishing entity? | | | | |
| Answer:  YES  NO  NOT APPLICABLE  If **yes**, did you transmit a notification to that effect to the Meeting of the Parties 90 days prior to the boarding and inspection?  YES  NO | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 8 | Did you provide this measure or a translation of it to all vessels flying your flag? | | | | | | | | |
| Answer:  YES  NO | | | | | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | | | | | |
| Compliant | | Non-Compliant | | Critically non-compliant | | Not Assessed | | No compliance status assigned |
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| Please describe the arrangements and measures you have implemented to ensure that vessels flying your flag accept and facilitate boarding and inspection by Authorised Inspectors in accordance with the procedures of this measure. | | | | | | | | |
| Answer: | | | | | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | | | | | |
| Compliant | Non-Compliant | | Critically non-compliant | | Not Assessed | | No compliance status assigned | |
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| 9 | Please describe the arrangements and measures you have implemented to ensure that Authorised Inspectors comply with this measure in the conduct of any boarding and inspection activities undertaken under the procedures of this CMM. | | | | |
| Answer: | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 10 | Did you notify the Executive Secretary of two contact points (including name, telephone, fax number and e-mail address) for the purposes of receiving and sending notifications and reports to and from its Authorities of the Fishing Vessel pursuant to this CMM? | | | | |
| Answer:  YES  NO | | | | |
| If any change occurred, did you notify the Secretariat promptly of these changes? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 12& 13 | If you carried out boarding and inspection activities under this measure, did you notify the Executive Secretary of this intention and provide the information listed in paragraph 12? | | | | |
| Answer:  YES  NO | | | | |
| If any change occurred in the information you provided under paragraph 12, did you promptly notify the Executive Secretary of these changes? | | | | |
| Answer:  YES  NO | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 15 | Was a military vessel used for engaging in boarding and inspection activities under this measure? | | | | |
| Answer:  YES  NO | | | | |
| If **yes**, please describe the arrangements and measures you have implemented to ensure that the boarding and inspection is safely carried out by inspectors fully trained in fisheries enforcement procedures and duly authorised for this purpose under national laws | | | | |
| Answer: | | | | |
| Did you ensure that the boarding from such military vessels by Authorised Inspectors conforms to the procedures contained within this measure? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 18 | Did you conclude a bilateral or multilateral arrangement as referred to in paragraph 16? If yes, did you notify the Executive Secretary of this bilateral or multilateral arrangement? | | | | |
| Answer: | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 19 | Did your inspection vessel fly the SIOFA inspection flag ? | | | | |
| Answer :  YES ☐ NO ☐  If not, what prevented you from achieving this? | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 24 | Please describe the arrangements and measures you have implemented to ensure that a maximum of 4 (four) Authorised Inspectors are assigned as part of a boarding team from an Authorised Inspection Vessel. | | | | |
| Answer: | | | | |
| Did it occur that the commanding officer of any Authorised Inspection Vessel assigned additional Authorised Inspectors as part of a boarding team? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐  If **yes**, what were the reasons for this? | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 25 | Were all boarding and inspection conducted under this measure conducted following the requirements identified in paragraph 25? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 26 | Did you ensure that during inspections the authorized inspector(s) applied the measures described in paragraphs 26a to 26e? | | | | |
| Answer:  YES ☐ NO ☐  If not, what prevented you from achieving this? | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 27 & 29 | During the conduct of boarding and inspection activities of a vessel flying your flag, did the master and crew of the fishing vessel flying your flag comply with the requirements of paragraph 27? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| If the master or crew refused to allow an Authorised Inspector to carry out a boarding and inspection in accordance with this measure, did you suspend the vessel’s authorisation to fish and order the vessel to return immediately to port? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐  If **yes**, did you immediately notify the Authorities of the Inspection Vessel and the Executive Secretary of the action it has taken in these circumstances?  YES  NO | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 28 | If the master or crew of any vessel refused to allow an Authorised Inspector under your authority to carry out a boarding and inspection in accordance with this measure, did the Authorities of the Inspection Vessel immediately notify the Authorities of the Fishing Vessel, as well as the Executive Secretary, of the refusal and the explanation offered? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 31 | Did any incident involving the use of force in relation to boarding and inspection under this measure occur? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐  If **yes**, did you ensure this incident was immediately reported to the Authorities of the Fishing Vessel, the Authorities of the Inspection Vessel, as well as to the Executive Secretary?  YES  NO | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 33 & 34 | Was an electronic copy of the boarding and inspection report sent to the Authorities of the inspected vessel, and to the Executive Secretary, within 3 (three) working days of the completion of any boarding and inspection conducted by Authorized Inspectors under your authority? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐  If **not**, what prevented you from achieving this and did you inform the Authorities of the inspected vessel and specify the time period within which the report will be provided? | | | | |
| Was this report consistent with the requirements of paragraph 34? | | | | |
| Answer:  YES  NO | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 35 | Were the Authorities of the Fishing Vessel notified directly and through the Executive Secretary after Authorised Inspectors under your authority observed an activity or condition of a fishing vessel that may constitute a serious violation within the meaning of paragraph 41(alleged serious violation)? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 36 | Upon receipt of a notification of an alleged serious violation in accordance with paragraph 35, describe the arrangements and measures you have implemented to ensure that the Authorities of the Fishing Vessel provide without delay and in any case no later than within 3 (three) full working days an initial response to the Authorities of the Inspection Vessel and the Executive Secretary in accordance with paragraph 36. | | | | |
| Answer: | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 37 | In the case of paragraph 36(a) describe the arrangements and measures you have implemented to ensure that the Authorities of the Inspection Vessel provide to the Authorities of the Fishing Vessel, as soon as practicable, the specific evidence collected. | | | | |
| Answer: | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 38 | In case of a serious violation, was a report of the investigation communicated by the Authorities of the Fishing Vessel to the Executive Secretary and the Authorities of the Inspection Vessel within 2 (two) months of the notification in paragraph 36? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| If the evidence warranted, did you take enforcement action against the fishing vessel in question and notify the Authorities of the Inspection Vessel, as well as the Executive Secretary of any such enforcement action within 6 (six) months of the date of notification at paragraph 36? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 39 | In the case of paragraph 36(b), please describe the arrangements and measures you have implemented to ensure that the specific evidence collected by the Authorised Inspectors, along with the results of any investigation, is provided to the Authorities of the Fishing Vessel and the Executive Secretary immediately upon completion of the investigation and in any case no later than 6 (six) months after the date of the inspection. | | | | |
| Answer: | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 43 | Please describe the arrangements and measures you have implemented to ensure that you can effectively respond to any interference by a fishing vessel flying your flag, or its master or crew, with an Authorised Inspector, or an Authorised Inspection Vessel. | | | | |
| Answer: | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 44 & 45 | Did you report to the Meeting of the Parties through your implementation report required under Article 10(2) or under CMM 2018/11(Compliance Monitoring Scheme) on the boarding and inspections carried out by your Authorised Inspection Vessels, as well as upon possible violations observed? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐  If **not**, please provide some explanations. | | | | |
| Did you include in your implementation report actions that you have taken in response to boarding and inspections that resulted in observation of alleged violations in relation to fishing vessels flying your flag or your nationals, including any proceedings instituted and sanctions applied? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐  If **not**, please provide some explanations. | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 46- 48 | Did any of the Inspection Vessels under your authority identify unauthorised or unidentified vessels of non-CCPs that are fishing in the Agreement Area? | | | | | | | | |
| Answer:  YES  NO  If **yes,** were these vessels reported to the Secretariat?  YES  NO | | | | | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | | | | | |
| Compliant | | Non-Compliant | | Critically non-compliant | | Not Assessed | | No compliance status assigned |
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| Did the Inspection Vessel under your authority attempt to inform the fishing vessel identified pursuant to paragraph 46 that it has been seen or identified as potentially engaging in fishing that undermines the effectiveness of the Agreement or CMMs? | | | | | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐  If **yes**, was this information sent to the Executive Secretary?  YES  NO | | | | | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | | | | | |
| Compliant | Non-Compliant | | Critically non-compliant | | Not Assessed | | No compliance status assigned | |
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| Did the Authorised Inspectors request permission from the fishing vessel to board the vessel identified pursuant to paragraph 46? If the vessel master or the authorities consented to a boarding, were the findings of the subsequent inspection transmitted to the Executive Secretary? | | | | | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | | | | | |
| Compliant | Non-Compliant | | Critically non-compliant | | Not Assessed | | No compliance status assigned | |
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**Implementation of CMM 2020/15 and 2021/15[[8]](#footnote-9) (Management of Demersal Stocks)**

*This CMM is only applicable to CCPs that fish for the species and in the areas covered by it.*

*CCPs that are not concerned by this do not have to answer NOT APPLICABLE.*

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| **Para** | **Questions** | | | | |
| 12 | In order to protect benthic communities and juvenile *Dissostichus* spp, did ensure that any fishing with demersal longlines was prohibited in depths shallower than 500m? | | | | |
| Answer:  YES  NO | | | | |
| Preliminary CCP self-assessment (indicate assessment with ‘X’). If question is N/A leave blank. | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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**Management measures for toothfish in the Del Cano Area**

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| 15 | Did you ensure that the total annual catches of *Dissostichus spp.* in the Del Cano Rise area did not exceed your share of 55 tonnes? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 16  (17 in CMM 2020/15) | Have you sent monthly reports of your *Dissostichus spp.* catches to the Secretariat?  Did you use the template provided in Annex I? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate assessment with ‘X’). If question is N/A leave blank. | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 17  (18 in CMM 2020/15) | Have you ensured that fishing vessels have informed the Secretariat daily of the start and end points of set longlines, in accordance with the template provided in Annex II? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate assessment with ‘X’). If question is N/A leave blank. | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 18  (19 in CMM 2020/15) | Have you ensured that longlines do no exceed 3000 hooks per line, and are set, at a minimum, 3 nautical miles from each other? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate assessment with ‘X’). If question is N/A leave blank. | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 19  (20 in CMM 2020/15) | Have measures been implemented to ensure that vessels not targeting *Dissostichus spp.* do not exceed 0.5t per season of *Dissostichus spp?* | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate assessment with ‘X’). If question is N/A leave blank. | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 24  (25 in CMM 2020/15) | Have you ensured that vessels fishing for *Dissostichus* spp. in the Del Cano Area reported their VMS data automatically to their FMC at least every hour? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
|  | Preliminary CCP self-assessment (indicate assessment with ‘X’). If question is N/A leave blank. | | | | |
|  | Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 25  (26 & 51 in CMM 2020/15) | Did each vessel participating in the toothfish fishery in Del Cano area have at least one scientific observer on board throughout the fishing period with the target of observing 25% of hooks hauled per line? | | | | |
|  | Answer:  YES  NO  NOT APPLICABLE ☐  If **not**, what prevented you from achieving this? | | | | |
|  | Preliminary CCP self-assessment (indicate assessment with ‘X’). If question is N/A leave blank. | | | | |
|  | Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 27 | Were vessels required to tag and release *Dissostichus spp.* at a rate of at least 5 fish per tonne green weight caught? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Once 30 or more *Dissostichus* sppspecimens were caught, was a minimum overlap statistic of at least 60% applied for tag release in Del Cano area? | | | | |
|  | Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
|  | Preliminary CCP self-assessment (indicate assessment with ‘X’). If question is N/A leave blank. | | | | |
|  | Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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**Management and research measures for toothfish in Williams Ridge**

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| 33 (2021)  35 (2020) | Were vessels required to tag and release *Dissostichus spp.* at a rate of at least 5 fish per tonne green weight caught? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Once 30 or more *Dissostichus* sppspecimens were caught, was a minimum overlap statistic of at least 60% applied for tag release in Del Cano area? | | | | |
|  | Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
|  | Preliminary CCP self-assessment (indicate assessment with ‘X’). If question is N/A leave blank. | | | | |
|  | Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 36 (2020) | Have you sent monthly reports of your *Dissostichus spp.* catches to the Secretariat?  Did you use the template provided in Annex I? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate assessment with ‘X’). If question is N/A leave blank. | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 36  (2021) | Did vessels fishing for *Dissostichus spp.* in Williams Ridge send daily reports of their *Dissostichus spp.* catches to the Secretariat using the template provided in Annex III? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Did vessels inform the Secretariat daily on start and end points of set longlines in Williams Ridge, using the template in Annex IV? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
|  | Preliminary CCP self-assessment (indicate assessment with ‘X’). If question is N/A leave blank. | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 39-41 (2020) | Was the Secretariat notified as soon as vessels entered a grid cell to fish for *Dissostichus spp. ?* | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Did you ensure that fishing vessels did not fish in a grid cell before receiving confirmation from the Secretariat in accordance with paragraph 40? | | | | |
|  | Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
|  | Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 38-40 (2021) | Was the Secretariat notified as soon as vessels entered or exited a grid cell to fish for *Dissostichus spp.,* using the entry notification template at Annex V, and in accordance with paragraph 38? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Did you ensure that fishing vessels did not fish in a grid cell before receiving confirmation from the Secretariat in accordance with paragraph 39? | | | | |
|  | Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
|  | Was the Secretariat notified as soon as vessels exited the grid cell in accordance to paragraph 40, using the template provided in Annex VII? | | | | |
|  | Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
|  | Preliminary CCP self-assessment (indicate assessment with ‘X’). If question is N/A leave blank. | | | | |
|  | Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 41 (2021)  42 (2020) | Did you ensure that longlines did not exceed 6250 hooks per line, and were not set across grid cells in Williams Ridge? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 42 (2021)  44 (2020) | Did you ensure that no more than two lines in total were set per grid for the duration of the fishing season of *Dissostichus spp*.? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 43 (2020) | Did vessels inform the Secretariat daily on start and end points of set longlines in Williams Ridge ? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate assessment with ‘X’). If question is N/A leave blank. | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 44 (2021)  (46 (2020) | Did you ensure that vessels fishing for *Dissostichus spp.* in Williams Ridge applied a break of a minimum of 30 days between consecutive trips to Williams Ridge? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 45  (2021)  47 (2020) | Did you ensure that vessels not targeting *Dissostichus spp.* did not exceed a catch of 0.5 tonnes of *Dissostichus spp.* per season in Williams Ridge? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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| 49 (2021)  52 (2020) | Did you ensure that vessels participating in the fishery had at least one scientific observer on board throughout all fishing activities within the fishing period, with the target of observing 25% of hooks hauled per line over the duration of the fishing deployment? | | | | |
| Answer:  YES  NO  NOT APPLICABLE ☐ | | | | |
| Preliminary CCP self-assessment (indicate status with ‘X’). Please leave blank if self-assessment is non-applicable | | | | |
| Compliant | Non-Compliant | Critically non-compliant | Not Assessed | No compliance status assigned |
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**Compliance Categories**

1. For the purposes of this CMM, “Compliance Status” refers to a CCP’s compliance with an obligation contained in the Agreement or a SIOFA CMM. ‘Criteria’ provides guidance to CCPs, the Compliance Committee and the Meeting of the Parties on how to determine which Compliance Status should be assigned in respect of a given compliance issue. ‘Follow up action/Response’ sets out possible actions or responses that may be proposed or recommended to be taken in respect of a compliance issue. Such actions and responses shall take account of the relevant CCP’s responses and corrective actions to address any compliance issues identified.
2. Remedial or corrective actions that may be considered as part of follow up actions could include:
   1. Reviewing or clarifying issues, which could include requesting additional information to resolve an information gap, clarifying existing information, specifying a question where further information is needed or seeking an explanation of the compliance issue within a given timeframe.
   2. Requesting that the relevant CCP cease the non-compliant conduct, in general or specific terms, and providing a clear deadline by which time compliance is to be achieved and information demonstrating compliance provided to the Meeting of the Parties.
   3. Cooperation and capacity building to address non-compliance where a State may not have the capacity to ensure compliance with SIOFA measures.
   4. Institutional responses to provide an effective deterrent for non-compliance, including, for example or limiting access to fisheries resources until the issue is addressed and resolved to the satisfaction of the Meeting of the Parties. Such recommendations shall take account of the relevant CCP’s responses

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| Compliance Status | Criteria | Follow up action / Response |
| Compliant | This compliance rating may be used where, following review, it is determined that there is no compliance issue with respect to the relevant obligation, including meeting-related deadlines, all requested information has been submitted in the appropriate formats and/or having investigated and appropriately addressed any alleged violations. | No further action required. |
| Non-compliant | This compliance rating may be used for cases such as:   1. Information or data has been submitted or reported in a way that is incomplete, incorrect, wrongly formatted or is otherwise insufficient. This could also refer to inadequate responses to the CCR which compromise the effectiveness of the CMS; 2. Failure to meet reporting or submission deadlines; 3. Failure to meet a SIOFA obligation, including implementation deadlines, which does not fall into the category of ‘critically non-compliant’. 4. Other actions or omissions that constitute an infringement of relevant obligations; | Determine if the relevant CCP has already taken appropriate action and/or if action is required.  If necessary, the Meeting of the Parties may make a recommendation on any action that may be required to respond to and rectify non-compliance, and/or improve implementation of relevant obligations. The Meeting of the Parties may also consider technical assistance or capacity building may be required. The CCP shall report on follow-up actions taken in advance of the next ordinary Meeting of the Parties. The relevant CCP shall commit to addressing the identified issue for the next compliance assessment period |
| Critically non-compliant | This compliance rating may be used for cases such as:   1. Engaging in fishing in any areas closed to fishing by the Meeting of the Parties; 2. Repeated rating of non-compliant with the same obligation for the second consecutive year; 3. Failure to comply with previous CMS recommendations adopted by the Meeting of the Parties for two or more consecutively assessed years; or 4. Repeated non-compliance with an obligation for two or more consecutively assessed years. 5. Exceeding the catch or effort limits established pursuant to paragraph 10(1) of CMM 2019/01 and 2020/01(3), or any other catch or effort limits established by the Meeting of the Parties; 6. Failure to provide its annual CCR required by Article 10(2) of the Agreement or the National Report required by paragraph 9 of CMM 2021/02; | The Meeting of the Parties identifies remedial or follow-up actions to address instances of seriously non-compliance taking into account paragraph 2 of this Annex. The CCP shall report on follow-up actions taken to in advance of the next ordinary meeting of the Compliance Committee or Meeting of the Parties as appropriate. |
| Not assessed | This compliance rating may be used for cases where there is ambiguity in the relevant obligation, or that there is a technical impediment to compliance. | Meeting of the Parties to review relevant obligation, clarify the obligation and, if necessary, amend relevant provisions. |
| No compliance status assigned | This compliance rating may be used for cases of emergency relating to the safety of a ship and those on board, or safety of life at sea, which resulted in the a compliance issue. | No further action required. |

1. ‘Not assessed’ means there is ambiguity in the relevant obligation, or that there is a technical impediment to compliance. This is not to be confused with “Not Applicable”. [↑](#footnote-ref-2)
2. both dates inclusive [↑](#footnote-ref-3)
3. CMM 2019/01 was in force until March 21st 2021 and CMM 2020/01 came into force on March 22nd 2021 [↑](#footnote-ref-4)
4. CMM 2019/02 was in force until October 23rd 2021 and CMM 2021/02 came into force on October 24th 2021 [↑](#footnote-ref-5)
5. CMM 2017/08 was in force until March 21st 2021 and CMM 2020/0801 came into force on March 22nd 2021 [↑](#footnote-ref-6)
6. CMM 2018/11 was in force until 21st March 2021, and CMM 2020/11 came into force on 22nd of March 2021 [↑](#footnote-ref-7)
7. CMM 2019/14 was in force until 23rd October 2021, and CMM 2021/14 came into force on October 24th [↑](#footnote-ref-8)
8. CMM 2020/15 was in force until October 23rd 2021 and CMM 2021/15 came into force on October 24th 2021 [↑](#footnote-ref-9)