

Original: English

RESOLUTION BY ICCAT ESTABLISHING GUIDELINES FOR THE IMPLEMENTATION OF THE RECOMMENDATION BY ICCAT ON PENALTIES APPLICABLE IN THE CASE OF NON-FULFILMENT OF REPORTING OBLIGATIONS [11-15]

(Proposed by the United States)

RECALLING that the Commission considered draft guidelines to facilitate the application of Recommendation 11-15 in 2012;

FURTHER RECALLING that the Commission, through its Compliance Committee, applied these draft guidelines on a trial basis in 2013 and 2014;

RECOGNIZING the utility of the draft guidelines and agreeing that their application should continue;

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

1. The Commission will follow the schedule and steps set forth below to guide application of paragraph 3 of Recommendation 11-15:

Data review year (starting in 2013 and annually thereafter)	Following the decision on retention prohibition
<ol style="list-style-type: none">1. CPCs submit Task I data to the Secretariat in accordance with Commission requirements and SCRS procedures;2. Secretariat, in consultation with the SCRS, compiles and circulates a report to the COC and CPCs detailing data submission status by species or stock (e.g., complete, incomplete, or missing) for each CPC;3. COC reviews the report and any other relevant information provided by the Secretariat, the SCRS, and CPCs. Based on this review, the COC identifies in its report those CPCs that did not submit required data (i.e., data are missing or incomplete) and notifies them that they are prohibited from retaining the concerned species/stock from the relevant fishery as of the following year unless and until the data are provided to the Secretariat.4. COC also considers if any other actions consistent with Recommendations 05-09 and/or 06-13 should be recommended.	<ol style="list-style-type: none">1. CPCs with a finding of "missing" or "incomplete" data submissions cannot retain those species;2. Such CPCs should seek to rectify the situation by sending the missing data to the Secretariat as soon as feasible;3. In consultation, as necessary and appropriate, with the Chairs of the COC and the Commission, the Secretariat will review the new data submission in a timely manner to determine if it is complete. If the data appear to be complete, the Secretariat will promptly inform the CPC in question that it can resume retention of the concerned species/stock in the relevant fishery.4. At the Annual Meeting following the intersessional provision of data and the decision to permit resumption of retention, the COC reviews this decision and, if it considers that data are still incomplete, the COC will again take the actions specified in the previous column, paragraphs 3 and 4.

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2. To facilitate the reporting of zero catches as required under paragraph 3 of Recommendation 11-15, the following process and procedures will apply:
 - a. As part of the ST02-T1NC electronic form used to report nominal catches, the Secretariat will include a matrix by stock and main ICCAT gear groups (see **Annex** for example reporting matrix), as recommended in the protocol developed by the SCRS*.
 - b. CPCs, as part of their Task I nominal catch data reporting, will complete the cells in the matrix with either a value of ‘one’ (1) to indicate where that CPC had catches (positive catch) for a particular stock/gear combination or a value of ‘zero’ (0) to indicate where that CPC had no catches (zero landings + zero discards) for a particular stock/gear combination.
 - c. The ‘Catch attributes’ section of the electronic form ST02-T1NC will only include reports of positive catches.
 - d. In light of the terms of Recommendation 11-15, consideration will be given to expanding the matrix in the future to include additional stocks/species under the competence of ICCAT as well as other stock/gear combinations, as appropriate.

* Available as COC_306.

EXAMPLE REPORTING MATRIX

T1 "zero" catch matrix			Gear grp codes												
			LL	PS	BB	HL	TP	TW	TR	GN	HP	RR	HS	TL	TN
			Gear codes												
Species group	Species (code /sci. name)	Stock/MUnit	LL	PS	BB	HAND	TRAP	TRAW	TROL	GILL	HARP	RR	HS	TL	TN
Major temperate tunas	ALB <i>Thunnus alalunga</i>	ALB-N ALB-S ALB-M													
	BFT <i>Thunnus thynnus</i>	BFT-E BFT-W													
Major tropical tunas	BET <i>Thunnus obesus</i>	BET-A													
	SKJ <i>Katsuwonus pelamis</i>	SKJ-E SKJ-W													
	YFT <i>Thunnus albacares</i>	YFT-E YFT-W													
	SWO <i>Xiphias gladius</i>	SWO-N SWO-S SWO-M													
Major tuna like sp.	BUM <i>Makaira nigricans</i>	BUM-N BUM-S													
	WHM <i>Tetrapturus albidus</i>	WHM-N WHM-S													
	SAI <i>Istiophorus albicans</i>	SAI-E SAI-W													
	SPF <i>Tetrapturus pfluegeri</i>	SPF-E SPF-W													
Small tuna species	BON <i>Sarda sarda</i>	(all)													
	LTA <i>Euthynnus alletteratus</i>	(all)													
	KGM <i>Scomberomorus cavalla</i>	(all)													
	FRI <i>Auxis thazard</i>	(all)													
	SSM <i>Scomberomorus maculatus</i>	(all)													
	BRS <i>Scomberomorus brasiliensis</i>	(all)													
Major shark species	BSH <i>Prionace glauca</i>	BSH-N BSH-S													
	POR <i>Lamna nasus</i>	POR-N POR-S													
	SMA <i>Isurus oxyrinchus</i>	SMA-N SMA-S													
Other regulated sharks species	FAL <i>Carcharhinus falciformis</i>	(all)													
	SPK <i>Sphyrna mokarran</i>	(all)													
	SPL <i>Sphyrna lewini</i>	(all)													
	SPZ <i>Sphyrna zygaena</i>	(all)													
	OCS <i>Carcharhinus longimanus</i>	(all)													
	ALV <i>Alopias vulpinus</i>	(all)													
	BTH <i>Alopias superciliosus</i>	(all)													
	PTH <i>Alopias pelagicus</i>	(all)													

Gear grp codes

GearGrpCode	GearGroup
LL	Longline
PS	Purse seine
TP	Trap
BB	Bait boat
TW	Trawl
TR	Troll
GN	Gillnet
RR	Rod & Reel
TN	Trammel net
TL	Tended line
HP	Harpoon
SU	Surface Uncl.
HS	Haul Seine
HL	Handline
SP	Sport
MP	Multi-purpose