

ISSF Annual Conservation Measures & Commitments Compliance Report

June 2015

Overview

The following report details the progress being made by ISSF participating companies in achieving full compliance with all ISSF Conservation Measures and Commitments in force as of 31 December 2014.

Per the [ISSF Strategic Plan](#):

- ISSF tracks adherence by ISSF participating companies with all in force ISSF conservation measures and commitments
- ISSF will publicly report on ISSF participating company compliance on at least an annual basis
- Verification of ISSF participating company compliance will be conducted by external, non-ISSF resources
- Where less than full compliance is achieved, mitigation measures will be required within a specific timeframe, after which those demonstrating major non-conformance will be referred to an ISSF compliance committee

Audit Process

In 2014, ISSF further strengthened its independent auditing and reporting process. ISSF engaged MRAG Americas to review and improve ISSF's audit process, as well as to conduct an audit of the performance of the participating companies against the conservation measures and commitments in-force in 2014.

As a result, for 2014 ISSF is delivering an additional level of clarity to provide interested stakeholders with greater definition and explanation of conformance by individual measure. Categories of conformance now include:

	Conformance	Company can provide evidence of full compliance
	Minor Non-Conformance	<p>Company does not fully comply with a particular conservation measure or commitment, but this does not compromise the integrity of ISSF initiatives</p> <p><i>Example: Participating Company CEO Certificate of Compliance includes some, but not all, required elements</i></p>
	Major Non-Conformance	<p>Company does not comply with a particular conservation measure or commitment and this compromises the integrity of ISSF initiatives</p> <p><i>Example: Participating Company does not submit CEO Certificate of Compliance.</i></p>

The results included in this report are the product of MRAG's independent, third party audit of information provided directly to the auditor by ISSF participating companies or obtained from other sources such as RFMO reports or the PVR, as detailed in the established [Audit Protocol](#).

Tracking Continuous Improvement

This report details the level of compliance with each conservation measure or commitment and aggregates compliance by company. Individual companies are not identified in this report; an individual company may choose to share its specific results directly with a stakeholder upon request.

This report will be updated periodically throughout the year to reflect any improvements in compliance by ISSF participating companies with conservation measures and commitments in force as of 31 December 2014. Any conservation measures in-force beginning in 2015 will not be reported until ISSF's 2015 annual report, published in 2016.

All Company Public Report

Compliance Overview

DEC. 2014 AUDIT RESULTS (24 COMPANIES AUDITED)

ALL COMPANIES; ACROSS ALL MEASURES

79.8%

Conformance

19%

Minor Non-
Conformance

1.2%






Major Non-
Conformance

20 of 24 Companies Fully Compliant or Minor Non-conformance, All Measures

MRAG's audit showed that on eighteen of the conservation measures at least two companies had minor non-conformances. These minor non-conformances generally involved instances in which participating companies provided documentation showing some, but not full, compliance with a conservation measure, which in MRAG's view did not compromise the integrity of ISSF initiatives.

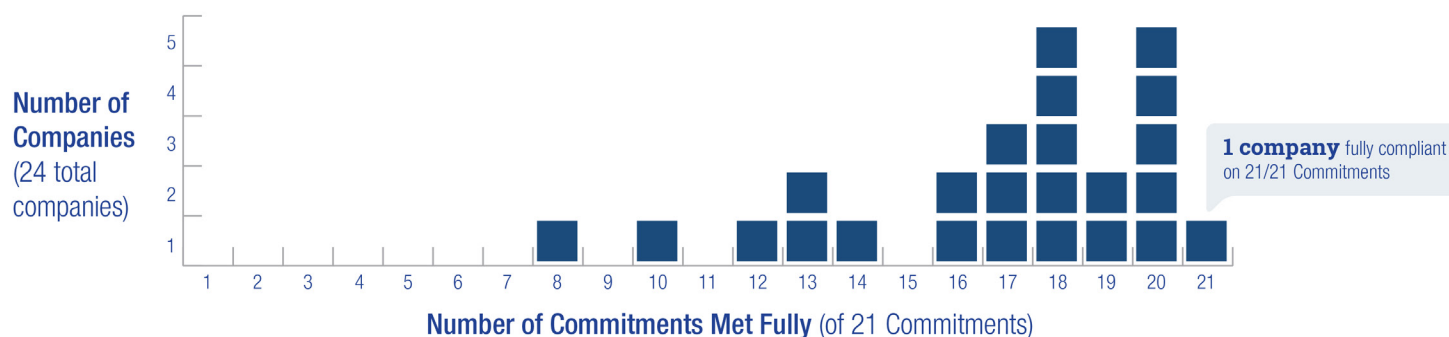
MRAG's audit also showed that major non-conformance occurred on five of the 21 audited conservation measures and commitments. These major non-conformances involved instances where a participating company could not demonstrate any compliance with a particular conservation measure.

CONSERVATION MEASURES AND COMMITMENTS WHERE MAJOR NON-CONFORMANCE OCCURRED:

 No transactions in tuna caught by vessels not on the authorized vessel record of the RFMO	<i>One company purchased from more than one vessel that was not listed on the relevant RFMO record</i>
 Company provides URL for statement regarding % of purchases from PVR vessels	<i>One company did not publicly report the percentage of purchases in 2014 from vessels on the PVR</i>
 Company provides URL for PVR statement of support	<i>One company did not provide any evidence that it maintains a statement of support for the PVR</i>
 Skippers are ISSF trained: participate in training on best practice	<i>One company did not provide evidence that the skippers of several of the purse seine vessels from which it purchased met this requirement</i>
 Purse seine vessels must retain all skipjack, yellowfin and bigeye tuna. Full retention will pertain to every fishing trip, in the presence of an observer	<i>Two companies did not provide evidence of a system to ensure that all purse seine vessels from which they purchased tuna in 2014 practiced full retention</i>









All instances of company major non-conformance will be referred to a compliance committee for review and further action as necessary.

LEVEL OF INDIVIDUAL ISSF PARTICIPATING COMPANY COMPLIANCE (ALL 24 COMPANIES)



ISSF PARTICIPATING COMPANY COMPLIANCE BY CONSERVATION MEASURE (ALL 24 COMPANIES)

	RFMO Data Support	Provide data to RFMO scientific bodies	Fully compliant: 2 Minor non-conformance: 22
	Withdrawal if IUU Found	Warrant that tuna products comply with ISSF resolution 09-01 – IUU Fishing – & upon discovery of a violation, will withdraw product from the marketplace	Fully compliant: 18 Minor non-conformance: 6
	Traceability	Trace tuna products from capture to plate	Fully compliant: 21 Minor non-conformance: 3
	Authorized RFMO List	No transactions in tuna caught by vessels not on the authorized vessel record of the RFMO	Fully compliant: 20 Minor non-conformance: 3 Major non-conformance: 1
	IMO UVI	No transactions in tuna caught by vessels subject to RFMO listing & capable of being registered by IMO that have not registered with IMO and received an IMO UVI	Fully compliant: 17 Minor non-conformance: 7
	Large-Scale Pelagic Driftnets	No transactions in tuna caught by large-scale pelagic driftnets	Fully compliant: 24
	Policy for Prohibition of Shark Finning	Establish & publish company policy prohibiting shark finning	Fully compliant: 22 Minor non-conformance: 2
	No Transactions with Vessels that Carry Out Shark Finning	No transactions with vessels that carry out shark finning or have been determined to have been conducting shark finning for a period of 2 years after the conclusion of the investigation making such determination, provided there are no further incidents	Fully compliant: 19 Minor non-conformance: 5
	No Transactions with Companies that Do Not Have a Public Policy Against Shark Finning	No transactions with companies that do not have a policy prohibiting shark finning	Fully compliant: 19 Minor non-conformance: 5
	No IUU Listing	No transactions with vessels on an RFMO IUU list, no matter where fishing	Fully compliant: 21 Minor non-conformance: 3
	Reporting % of PVR Purchases	Company provides URL for statement regarding % of purchases from PVR vessels	Fully compliant: 16 Minor non-conformance: 7 Major non-conformance: 1
	No Transshipment	No transactions in purse seine caught tuna where transportation included transshipment at sea, except when exempt per Resolution 12-03	Fully compliant: 19 Minor non-conformance: 5
	RFMO Participation	Must be flagged to a member or cooperating non-member of the relevant RFMO or have applied for such status	Fully compliant: 22 Minor non-conformance: 2

	Unique Vessel Identifier (UVI)	Purse seine vessels must have a UVI regardless of RFMO vessel registry listing requirements such as size and fishing area	Fully compliant: 19 Minor non-conformance: 5
	Skippers Training	Skippers are ISSF trained: participate in training on best practice	Fully compliant: 19 Minor non-conformance: 4 Major non-conformance: 1
	Observers	Evidence of 100% observer coverage (human or electronic per ISSF guidance) through trip reports, RFMO data, agreement or contract with observer provider, etc.	Fully compliant: 18 Minor non-conformance: 6
	Full Retention	Purse seine vessels must retain all skipjack, yellowfin and bigeye tuna. Full retention will pertain to every fishing trip, in the presence of an observer	Fully compliant: 18 Minor non-conformance: 4 Major non-conformance: 2
	Certificate of Compliance¹	Submit CEO Certificate of Compliance	Fully compliant: 24
	Register All Controlled Purse Seine Vessels on PVR	Register all controlled purse seine vessels on the PVR	Fully compliant: 22 Minor non-conformance: 2
	PVR Statement of Support	Company provides URL for PVR statement of support	Fully compliant: 18 Minor non-conformance: 5 Major non-conformance: 1
	Capacity	Demonstrate that all purchases from large-scale purse seine vessels are from vessels on the ISSF Record of Large-Scale Purse Seine Vessels. If a vessel is not present on the Record, the company shall provide evidence that the vessel meets the provisions of 14-06.4 so that it may be added	Fully compliant: 24

¹The Compliance Policy requires each ISSF Participating Company to submit an Annual Compliance Certification, signed by the CEO or other high-level person, covering the prior calendar year certifying that they completed an internal review of procedures to confirm that the member maintained adequate records of compliance, adequately trained staff responsible for compliance and either complied with all in-force ISSF conservation measures or disclosed any found instances of non-compliance. If such a review reveals non-compliance, the member must describe the non-compliance as well as outline the steps the member will take to come into compliance along with a timetable for doing so.

The certification provides a participating company's assessment of its compliance; however, the audit process may identify areas of non-conformance that may or may not have been discovered by the company.

RFMO Data Support



Withdrawal if IUU Found



Traceability



Authorized RFMO List



IMO UVI



Large-Scale Pelagic Driftnets



Policy for Prohibition of Shark Finning



No Transactions with Vessels that Carry Out Shark Finning


No Transactions with Companies that Do
Not Have a Public Policy Against Shark Finning


No IUU Listing



Reporting % of PVR Purchases



No Transshipment



RFMO Participation



Unique Vessel Identifier (UVI)



Skippers Training



Observers



Full Retention



Certificate of Compliance



Register All Controlled Purse Seine Vessels on PVR



PVR Statement of Support



Capacity

