

## ISSF Annual Conservation Measures & Commitments Compliance Report

June 2016

### 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 2015.




Per the [ISSF Strategic Plan](#):

- ISSF tracks adherence by ISSF participating companies with all ISSF conservation measures
- 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 as described in the [ISSA Compliance Policy](#)

### Audit Process

ISSF engaged MRAG Americas to conduct an audit of the performance of the participating companies against the conservation measures and commitments in-force in 2015. MRAG developed the following categories of conformance that provide interested stakeholders with an explanation of conformance by individual measure:

### CATEGORIES OF COMPLIANCE

	<b>Conformance</b>	Company can provide evidence of full compliance
	<b>Minor Non-Conformance</b>	Company does not fully comply with a particular conservation measure or commitment, but this does not compromise the integrity of ISSF initiatives <i>Example: Participating Company submitted RFMO data beyond the stated deadline.</i>
	<b>Major Non-Conformance</b>	Company does not comply with a particular conservation measure or commitment and this compromises the integrity of ISSF initiatives. <i>Example: Participating Company did not submit RFMO data.</i>

The auditors may also make a finding of "Observation" with regard to a particular conservation measure when a Participating Company is in conformance with that measure, but there is a high risk that a non-conformance could occur inadvertently without implementing preventative action. In addition, in some circumstances where a particular conservation measure is not applicable to a Participating Company, the audit report will contain an "N/A" finding. Both of these findings are considered as a Conformance as described above for reporting purposes.

The results included in this document are based on the independent, third party audit of data provided directly to the auditor by ISSF participating companies, conducted in accordance with the established [Audit Protocols](#) and show the status of compliance by participating companies at the time MRAG issued its final reports in April 2016.

## Tracking Continuous Improvement

This report details the level of compliance with each conservation measure or commitment and presents aggregate compliance by individual company. A summary view of each company's compliance is presented here, and each company's full compliance audit results as reported by MRAG are [available on the ISSF website](#).

This report will be updated in the fourth quarter of 2016 to reflect any improvements in compliance by ISSF participating companies with conservation measures and commitments in force as of 31 December 2015. Improvements in a company's compliance made before the updated report will be noted in the individual company's compliance report, available on the ISSF website. Compliance with conservation measures in-force beginning in 2016 will be reported in ISSF's 2016 annual report, published in 2017.

# All Company Public Report

## COMPLIANCE OVERVIEW

### 2015 AUDIT RESULTS (25 COMPANIES AUDITED)

#### ALL COMPANIES; ACROSS ALL MEASURES

87.2%

Conformance

11.6%

Minor Non-  
Conformance

1.2%

Major Non-  
Conformance

22 of 25 Companies Fully Compliant or Minor Non-conformance, All Measures

MRAG's audit showed that on eleven 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 four of the 20 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:



#### Quarterly data submission to RFMOs

*None of the companies submitted any evidence that they submitted the required data to the relevant RFMOs*



#### Skipper best practices

*Company did not provide evidence that skippers on several purse seine vessels not on the PVR had completed best practices education as required*



#### All purchases must be from vessels with an IMO number if vessel is capable of being registered by IMO

*Company did not provide evidence of a system to ensure that all relevant purchases are from vessels with IMO*



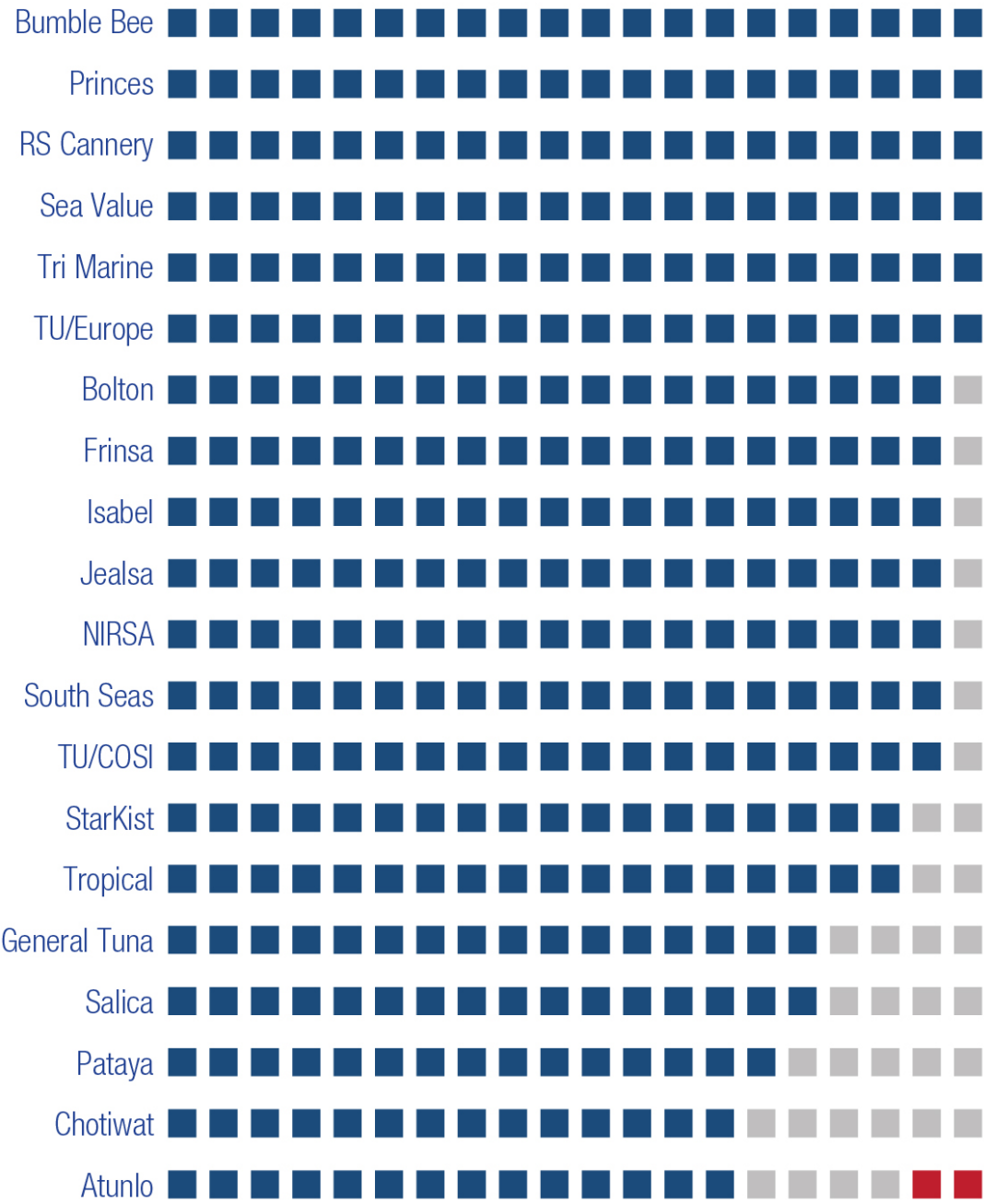
#### Registration of Controlled Vessels on the PVR

*Company did not provide a list of controlled vessels or indicate that it did not own or control any purse seine vessels*

AGGREGATE COMPLIANCE BY COMPANY, BY COMPANY MEMBERSHIP TYPE (ALL 25 COMPANIES\*)

\*Companies are listed in order of level of compliance, then alphabetically

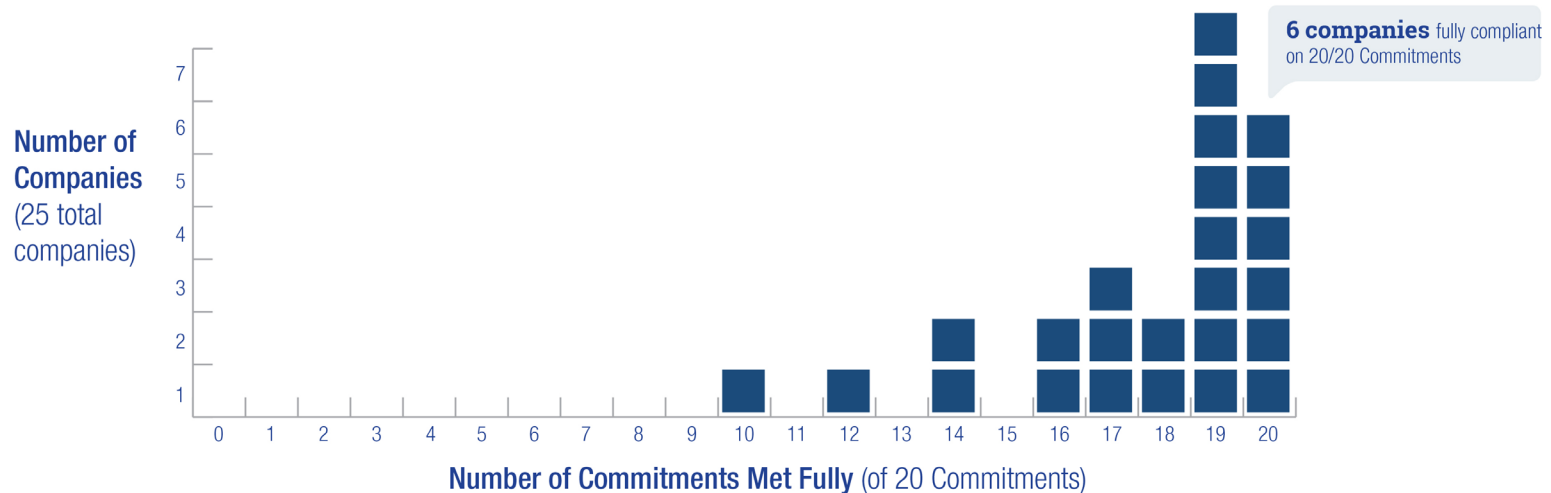
Founder/Full Members



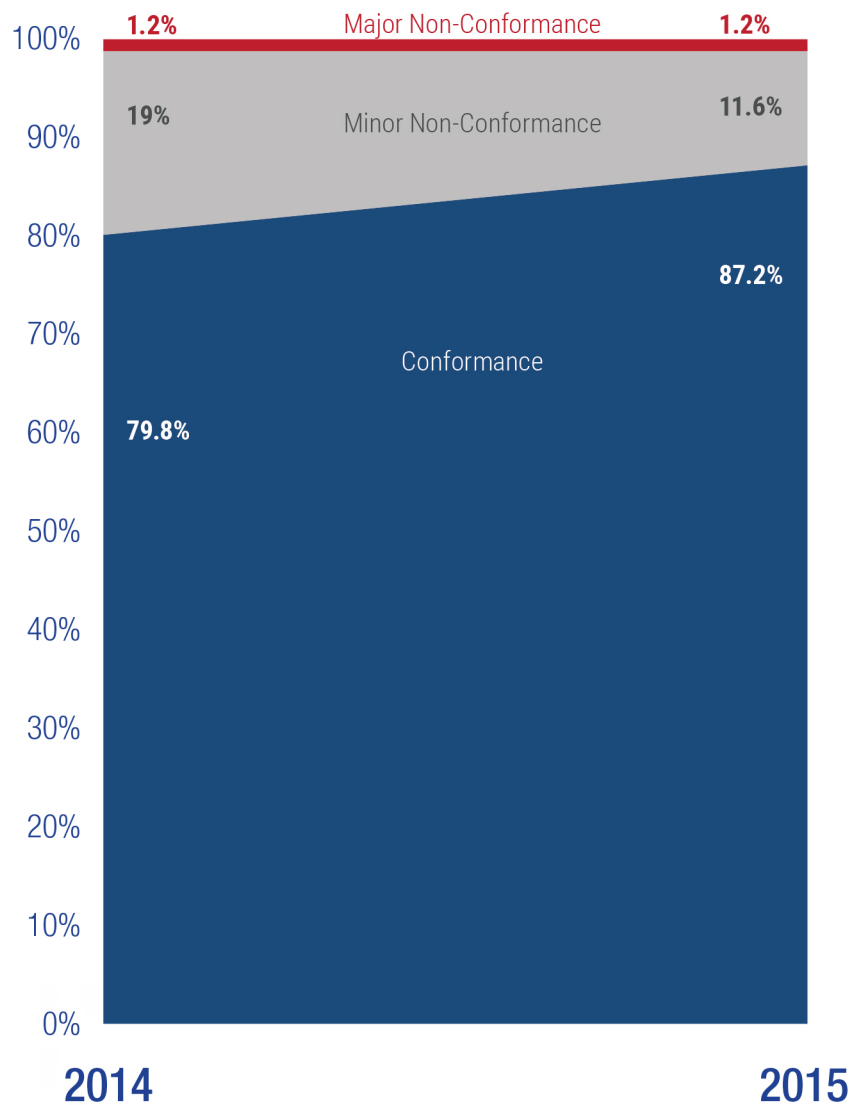
Associate Members



# LEVEL OF INDIVIDUAL ISSF PARTICIPATING COMPANY COMPLIANCE (ALL 25 COMPANIES)












# CHANGE OVER TIME AGGREGATE COMPLIANCE (ALL COMPANIES)



## ISSF PARTICIPATING COMPANY COMPLIANCE BY CONSERVATION MEASURE (ALL 25 COMPANIES)

	<b>1.1 RFMO Authorized Vessel Record</b>	All purchases must be from vessels listed on the authorized vessel record of the RFMO governing the ocean area in which the tuna was caught, at the time of the fishing trip, so long as the vessel is of a size subject to listing in the RFMO authorized vessel record.	<b>Fully compliant: 20</b> <b>Minor non-conformance: 5</b>
	<b>1.2 RFMO Participation</b>	All purchases must be from vessels flagged to a member or cooperating non-member of RFMO relevant to fishing area.	<b>Fully compliant: 25</b>
	<b>2.1 Product Traceability</b>	Participating company must demonstrate ability to trace products from can code or sales invoice to vessel and trip.	<b>Fully compliant: 23</b> <b>Minor non-conformance: 2</b>
	<b>2.2 Quarterly Data Submission to RFMO</b>	Send information as described in the measure to RFMO scientific bodies for each quarter by the last day of the following calendar quarter.	<b>Fully compliant: 13</b> <b>Minor non-conformance: 9</b> <b>Major non-conformance: 3</b>
	<b>3.1 (a) Shark Finning Policy</b>	Company establishes and publishes policy prohibiting shark finning.	<b>Fully compliant: 25</b>
	<b>3.1 (b) Prohibition of Transaction with Shark Finning Vessels</b>	Refrain from transactions with vessels that have shark finned within two years of the product purchase date (as found by RFMO or competent national authority).	<b>Fully compliant: 23</b> <b>Minor non-conformance: 2</b>
	<b>3.1 (c) Prohibition of Transaction with Companies w/o Public Policy</b>	No transactions with companies that do not have a public policy prohibiting shark finning.	<b>Fully compliant: 16</b> <b>Minor non-conformance: 9</b>
	<b>3.2 Large-Scale Pelagic Driftnets</b>	No transactions with vessels using large-scale pelagic driftnets.	<b>Fully compliant: 25</b>
	<b>3.3 (a) Full Retention of Tunas</b>	All purse seine caught tuna (skipjack, yellowfin and bigeye) retained onboard, except those unfit for human consumption as defined, or when in the final set of a trip, there is insufficient well space to accommodate all fish caught in that set.	<b>Fully compliant: 18</b> <b>Minor non-conformance: 7</b>
	<b>3.4 Skipper Best Practices</b>	Unless exempt per Conservation Measure 8.1, skipper has attended an ISSF Skippers Workshop in person, has viewed the Skippers Workshop video online, or has reviewed the Skippers Guidebook.	<b>Fully compliant: 16</b> <b>Minor non-conformance: 8</b> <b>Major non-conformance: 1</b>
	<b>4.1 Unique Vessel Identifiers – IMO</b>	All purchases must be from vessels with an IMO UVI number if the vessel is capable of being registered by IMO.	<b>Fully compliant: 23</b> <b>Minor non-conformance: 1</b> <b>Major non-conformance: 1</b>

	<b>4.2 Purse Seine Unique Vessel Identifiers</b>	All purse seine vessels with which the company transacts in tuna, and which are not able to receive an IMO UVI number, must have a TUVI issued by CLAV or ISSF.	<b>Fully compliant: 21</b> <b>Minor non-conformance: 4</b>
	<b>4.3 (a) Observer Coverage</b>	Evidence of 100% observer coverage (human or electronic) on large-scale purse seine vessels unless exempt or prevented by force majeure.	<b>Fully compliant: 22</b> <b>Minor non-conformance: 3</b>
	<b>4.4 (a) Transshipment</b>	No transactions in tuna where transportation included transshipment, except when exempt.	<b>Fully compliant: 25</b>
	<b>5.1 IUU Fishing</b>	No transactions with vessels on any tuna RFMO IUU vessel list.	<b>Fully compliant: 24</b> <b>Minor non-conformance: 1</b>
	<b>5.2 IUU Product Response</b>	No IUU purchases. If IUU found, company must withdraw these products from the marketplace.	<b>Fully compliant: 21</b> <b>Minor non-conformance: 4</b>
	<b>6.1 Transaction Ban for Large Scale Purse Seine Vessels Not Actively Fishing for Tuna as of 12/31/2012</b>	Demonstrate that all purchases from large-scale purse seine vessels are from vessels actively fishing for tuna as of December 31, 2012 and listed on the ISSF Record of Large-Scale Purse Seine Vessels (Record).	<b>Fully compliant: 23</b> <b>Minor non-conformance: 2</b>
	<b>6.2 Requirements for Inclusion in ISSF Record of Large Scale Purse Seine Vessels</b>	Demonstrate that purchases are from large-scale purse seine vessels that meet the requirements for inclusion on the ISSF Record.	<b>Fully compliant: 25</b>
	<b>7.1 Registration of Controlled Vessels</b>	Register all controlled purse seine vessels on the PVR.	<b>Fully compliant: 23</b> <b>Minor non-conformance: 1</b> <b>Major non-conformance: 1</b>
	<b>8.1 Exemption for Very Small Purse Seine Vessels</b>	Very small purse seine vessels (less than 30 GT) are exempted from the following ISSF Conservation Measures: 3.4 Skipper Best Practices 4.2 Purse Seine Unique Vessel Identifiers 4.4(a) Transshipment	<b>Fully compliant: 25</b>