

Update to ISSF Conservation Measures & Commitments Compliance Report

November 2017

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 2016.

This report updates the ISSF Annual Conservation Measures & Commitments Compliance Report published in May 2017 and reflects efforts by ISSF participating companies to improve on those instances where less than full compliance was achieved. Remedial audits were conducted between June 2017 and November 2017 against measures for companies with minor nonconformance or major nonconformance. Improvements in an individual company's compliance have been reviewed and documented by the third-party independent auditor and are included in an updated compliance status report for that company, [available on the ISSF website](#).




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, corrective action 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 2016. MRAG developed the following categories of conformance that provide interested stakeholders with an explanation of conformance by individual measure:¹

CATEGORIES OF COMPLIANCE

 Conformance	Company can provide evidence of full compliance.
 Minor Non-Conformance	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>
 Major Non-Conformance	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>

¹ 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 preventive 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 to be 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 the ISSA Compliance Policy, and show the status of compliance as of November 15, 2017.

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 status as of November 15, 2017, is presented here, and each company's full compliance audit results as reported by MRAG are [available on the ISSF website](#).

All Company Public Report

COMPLIANCE OVERVIEW

2016 AUDIT RESULTS through November 2017, Updated Results All companies; across all measures

100%

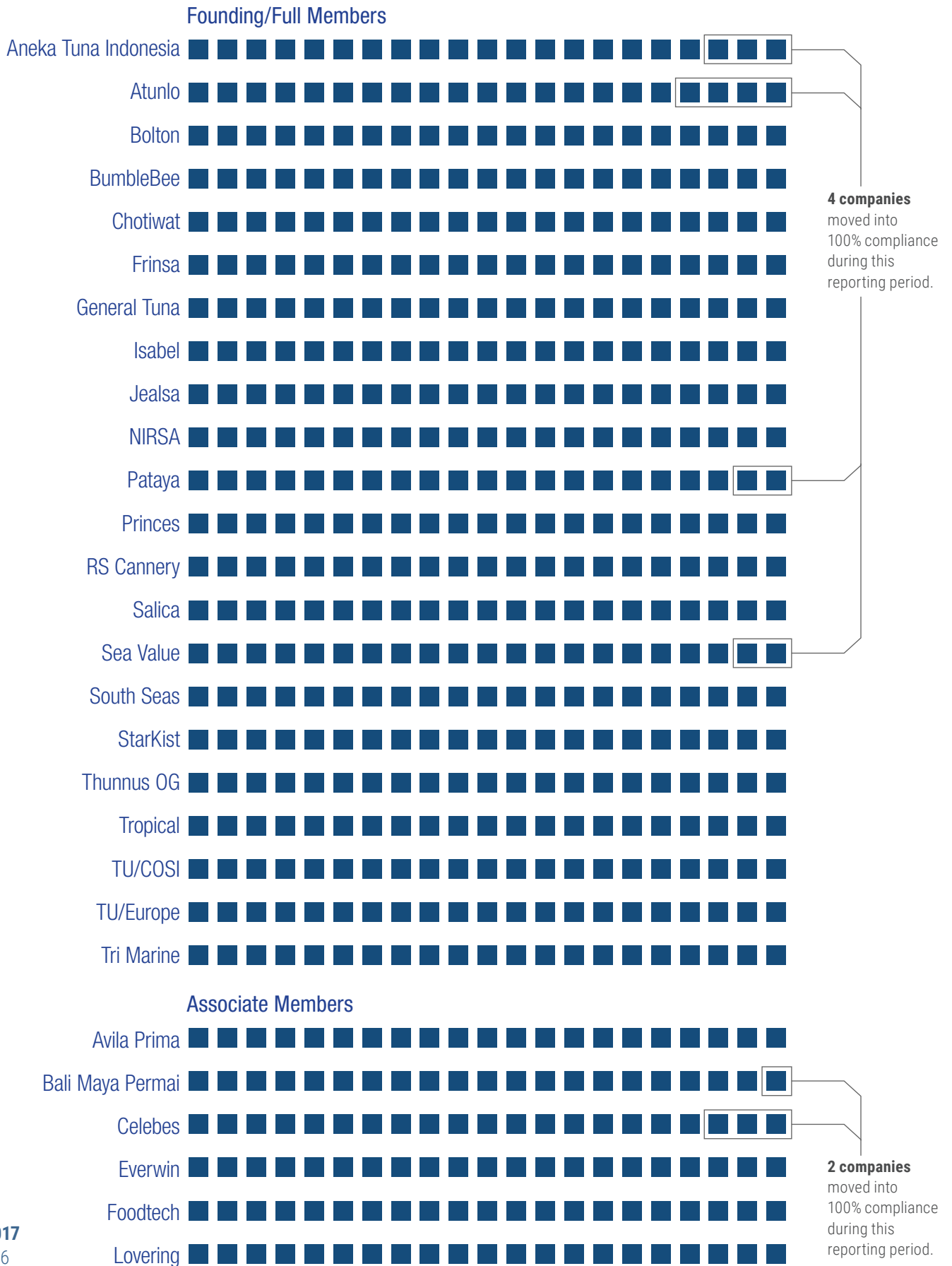
Conformance

28 of 28 Companies Fully Compliant, All Measures

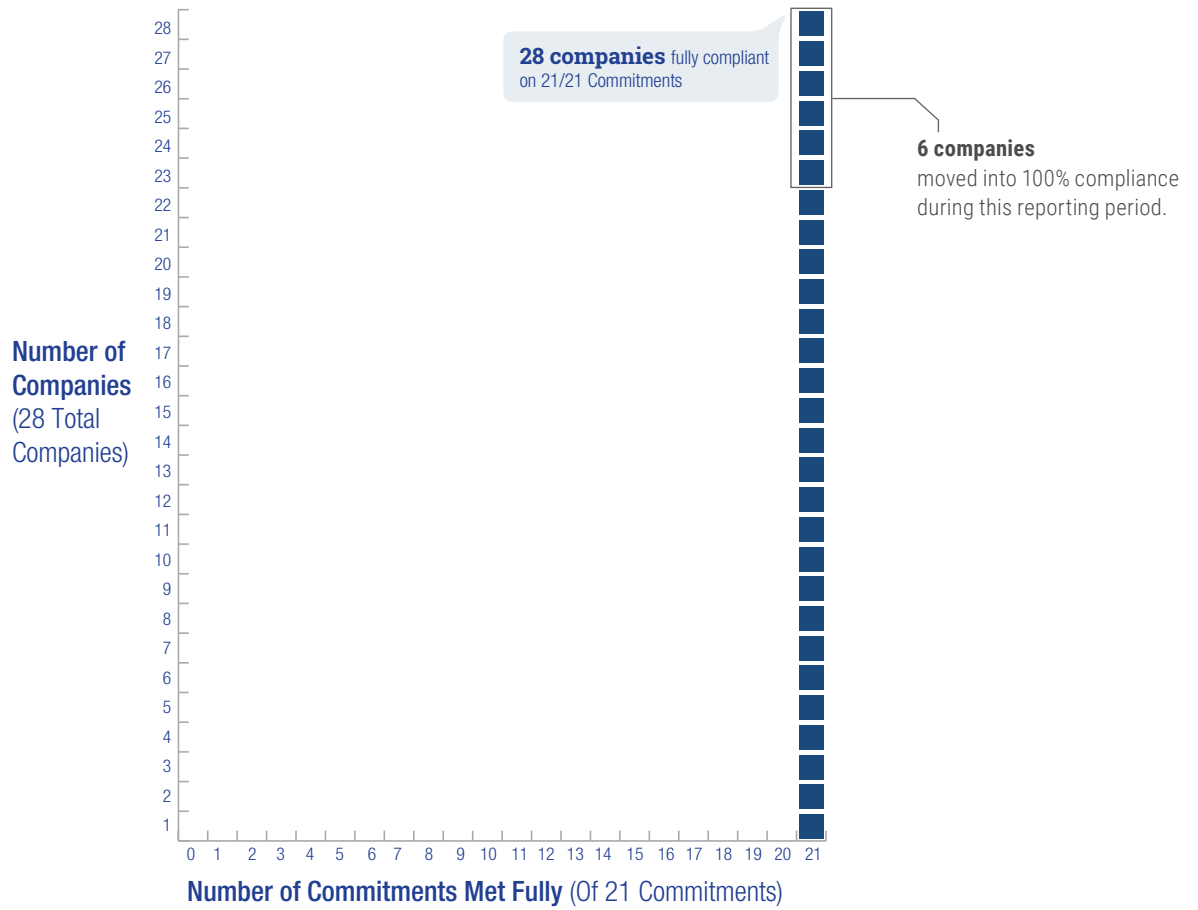
MRAG's remedial audit showed 28 companies are fully compliant with all 21 measures audited, compared to 22 fully-compliant companies in May 2017. None of the conservation measures had minor non-conformances, as compared with 5 in May 2017. These minor non-conformances generally involved instances in 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 as reported in May showed that six companies had at least one major non-conformance, with a total of 12 major non-conformances found. MRAG reported that as of November 2017, all major non-conformances had been remediated.

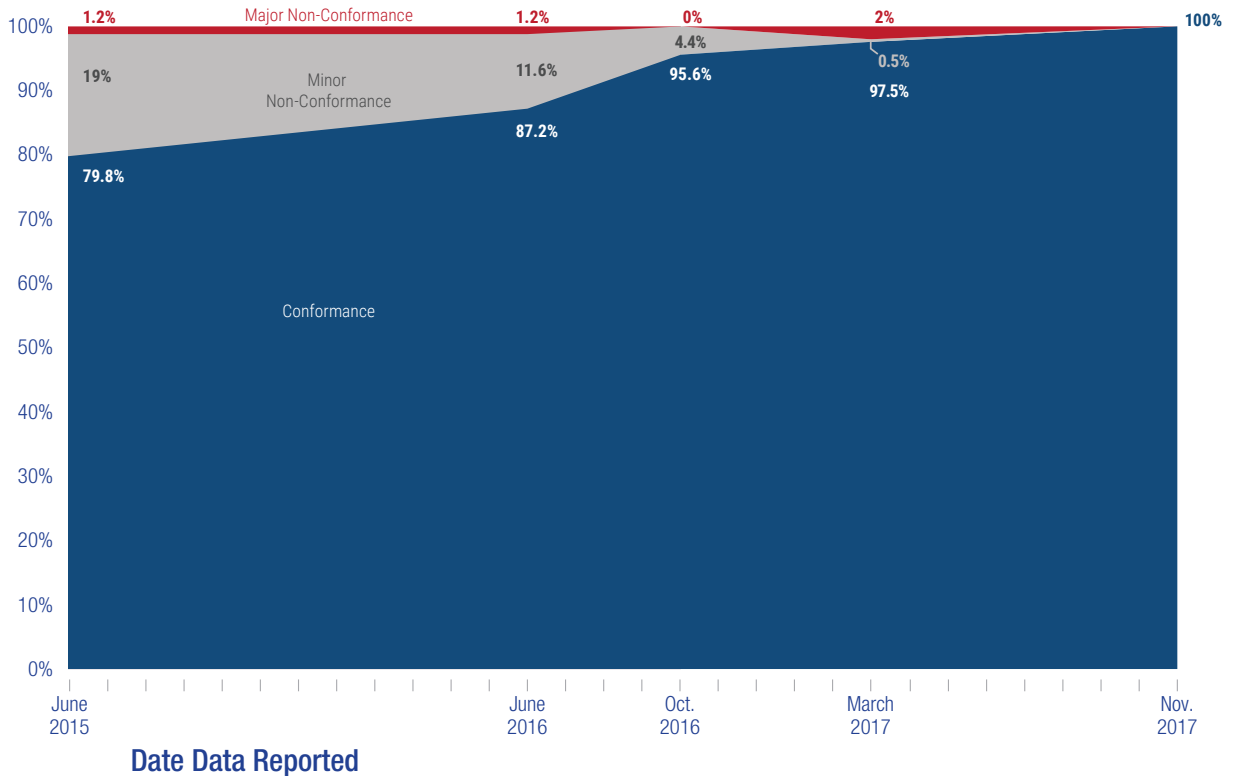
*Companies are listed alphabetically.



LEVEL OF COMPLIANCE by Individual ISSA Companies – Nov. 2017, Updated Audit Results



CHANGE OVER TIME AGGREGATE COMPLIANCE (ALL COMPANIES) – Nov. 2017, Updated Audit Results



ISSF PARTICIPATING COMPANY COMPLIANCE BY CONSERVATION MEASURE* (ALL 28 COMPANIES)

*November 2017, Updated Audit Results

	1.1 RFMO Authorized Vessel Record	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.	Fully compliant: 28
	1.2 RFMO Participation	All purchases must be from vessels flagged to a member or cooperating non-member of RFMO relevant to fishing area.	Fully compliant: 28
	2.1 Product Traceability	Participating company must demonstrate ability to trace products from can code or sales invoice to vessel and trip.	Fully compliant: 28
	2.2 Quarterly Data Submission to RFMO	Send information as described in the measure to RFMO scientific bodies for each quarter by the last day of the following calendar quarter.	Fully compliant: 28
	3.1 (a) Shark Finning Policy	Company establishes and publishes policy prohibiting shark finning.	Fully compliant: 28
	3.1 (b) Prohibition of Transactions with Shark Finning Vessels	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).	Fully compliant: 28
	3.1 (c) Prohibition of Transactions with Companies without a Public Policy	No transactions with companies that do not have a public policy prohibiting shark finning.	Fully compliant: 28
	3.2 Large-Scale Pelagic Driftnets	No transactions with vessels using large-scale pelagic driftnets.	Fully compliant: 28
	3.3 (a) Full Retention of Tunas	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.	Fully compliant: 28
	3.4 Skipper Best Practices	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.	Fully compliant: 28
	4.1 Unique Vessel Identifiers – IMO	All purchases must be from vessels with an IMO UVI number if the vessel is capable of being registered by IMO.	Fully compliant: 28

	4.2 Purse Seine Unique Vessel Identifiers	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.	Fully compliant: 28
	4.3 (a) Observer Coverage	Evidence of 100% observer coverage (human or electronic) on large-scale purse seine vessels unless exempt or prevented by force majeure.	Fully compliant: 28
	4.4 (a) Transshipment	No transactions in tuna where transportation included transshipment, except when exempt.	Fully compliant: 28
	5.1 IUU Fishing	No transactions with vessels on any tuna RFMO IUU vessel list.	Fully compliant: 28
	5.2 IUU Product Response	No IUU purchases. If IUU found, company must withdraw these products from the marketplace.	Fully compliant: 28
	6.1 Transaction Ban for Large Scale Purse Seine Vessels Not Actively Fishing for Tuna as of 12/31/2012	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).	Fully compliant: 28
	6.2 Requirements for Inclusion in ISSF Record of Large Scale Purse Seine Vessels	Demonstrate that purchases are from large-scale purse seine vessels that meet the requirements for inclusion on the ISSF Record.	Fully compliant: 28
	7.1 Registration of Controlled Vessels	Register all controlled purse seine vessels on the PVR.	Fully compliant: 28
	7.3 Purchases from PVR Vessels	For fishing trips beginning on or after January 1, 2016, source 100% of skipjack, yellowfin and bigeye tuna caught by large-scale purse seine vessels from vessels registered in the PVR.	Fully compliant: 28
	8.1 Exemption for Very Small Purse Seine Vessels	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	Fully compliant: 28



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