



## Draft Revision of the CCSBT's Catch Documentation Scheme (CDS) Resolution

### 1. Introduction

The CDS Resolution has been under review since 2015 as scheduled in item 8.3.3 a) of the Compliance Plan's 3-year Action Plan (CAP). The primary aims of this review have been to remove any deficiencies in the existing CDS, and to improve its efficiency. This will in turn facilitate the smoother implementation of an electronic CDS (eCDS) should Members wish to progress one in future.

Most recently, CC11 discussed and further amended the current draft revised CDS Resolution, but little progress was made on resolving the outstanding items. CC11 agreed that the remaining issues could continue to be addressed intersessionally. However, to date, the Secretariat has received no advice indicating that significant intersessional progress has been made.

This paper provides:

- Updates on any intersessional discussions conducted since CC11 (where available), and
- The current status of the draft revised CDS Resolution.

### 2. Background

The CDS review process commenced at the Tenth meeting of the Compliance Committee (CC10) in 2015. At that meeting the Secretariat presented a draft revision of the CCSBT CDS Resolution that proposed replacing the existing five CDS forms with five CDS Certificates: a Farm Stocking Certificate (FSC), a Farm Transfer Certificate (FTC), a Catch/Harvest Certificate (CHC), a Catch Tagging Certificate (CTC), and an Export Certificate (ExC).

In early 2016, the Secretariat produced an updated draft Resolution that addressed some of the concerns raised by Members at CC10, and in April 2016, a fourth meeting of the Compliance Working Group (CCWG4) was convened intersessionally to consider the details of that draft<sup>1</sup>. As part of its discussions, CCWG4 proposed a new combined Catch/ Harvest and Export Certificate (CHEC)<sup>2</sup> so that only a single Certificate would need to be completed for each combined offloading/ export event, as is the case with Catch Monitoring Forms (CMFs) currently.

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<sup>1</sup> Refer to paper CCSBT-CCWG/1604/04

<sup>2</sup> This was created by adding parts of the proposed ExC to the end of the proposed CHC

In October 2016, CC11 made further revisions to the main Resolution text as well as to Appendix 2<sup>3</sup>, but not to any other elements of the Resolution. CC11 agreed that any remaining issues could continue to be addressed intersessionally.

### **3. Intersessional Discussion Following CC11**

Circular #2017/023 requested that Members provide an update on the progress that had been made intersessionally towards resolving the remaining issues in the draft revised CDS Resolution. Responses were received from four Members: Australia, the European Union, Korea and New Zealand. Of those responses, New Zealand indicated that it was continuing its discussions with Japan, and Korea indicated it wished to initiate discussions with the Secretariat to try to resolve its difficulties.

Korea's difficulties concern paragraph 6.6 of the draft revised Resolution, and are noted in the final report of CCWG4<sup>4</sup> as follows:

*".... the requirement to validate landed weights on the CHEC causes significant difficulties for Korea, particularly for transshipments at sea that are exported directly to Japan. Korea is currently not able to delegate its validation role to a non-government entity. Considerable cost, such as storage costs in bonded areas and delays in collecting payment, would be incurred during the period of validating CDS certificates by the authority in Korea and sending those certificates back and forth to Japan. Consequently, Korea is currently unable to accept the CHEC."*

One option to resolve these difficulties could be for Korea to amend its domestic regulations to allow delegation of its validation role to a non-Government entity. However, this option appears to be impractical for Korea at the current time.

An alternative approach could be to allow Korean officials to validate CHECs remotely following receipt of facsimiled or electronic copies of the certified landed weight information.

In order for this approach to be considered, the CDS Resolution would need to be amended to clarify that:

- Validation may be conducted remotely following receipt and checking of copies of certified landed weight information, and
- Transmission of electronic copies of validator-signed and sealed CHECs are acceptable for this purpose.

The Secretariat has proposed some new revisions to paragraph 6.6 of the main Resolution text (square-bracketed and highlighted in grey) to try to allow for this situation.

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<sup>3</sup> Minimum Procedural and Information Standards for CCSBT Member and Cooperating Non-Member (CNM) Tagging Programmes

<sup>4</sup> Refer to paragraph 15 of the CCWG4 meeting report

#### 4. Current Status of the Draft Revised CDS Resolution

The table below summarises the current status of the draft CDS Resolution. Additional information on the status of each element of the Resolution is provided at **Attachment A**. Little has changed from the comparable table that was provided to CC11<sup>5</sup>.

Revised CDS Resolution	Status	
<b>Main Resolution Text</b>	Not agreed: <i>Square-bracketed and yellow-highlighted text from CC11 remain to be reviewed.</i>  <i>The Secretariat has also added some newly proposed grey-highlighted text within the square brackets of paragraph 6.6 to try to assist with resolving Korea's validation difficulties as outlined in section 3 above</i>	
<b>Appendix 1 (Certificates)</b>	<b>Certificate</b>	<b>Instructions</b>
<b>FSC</b>	Not agreed	Not agreed
<b>FTC</b>	✓ Agreed	✓ Agreed
<b>CHEC</b>	Not agreed	Not yet drafted
<b>ExC</b>	Not agreed	Not agreed
<b>CTC</b>	✓ Agreed	Not agreed
<b>Appendix 2 (Tagging programme)</b>	✓ Agreed	
<b>Appendix 3 (Executive Secretary's 6/12 monthly CDS reports)</b>	Not reviewed by CCWG4 or CC11 and therefore remains unchanged from when it was initially presented to CCWG4	

#### 5. Draft Revised CDS Resolution Text

The Secretariat has collated a complete copy of the current draft revised CDS Resolution. It is available for Members' reference at **Attachment B** and includes:

- the two draft revised CDS Resolution elements updated at CC11<sup>6</sup>,
- the Secretariat's proposed new amendment to paragraph 6.6 within the main CDS Resolution text, and
- the draft revised CDS Resolution elements that have remained unchanged since the completion of CCWG4<sup>7</sup>.

As previously, text that has not yet been agreed is highlighted and 'square bracketed' within the attachment:

- Yellow-highlighted text represents text not agreed by the completion of CC11, and
- Grey-highlighted text represents new text that the Secretariat added to paragraph 6.6 to try to assist Korea to resolve its CHEC validation difficulties.

<sup>5</sup> Page 2 of paper CCSBT-CC/1610/14

<sup>6</sup> The main draft Resolution text (not agreed) and the agreed Appendix 2 text

<sup>7</sup> Appendices 1 and 3 of the CDS Resolution

## **6. Recommendations**

It is recommended that Members:

- Consider the current proposed draft CDS Resolution, in particular those items which have not yet been agreed. Members could try to agree any outstanding items or alternatively could consider rejecting the 2016 draft revised CDS Resolution. If the draft revision is rejected, Members may wish to consider whether any aspects of the draft revision should be kept for inclusion in the existing CDS Resolution;
- Note that if a modified CDS Resolution is agreed, associated CCSBT systems and processes such as CCSBT's CDS database, its reconciliation processes, and measures such as the Minimum Performance Requirements (MPRs) will also need to be updated accordingly;
- Make appropriate recommendations to the Extended Commission regarding this review of the CCSBT CDS Resolution, including determining and documenting future work priorities with respect to the CDS Resolution, in particular whether the CCSBT wishes to implement an eCDS and in what timeframe.

Note that part of the first and third dot-points above approximately correspond to project action items 4a) and b) in Table 1 of the proposed draft Compliance Action Plan for 2018 to 2020<sup>8</sup>.

**Prepared by the Secretariat**

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<sup>8</sup> Refer to paper CCSBT-CC12/1710/12

## Details on the Current Status of the Draft Revised CDS Resolution

### **Main Resolution Text**

There are numerous sections of text that were not agreed by CC11 that remain ‘square-bracketed’ within the main Resolution text. Paragraph 6.6 also includes some new grey-highlighted square-bracketed text that the Secretariat has proposed to try to resolve Korea’s issue concerning its current inability to allow delegation of its validation role to a non-Government entity.

### **Appendix 1– Forms/ Certificates**

#### ***a) Farm Stocking Certificate (FSC)***

CC11 did not agree on a Farm Stocking Certificate (FSC) to replace the existing Farm Stocking Form (FSF). Japan’s preference was that, for farming Members, the FSC information should be incorporated as a section of the proposed Catch/Harvest and Export Certificate (CHEC). This was not supported by Australia.

In the current draft Resolution the farm stocking information remains as a separate Certificate (the FSC).

#### ***b) Farm Transfer Certificate (FTC)***

The FTC and its instructions were all agreed by CCWG4 and should not require further discussion.

#### ***c) Catch/ Harvest and Export Certificate (CHEC)***

CC11 did not agree a finalised CHEC, and its design requires further discussion by Members. Due to the uncertainty remaining about the final design of the CHEC, instructions for this Certificate have not yet been developed by the Secretariat.

A major area of disagreement was whether the FSC should be incorporated as a section of the CHEC and if not, whether any associated FSCs<sup>1</sup> should be attached to CHECs. Neither option was supported by Australia.

Another unresolved issue is that at CCWG4, Korea noted that the proposed requirement to validate landed weights causes it significant difficulties, particularly for transshipments at sea that are exported directly to Japan. This is because Korea is not able to delegate its validation role to a non-government entity. This issue was not resolved during CC11, and so Korea could not support the current draft CHEC design. Korea contacted the Secretariat intersessionally following CC11, and after discussions with Korea, the Secretariat has drafted some additional proposed text for paragraph 6.6 of the main Resolution text which may assist with resolving this issue.

#### ***d) Export Certificate (ExC)***

CC11 did not agree on an ExC and its associated instructions. One of the main outstanding issues with the ExC is the proposed requirement that only one preceding CHEC or ExC document be associated with each ExC. This is required now for REEFs, but is not implemented by all Members. At CCWG4 both Japan and Korea advised they are not currently able to meet this requirement.

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<sup>1</sup> And/or Farm Transfer Certificates

A possible solution includes removing this requirement and accepting that, as a consequence, the Secretariat will not be able to check for over-utilised CDS documents. Alternatively an exemption to this requirement could be provided for a specified period while systems are developed that would enable it to be met in the future.

In addition, as mentioned for the CHEC (refer to item c) above), Australia did not support requiring FSCs to be attached to ExCs as part of the set of ‘Preceding Certificates’ requirements.

If these and other outstanding issues can be resolved, it should then be possible to quite quickly agree and finalise the ExC instructions.

***e) Catch Tagging Certificate (CTC)***

The CTC was agreed by CCWG4 but its instructions have not yet been finalised. It should be possible to agree the instructions quickly if the CHEC can be finalised. Note that the Secretariat has proposed updating the definition of the “GGH” processed state code to match the definition on the last page of the ExC instructions.

**Appendix 2 (CCSBT Tagging Programme)**

Further revisions to Appendix 2 were agreed by CC11 which were that:

- CCSBT logos/identifiers must be present on all CCSBT tags, and
- the tags used will remain flexible despite temperatures down to at least -60°C, salt water and rough handling.

**Appendix 3 (Six-monthly/ Annual CDS Reports)**

This Appendix was not discussed, updated or agreed by CCWG4 or CC11 because it would have been premature to do so when not all the Certificates and their associated instructions had been finalised. Therefore, this Appendix currently remains unchanged from the draft Appendix 3 that was attached to paper CCSBT–CCWG/1604/04.

## Draft Resolution on the Implementation of a CCSBT Catch Documentation Scheme

(revised at the Twenty-xxx- Annual meeting: xx October 20xx)

*Concerned* that any illegal, unreported and unregulated (IUU) fishing for Southern Bluefin Tuna has a negative impact on the status of the stock;

*Referring* to the principles adopted to guide the development of a Catch Documentation Scheme (CDS) at CCSBT12 in 2005 and the ‘Resolution on the implementation of a CDS to record all catch of Southern Bluefin Tuna regardless of whether the Southern Bluefin tuna were traded’, adopted at CCSBT 13 in 2006;

*Noting* the need for Members and Cooperating Non-Members (CNMs) to provide for the traceability and validation of legitimate SBT product flow from catch to at least the point of first sale in domestic and export markets;

*Bearing in mind* the goal of trying to achieve harmonisation of Catch Documentation Schemes across Regional Fisheries Management Organisations;

*Emphasising that* a CDS must be applied consistently and comprehensively across all sectors of the global SBT fishery to accurately confirm the SBT catch by each Member and CNM;

*Recognising that* a CDS may be operated as either a paper-based CDS or web-based electronic CDS (eCDS);

In accordance with Article 8.3(b) of the Convention on the Conservation of Southern Bluefin Tuna, the Extended Commission for the Conservation of Southern Bluefin Tuna (CCSBT) adopts the following measure to monitor compliance with the Commission’s conservation measures:

### 1. General Provisions and Application

- 1.1 Throughout this Resolution the terms “documentation”, “Documents” and “Certificates” refer to either:
- paper documentation, Documents and Certificates, or
  - Electronic Catch Tagging Certificates used domestically by Members or CNMs in replacement of paper based Catch Tagging Certificates, or
  - Documents and Certificates that exist electronically and that were generated by a web-based CCSBT eCDS.

The attached Appendices 1-3 shall be considered part of this CDS Resolution.

- 1.2 Throughout this Resolution, the term “offloading” is used to describe the *initial* physical off(un)-loading of SBT product(s) from a farm (*i.e.* harvesting) or a fishing vessel, irrespective of whether the offloading results in a landing in port. Therefore, landings of domestic product<sup>1</sup>, or landings into cold-

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<sup>1</sup> The term ‘landing of domestic product’ means landing of SBT into the territory of a Member or CNM caught by a vessel flagged to that Member or CNM or on the register of fishing vessels of that Member or CNM.

storage facilities or at an export destination, transshipments and harvesting SBT from farms, are all types of offloading in terms of this Resolution.

- 1.3 All Members and CNMs shall implement the CCSBT CDS for Southern Bluefin Tuna (SBT) to document the movement of all SBT as outlined in this Resolution. The CCSBT CDS incorporates CCSBT CDS documentation and tagging of SBT.
- 1.4 For all offloadings of SBT and/or transshipments, landings of domestic product<sup>1</sup>, exports, imports and re-exports under the jurisdiction of a Member or CNM or Other State/Fishing Entity Cooperating in the CDS (OSEC<sup>2</sup>), all SBT shall be accompanied by a paper Document described in section 3 of this Resolution. There is no waiver of this requirement. However, the exportation/import of fish parts other than the meat<sup>3</sup> (*i.e.* **[[head]]**, eyes, roe, guts, tails) may be allowed without the Document.
- 1.5 Transfers of SBT into and between farms under the jurisdiction of a Member or CNM shall be documented on the **[[Farm Stocking Certificate]]** and Farm Transfer Certificate as applicable.
- 1.6 Members or CNMs that prohibit the sale of fish caught by recreational fishers may exempt their recreational fisheries from the requirements of the CCSBT CDS.
- 1.7 The Commission shall request the cooperation of appropriate authorities of States other than Members and CNMs of the Extended Commission that are involved in catching, landing, transferring and/or farming of SBT in the implementation of this Resolution.
- 1.8 Members, CNMs and OSECs shall not permit the offloading, landing as domestic product, transshipment, import, export and/or re-export of SBT caught by vessels not authorised to catch SBT and (if SBT farming is conducted under their jurisdiction) the transfer of SBT to or between, and harvest of SBT from, farms not authorised to farm SBT.
- 1.9 Members, CNMs and OSECs shall not permit whole<sup>4</sup> SBT to be offloaded, landed as domestic product, transhipped, exported, imported or re-exported without a tag, except that:
  - 1.9.1 in the case of farming operations, the SBT may be offloaded without a tag provided a tag is attached within 30 hours of kill;
  - 1.9.2 in exceptional circumstances, where a vessel on the CCSBT Record of Authorised Vessels does not have sufficient tags on board the vessel, the tag may be attached at offloading;

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<sup>2</sup> The term 'Other State/Fishing Entity Cooperating in the CDS' will be abbreviated to 'OSEC' within this Resolution and means a State/Fishing Entity that has expressed its commitment, in writing, to cooperate with this Resolution.

<sup>3</sup> Any meat separated from fish parts is considered to be meat in this context.

<sup>4</sup> In this Resolution, a SBT is considered to remain whole despite cleaning, gilling and gutting, freezing, and/or removing fins, operculae (gill plates/covers) and tail and/or removing the head or parts of the head (*i.e.* whole product types include at least RD, GG, GGO, GGT, DR, DRO or DRT). A SBT is no longer considered to be whole if it has undergone processes such as filleting (FIL) or loining (LOI).

- 1.9.3 in exceptional circumstances, where a vessel catches SBT as unexpected bycatch and has no or insufficient tags on board, the tag may be attached at offloading.
- 1.10 In exceptional circumstances, where a tag becomes accidentally detached/broken and cannot be reattached, or is broken and its number cannot be read, then a replacement tag shall be attached as soon as possible, and no later than the time of offloading.
- 1.11 Members and CNMs shall report any exceptional circumstances referred to in 1.9.2, 1.9.3 or 1.10 to the Executive Secretary within 7 days of the offloading. The report shall provide details of the exceptional circumstances, the number of SBT tagged and for 1.10, the old (where known) and new tag number(s).
- 1.12 Members and CNMs shall require that tags be retained on whole<sup>4</sup> SBT to at least the first point of sale for landings of domestic product, and shall encourage the retention of tags on whole fish thereafter.

## **2. Registers Required**

- 2.1 A record of farms is to be established and maintained by the Executive Secretary to identify authorised farms.
- 2.2 A record of fishing vessels, maintained by the Executive Secretary, identifies all authorised fishing vessels.
- 2.3 CCSBT CDS Documents that record information for fishing vessels and/or farms not included on the above-mentioned authorised registers shall not be considered valid Documents for the purposes of this scheme.

## **3. Documents and Information Required**

- 3.1 The CCSBT CDS Documents are :
  - 3.1.1 **[[Farm Stocking Certificate (FSC)]]** – records information on the catch, towing and any associated mortalities of SBT during the farm stocking process.
  - 3.1.2 Farm Transfer Certificate (FTC) – records information on the transfers of SBT between farms
  - 3.1.3 **[[Catch/Harvest and Export Certificate (CHEC) – records information on the catch/harvest, offloading, landing, and transshipment, export, and import of all SBT]].**
  - 3.1.4 Catch Tagging Certificate (CTC) – records information on individual SBT tagged as part of the CDS
  - 3.1.5 **[[Export Certificate (ExC) – records information on SBT already recorded on a Catch/Harvest and Export Certificate and any preceding ExC that is, either in full or part, then exported or re-exported.]]**
- 3.2 The information to be contained in the CCSBT CDS documentation referred to in 3.1, along with associated instruction sheets, is included in Appendix 1.

- 3.3 Once approved CDS Documents are adopted, only the following changes, may be made to produce a Member-specific version<sup>5</sup>:
- minimal modifications, such as the addition of translations or formatting;
  - for the Combined Catch/Harvest and Export Certificate:
    - Removal of the Transshipment sub-section if that Member does not conduct transshipments;
    - Removal of the Export and Import Sections if that Member will not use the Combined Catch/Harvest and Export Certificate for exporting SBT.

No information field may be omitted from the standard Documents presented in Appendix 1, except where the field is not applicable.

- 3.4 Any CDS documentation modified, as described in 3.3, shall be provided to the Executive Secretary immediately for placement on the CCSBT website and for distribution to other Members, CNMs, and Non-Members known to be involved in the landing, transshipment, import, export, or re-export of SBT.
- 3.5 Significant amendments to CDS Documents and their content may be made only with the agreement of the Commission at its annual meeting based on recommendations from the CCSBT Compliance Committee.
- 3.6 CCSBT CDS Documents must be uniquely numbered.

#### **4. Amendment or Cancellation of CDS Documents**

- 4.1 If a CDS Certificate is amended, copies of any amended Certificates must be submitted to the Executive Secretary by both the issuer and the receiver of the Certificate as part of their quarterly CDS submissions. Furthermore:
- 4.1.1 amendments to non-importer sections may only be made by the issuing Member/CNM, and amendments to importer sections may only be made by the importing Member/CNM; and
  - 4.1.2 any amended Certificates must be re-certified and potentially re-validated<sup>6</sup> (by issuer/ importer as applicable).
- 4.2 CDS Certificates may be cancelled by the issuing Member/CNM providing that if Certificates are cancelled after being validated:
- a) a replacement Certificate is issued, certified and validated (as applicable) by the issuing Member/CNM, and
  - b) where the SBT are being re-/exported, replacement Certificates shall be certified by the importing Member/CNM; and
- 4.2.1 a list of cancelled Certificates, together with the Certificate number of any associated replacement Certificates shall be submitted to the Executive Secretary by the issuing Member/CNM as part of its quarterly CDS submission; and

<sup>5</sup> With the exception of additions to the Catch Tagging Certificate.

<sup>6</sup> Any Certificates that are amended and have an associated validation section need to be re-validated.

- 4.2.2 importer-certified replacement Certificates shall be submitted to the Executive Secretary by the importing Member/CNM as part of its quarterly CDS submission.

## 5. Tagging

- 5.1 Members and CNMs shall require that an SBT tag be attached to each SBT at the time of kill except:
- 5.1.1 If the SBT is to be processed to a non-whole<sup>4</sup> state immediately after kill and before offloading, a tag does not need to be attached to the SBT, but a tag number must be allocated to that SBT so that the tag number and details of that SBT can be recorded on a Catch Tagging Form;
  - 5.1.2 in the case of farming operations, the tag may be attached within 30 hours of kill;
  - 5.1.3 in exceptional circumstances, where a vessel on the CCSBT Record of Authorised Vessels does not have sufficient tags on board, the tag may be attached at offloading;
  - 5.1.4 in exceptional circumstances, where a vessel catches SBT as unexpected bycatch and has no, or insufficient, tags on board, the tag may be attached at offloading.
- 5.2 As outlined at 3.1.4, a Catch Tagging Certificate records relevant tagging information for individual SBT. The Catch Tagging Certificate shall be filled in as soon as practicable after the time of kill. Length and weight measurements shall be conducted before the SBT is frozen. Where measurements cannot be accurately made on board the vessel, they may be made at the time of offloading, provided the measurements and the associated Catch Tagging Certificate are filled in before any further transfer of the SBT.
- 5.3 Completed Catch Tagging Certificates shall be provided to the Flag Members and CNMs which shall provide the information in the Catch Tagging Certificate to the Executive Secretary in an electronic format on a quarterly basis.
- 5.4 [[A copy of a completed Catch Tagging Certificate shall be attached to the relevant Catch/ Harvest and Export Certificate (CHEC), and Export Certificate (ExC).]]
- 5.5 A tagging programme shall meet the minimum procedural and information standards set out in Appendix 2.
- 5.6 Members and CNMs shall prohibit the unauthorised use of SBT tags.

## 6. Validation

- 6.1 The CCSBT CDS documentation must be validated as applicable:
- 6.1.1 [[for Farm Stocking Certificates,]] by an official of the Flag Member or CNM that holds the national quota allocation against which the SBT were taken;
  - 6.1.2 for Catch/ Harvest and Export Certificates, by an official of the Flag Member or CNM of the catching/harvesting vessel or, when the fishing

vessel is operating under a charter arrangement, by a competent authority or institution of the chartering Member or CNM;

- 6.1.3 for all exports of SBT, by an official of the exporting Member or CNM; and
- 6.1.4 for all re-exports of SBT, by an official of the re-exporting Member, CNM, or OSEC.
- 6.2 The authority to validate CDS Documents may be delegated to an authorised person by an official of the relevant State/Fishing Entity **[[only when such person does not have a substantial interest in SBT fisheries and its products.]]** Members, CNMs and OSECs who utilise delegated person/s shall submit a certified copy of such delegation/s to the Executive Secretary. The individual who certifies a CCSBT CDS Document shall not be the same person who validates the Document.
- 6.3 Members, CNMs and OSECs shall provide to the Executive Secretary information on validation (including type of validation, name of the organisation which validates the Documents, name and signature of officials who validate the Documents, sample impression of stamp or seal, and a list of all persons holding delegated authority to validate CCSBT CDS documentation prior to those officials and persons exercising the authority). Members, CNMs and OSECs shall inform the Executive Secretary of any changes no later than 15 days from the date the change(s) occur(s).
- 6.4 The Executive Secretary will maintain the information specified in 6.3, promptly publish an updated history of validation authorities on the private area of the CCSBT web site, and provide access to this history to all Members, CNMs and OSECs.
- 6.5 Members, CNMs and OSECs shall not validate any CCSBT CDS documentation referred to in 3.1 that is not complete, has obviously incorrect information, or has not been validated as required by this Resolution.
- 6.6 **[[Members, CNMs ~~operating Non-Members~~ and OSECs shall not validate any Catch Harvest and Export Certificate (CHEC) unless they have viewed seen sufficient evidence to confirm the veracity of the 'Measured and Verified Landed Weights' recorded on the CHEC.**

**6.6 bis** Sufficient evidence to confirm the verified landed weights on CHECs includes:

- Physical inspection by the Flag Member validator or examination of the landing by an authorised third party contracted by the Flag Member, or
- The Flag Member's validator receiving facsimiled or electronic copies of official landed weight certifications and checking these against the CHEC catch/harvest weights.

Validators shall sign and seal (i.e. validate) either the original documents (where available) or electronic copies of the CHEC.]]

- 6.7 No Member or CNM or OSEC shall accept any SBT for offloading, transshipment, landing of domestic product, export, import, or re-export where any or all required Documents do not accompany the relevant consignment of SBT, where required fields of information required on the Certificate are not completed, or where the Certificate has not been validated as required by this Resolution.
- 6.8 Full or partial consignments of untagged whole SBT must not be validated or accepted for offloading, transshipment, landing of domestic product, export (including export after landing of domestic product), import or re-export.
- 6.9 Members and CNMs shall undertake an appropriate level of audit, including inspections of vessels, offloadings, and where possible markets, to the extent necessary to validate the information contained in the CDS documentation.
- 6.10 Members and CNMs shall include in their annual review of SBT fisheries, details on the level of coverage and type of audit undertaken, in accordance with 6.9, and the level of compliance.

## **7. Exchange of Information and Confidentiality of Data**

- 7.1 Members, CNMs and OSECs shall retain all original CCSBT CDS Documents (or scanned electronic copies of the original Documents) received by them for a minimum of 3 years after the most recent signed date on the Document. Members, CNMs and OSECs shall also retain a copy of any CCSBT CDS Documents (or scanned electronic copies of the original Documents) issued by them for a minimum of 3 years after the most recent issuing State/Entity signed date on the Document. Copies of these CDS Documents except Catch Tagging Certificates<sup>7</sup> and those CD Documents not already submitted to the Executive Secretary via a web-based eCDS system, shall be forwarded<sup>8</sup> to the Executive Secretary on a quarterly basis.

A list of any Documents (including the Document number, Document type and intended export destination – if any) that were cancelled each month shall also be forwarded<sup>8</sup> to the Executive Secretary on a quarterly basis.

- 7.2 The Executive Secretary shall compile the raw data from CDS documentation into an electronic database. The Executive Secretary shall ensure the confidentiality of the raw data in its database and release to any State/Fishing Entity only the raw data relating to the CCSBT CDS Documents it validated and any associated pre-requisite Documents that it is required to receive under this Resolution. If a State/Fishing Entity requests CCSBT CDS Documents relating to another State/Fishing Entity, the Executive Secretary may release those data only with the latter's agreement.
- 7.3 The Executive Secretary shall report to the Extended Commission on and circulate to all Members and CNMs the data collected by the CCSBT CDS each year by 1 June for the period of 1 January - 31 December of the preceding year and by 1 December for the period of 1 January - 30 June of the

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<sup>7</sup> Requirements to provide information in the Catch Tagging Certificate are set out in 5.3.

<sup>8</sup> Either as a copy of the original paper Certificate or in electronic format containing all the information in the Certificates.

current year. The information to be contained in the reports is specified in **Appendix 3**. The Executive Secretary shall provide an electronic copy of the report only to a designated authority of each Member and CNM.

- 7.4 The Executive Secretary will post on the public area of the CCSBT web site a subset of the report comprising:
- Catch related details of:
    - Flag State/Fishing Entity;
    - Harvest year;
    - Verified landed net weight<sup>9</sup>; Estimated whole weight (calculated by applying a conversion factor to the verified net weight);
  - Initial export details (excluding re-exports) of:
    - Flag State/ Fishing Entity;
    - Destination State/ Fishing Entity<sup>10</sup>;
    - Net weight exported;
    - Copies of all modified CDS Documents provided in accordance with paragraph 3.4.
- 7.5 On request by the Scientific Committee, Compliance Committee, or other subsidiary body of the Commission, the Executive Secretary shall, with the approval of the Commission, provide to that body data collected by the CCSBT CDS more frequently or at a greater level of detail than specified in 7.3.
- 7.6 The Executive Secretary shall analyse the data provided in 7.1 and notify the relevant Member(s) or CNM(s) of any identified discrepancies.

## **8. Verification of CDS Documentation**

- 8.1 Each Member and CNM shall ensure that its competent authorities, or other authorised individual or institution, take steps to identify each consignment of SBT landed as domestic product in, imported into or exported or re-exported from its territory and examine the validated CCSBT CDS Documents for each consignment of SBT. These competent authorities, or authorised individuals or institutions, may also examine the content of the consignment to verify the information contained in the CCSBT CDS Document and in related Documents and, where necessary, shall carry out verifications with the operators concerned.
- 8.2 Each Member and CNM shall review information, and investigate and resolve any irregularities identified in relation to their information in the CDS reports, including any discrepancies identified during the comparison of data from the Executive Secretary. Among other matters, Members and CNMs shall cross-check the report provided by the Executive Secretary under 7.3 using information available to it.

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<sup>9</sup>Calculated by adjusting the estimated net weight in section 3 of the CHEC with the verified weights at section 6 of the CHEC.

<sup>10</sup> For Export Certificates where the destination differs from the point of import, the import State/ Fishing Entity will be used.

- 8.3 Each Member, CNM and OSEC shall, as soon as practicable, identify to the Executive Secretary and relevant Members, CNMs and OSECs, any consignments of SBT where there are:
- 8.3.1 doubts about the information contained in any associated CDS documentation; or
  - 8.3.2 incomplete, missing or unvalidated CCSBT CDS documentation.
- 8.4 Each Member and CNM shall co-operate and take all necessary steps with relevant authorities, and within domestic law, to review, investigate and resolve any concerns identified in 8.1 and 8.2, and notify the Executive Secretary of the outcome of any such action for inclusion in its report to the Commission.
- 8.5 The Compliance Committee will consider the summary information compiled by the Executive Secretary in 7.3 and 7.4, including any irregularities and anomalies identified and the outcome of any investigations notified under 8.3.
- 8.6 The Commission, may, on the recommendation of the Compliance Committee, consider any action as may be required in relation to the findings and outcomes of any verification investigation. Such action may be, but is not limited to, a review of this or other relevant compliance measures.
- 8.7 Members, CNMs and OSECs shall cooperate to ensure that CDS Documents are not forged and/or do not contain misinformation.

## 9. Access to and Security of Information

- 9.1 Subject to each Member's, CNM's and OSEC's national law, the information produced from the CCSBT CDS shall be confidential and may only be used in support of CCSBT purposes or for any other purpose agreed by the Commission.
- 9.2 Where necessary, in support of catch verification procedures, Members, CNMs and OSECs agree to exchange the necessary supporting information and, where relevant, evidence as may be necessary to verify the integrity of the flow of CDS information and to reconcile any discrepancies.

## 10. Implementation and Review

- 10.1 ~~[[The current revision of this Resolution will be effective from enter into force on the commencement of the first fishing season following 1 January 2018<sup>70</sup>. The existing CDS Resolution applies until this time.]]~~  
**[[NOTE: Consider transitional period aligned with fishing seasons.]]**
- 10.2 The Compliance Committee will review the operation of this Resolution on an annual basis to identify any implementation issues, strengths, and weaknesses, and to recommend options to improve this Resolution and its supporting procedures at the Extended Commission meeting. This review will include any concerns associated with the operation of the CDS Documents, and the operation of an eCDS (compared to a paper-based system) if one has already been introduced, breakage or loss of tags and the extent of the use of

exemptions in 1.9, 1.10 and 1.11 as reported by Members and CNMs to the Executive Secretary.

- 10.3 The Executive Secretary will monitor available technology associated with electronic documentation and fish tags to assist the Compliance Committee in its reviews.

**Appendix 1**

**Catch Documentation Scheme Certificates**



**CATCHING VESSEL SECTION**

Name of Catching Vessel		Flag State Registration Number	Flag State/Fishing Entity
Date Range of Fishing		CCSBT Statistical Area of Fishing	
First	Last		

**TOWING SECTION**

Name of Towing Vessel	Flag State Registration Number	Flag State/Fishing Entity	Date Tow Commenced

Description of Mortalities			
Number of tow cages	Date Range		Weight of Mortalities (kg)
	First Tow	Last Tow	

Number of SBT mortalities that occurred from the first day of this catch, including during towing and up to the completion of the last transfer of SBT into the farm(s)	Number of Mortalities <b>Retained</b> for Sale	Number of Mortalities <b>Not Retained</b> for Sale

**FARM TRANSFER SECTION**

Name of SBT Farm	Date Range of Transfers		Average Weight of SBT (kg)	Method of Weight Estimation	Total Verified Weight (kg)	Number of SBT
	First	Last				

**VALIDATION SECTION**

**Certification by Quota Holder:** I certify that the above information is complete, true and correct to the best of my knowledge and belief.

Name	Signature	Date

**Validation by Authority:** I validate that the above information is complete, true and correct to the best of my knowledge and belief.

Name and Title	Signature	OFFICIAL SEAL
Date		

## FARM STOCKING CERTIFICATE

### INSTRUCTION SHEET

This Certificate is to be completed by the authority of the State/Fishing Entity that holds the national quota allocation against which these Southern Bluefin tuna (SBT) have been taken.

This Certificate must be completed by the end of the fishing season and before the SBT are recorded on a [\[\[Catch/ Harvest Certificate Monitoring Form.\]\]](#)

If a language other than one of the CCSBT official languages (English and Japanese) is used in completing the Certificate, please add the English or Japanese translation to the Document.

The Farm Stocking Certificate has 4 main sections: (1) Catching Vessel; (2) Towing; (3) Farm Transfer; and (4) Validation.

**All sections of this Certificate must be completed.**

#### CERTIFICATE HEADER

The top of the Certificate contains one piece of information that must always be completed:

**Certificate Number:** Enter the unique Certificate number that was allocated by the State/Fishing Entity that issued this Certificate.

#### CATCHING VESSEL SECTION

**Name of Catching Vessel:** Enter the name of the catching vessel.

**Flag State Registration Number:** Enter the Flag State Registration Number of the catching vessel.

**Flag State / Fishing Entity:** Enter the Flag State or Fishing Entity of the catching vessel.

**Date Range of Fishing:** Enter dates for the first and last day of fishing.

**CCSBT Statistical Area of Fishing:** Enter the statistical area in which the SBT were caught. Record one of the main CCSBT Statistical Areas (1 to 10 and 14 to 15) if appropriate, or alternatively record one of the more general CCSBT Statistical Areas (11 to 13) if none of the main statistical areas apply.

**Where SBT have been placed in a tow cage by more than one catching vessel, the number and weight of mortalities and the number and weight of SBT transferred to each farm are to be equally proportioned between the vessels.**

#### TOWING SECTION

NOTE: One row shall describe one Towing Vessel.

**Name of Towing Vessel:** Enter the name of the Towing vessel.

**Flag State Registration Number:** Enter the Flag State Registration Number of the Towing vessel.

**Flag State / Fishing Entity:** Enter the Flag State or Fishing Entity of the Towing vessel.

**Date Tow Commenced:** Enter the date on which the towing commenced.

#### Description of Mortalities

Information for the total mortalities that occurred during all tows should be recorded.

**Number of Tow Cages:** Enter the total number of tow cages.

**Date Range:** Enter the first and last dates of the tows.

**Weight of Mortalities (kg):** Enter the total weight (kg) of all SBT mortalities that occurred.

**Number of SBT mortalities that occurred from the first day of this catch, including during towing and up to the completion of the last transfer of SBT into the farm(s):**

- i) Enter the total number of SBT mortalities that were *retained* for sale;
- ii) Enter the total number of SBT mortalities that were *not retained* for sale, *i.e.* were discarded or were retained but not sold.

**FARM TRANSFER SECTION**

**Name of SBT Farm:** Enter the name of the SBT farm to which SBT were transferred.

**Date Range of Transfers:** Enter dates for the first and last days of transfer.

**Average Weight (kg) of SBT:** Enter the average weight (kg) of all SBT transferred.

**Method of Weight Estimation:** Enter the method used to estimate the average weight. Use 100FS for the 100 fish sampling method. For other new methods, codes will be developed and provided once they have been notified to the CCSBT Secretariat.

**Total Verified Weight (kg):** Enter the total verified weight (kg) for all SBT transferred.

**Number of SBT:** Enter the total number of SBT transferred, verified from the fish count.

**VALIDATION SECTION**

**Certification by Quota Holder:** The Quota holder shall complete this section, with his/her full name, signature and date to certify that the Certificate correctly records the SBT that were transferred to the farm(s).

**Validation by Authority:** Enter the name and full title of the official<sup>1</sup> signing the document, together with the signature of the official, date (dd/mm/yyyy) and official seal.

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<sup>1</sup> The official must be in the employment of, or delegated by, the competent authority of the Member, or Co-operating Non-Member where the farm sites are located. The Member or Co-operating Non-Member which utilises a delegated entity shall submit a certified copy of such delegation to the Executive Secretary.



Commission for the  
Conservation of  
Southern Bluefin Tuna

# FARM TRANSFER CERTIFICATE

## Catch Documentation Scheme

Certificate Number

FT -

### 1. Transferring Section

CCSBT Farm Serial Number	Name of Transferring Farm	State / Fishing Entity

### 2. Towing Section

Name of Towing Vessel	Flag State Registration Number	Flag State / Fishing Entity	Date of Tow

Estimated Weight (kg) of SBT	Estimated Number of SBT

### 3. Receiving Section

CCSBT Farm Serial Number	Name of Receiving Farm	State / Fishing Entity

### 4. Certification Section

Certification by **Transferring Farm**: I certify that the above information is complete, true and correct to the best of my knowledge and belief.

Name	Signature	Date

Certification by **Receiving Farm**: I certify that the above information is complete, true and correct to the best of my knowledge and belief.

Name	Signature	Date

# FARM TRANSFER CERTIFICATE

## INSTRUCTION SHEET

This Certificate is to be issued by the Flag State/Fishing Entity that holds the national quota allocation against which these Southern Bluefin tuna (SBT) have been taken.

This Certificate must accompany each transfer of SBT between farms and a copy of the Certificate must be provided to and retained by the issuing Flag State/Fishing Entity. The issuing Flag State/ Fishing Entity shall then provide a copy of this Certificate to the CCSBT Executive Secretary in accordance with the standard CDS data submission timeframes.

If a language other than one of the CCSBT official languages (English and Japanese) is used in completing this Certificate, please add the English or Japanese translation to the Document. The Farm Transfer Certificate has 4 main sections: (1) Transferring Section; (2) Towing Section; (3) Receiving Section; and (4) Certification Section. All sections of this Certificate must be completed.

### CERTIFICATE HEADER

The top of the Certificate contains one piece of information that must always be completed:

**Certificate Number:** Enter the unique Certificate number that was allocated by the Flag State/Fishing Entity that issued this Certificate.

### TRANSFERRING SECTION

**CCSBT Farm Serial Number:** Enter the serial number of the farm as recorded on the CCSBT list of authorised farms.

**Name of Transferring Farm:** Enter the name of the SBT Farm that the SBT are being transferred from.

**State/ Fishing Entity:** Enter the State or Fishing Entity of the transferring farm.

### TOWING SECTION

**Name of Towing Vessel:** Enter the name of the towing vessel.

**Flag State Registration Number:** Enter the Flag State Registration Number of the towing vessel.

**Date of Tow:** Enter the date of the tow (dd/mm/yyyy).

**Estimated Weight (kg) of SBT:** Enter the estimated weight (kg) of the SBT being transferred.

**Estimated Number of SBT:** Enter the estimated number of SBT being transferred during the tow.

### RECEIVING SECTION

**CCSBT Farm Serial Number:** Enter the serial number of the farm as recorded on the CCSBT list of authorised farms.

**Name of Receiving Farm:** Enter the name of the SBT Farm that is receiving the SBT.

**State/ Fishing Entity:** Enter the State or Fishing Entity of the receiving farm.

### CERTIFICATION SECTION

**Certification by Transferring Farm:** The representative of the transferring farm shall provide, his/her full name, signature and date (dd/mm/yyyy) to certify that this Certificate correctly records the SBT that are being transferred to the receiving farm.

**Certification by Receiving Farm:** The representative of the receiving farm shall provide, his/her full name, signature and date (dd/mm/yyyy) to certify that this Certificate correctly records the SBT that are being received from the transferring farm.



Commission for the  
Conservation of  
Southern Bluefin Tuna

# COMBINED CATCH / HARVEST AND EXPORT CERTIFICATE

Catch Documentation Scheme

Catch /Harvest Certificate No. v1.0

CC -

## 1. Catch Tagging Certificate Numbers

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## 2. Details of Catching Vessel or Harvesting Farm

<input type="checkbox"/> <b>For Wild Fishery</b>	Name of Catching Vessel	Flag State / Fishing Entity Registration Number	Flag State/Fishing Entity
Or			
<input type="checkbox"/> <b>For Farmed SBT</b>	Name of Farm	CCSBT Farm Serial Number	
	Certificate Number(s) of any associated Farm Stocking Certificate(s)	Certificate Number(s) of any associated Farm Transfer Certificate(s)	

## 3. Description of Catch / Harvest

Fresh (F) or Frozen (FR)	Product Type (select from the Product Type table below)	Month of Catch / Harvest (mm/yy)	Gear Code	CCSBT Statistical Area	Estimated Net Weight (kg)	Total Number of SBT retained as RD, GGH, GGO, GGT, DRO, DRT

## 4. Offloading Details

Offloading Date				
<input type="checkbox"/> <b>Transhipment</b>	Transhipment location (Record either port city name, or for high seas transhipments record the CCSBT statistical area)	Name of Port City	Port State / Fishing Entity	CCSBT Statistical Area
	Observer details (Only for transhipment at sea)	Observer Name	Observer Trip Number	Observer signature
	<input type="checkbox"/> This is an immediate transhipment or <input type="checkbox"/> This is a deferred transhipment (SBT placed in cold storage before loading to a Carrier Vessel)			
	For immediate transhipments, the transhipment date and Carrier Vessel details below are to be completed before the certification at section 5. For deferred transhipments, these details may be completed at any time prior to validation at section 7.			
	Transhipment Date	Name of Receiving Vessel	Flag State Registration Number	Flag State/Fishing Entity
<input type="checkbox"/> <b>All other offloadings</b>	Name of Port City	Port State/Fishing Entity		

## 5. Certification by Fishing Vessel Master/Farm Operator or Fishing Company/Organisation

I certify that the above information is complete, true and correct to the best of my knowledge and belief.

Name	Signature	Fishing Company/Organisation	Date of Signature

## 6. Measured and Verified Landed Weights by Authority

- Landed product types and weights are the same as detailed in Section 3 above
- Or
- Landed product types and weights are not the same as detailed in Section 3 above, fill in the table below

Fresh (F) or Frozen (FR)	Product Type: (select from the Product Type table below)	Verified Net Weight Landed (kg)	Total Number of SBT landed as RD, GGH, GGO, GGT, DRO, DRT

Tick if this is a landing of a domestic product

## 7. Catch / Harvest Certificate Validation by Authority

I validate that the above information is complete, true and correct to the best of my knowledge and belief, and that I have seen sufficient evidence confirming the verified landed weights.

Name	Signature	Date of Signature

OFFICIAL  
SEAL

**EXPORT SECTION**

Catch /Harvest Certificate No.

CC -

**8. Export Details**

Destination State / Fishing Entity					
Point of Export	<input type="checkbox"/> From land	City		State / Fishing Entity	
Or					
	<input type="checkbox"/> From sea	(e.g. a transshipment at sea or a direct landing from sea of a fishing vessel)			

**9. Certification by Exporter**

I certify that the above information is complete, true and correct to the best of my knowledge and belief.			
Name	Company / Organisation	Signature	Date of signature

**10. Export Certificate Validation by Authority**

I validate that the above information is complete, true and correct to the best of my knowledge and belief.			OFFICIAL SEAL
Name	Signature	Date of signature	

**IMPORT SECTION****11. Point of import**

City	State / Fishing Entity	Date (or Expected Date) of Customs Import Certification/Clearance

**12. Certification by Importer**

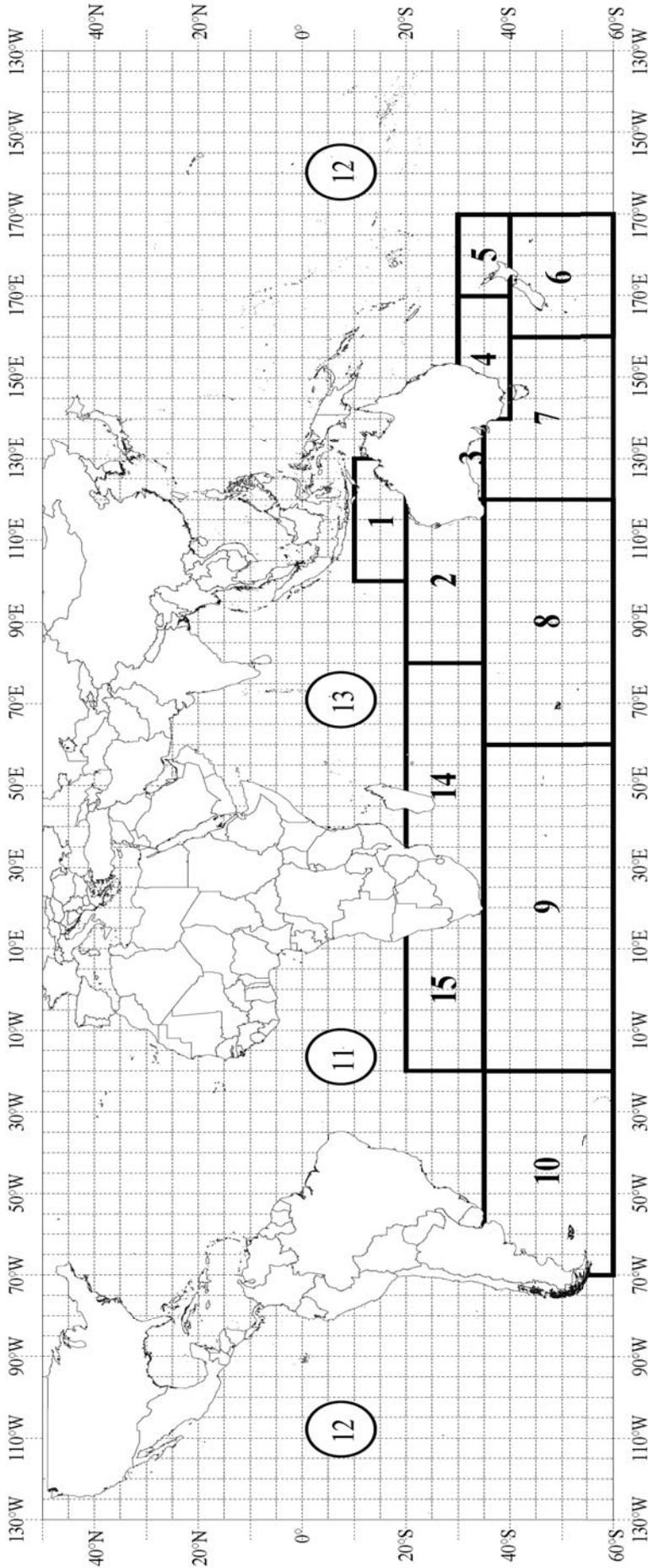
I certify that the above information is complete, true and correct to the best of my knowledge and belief.			
Name or Company Name	Address	Signature	Date of signature



# CATCH/ HARVEST AND EXPORT CERTIFICATE

## INSTRUCTION SHEET

### Map of CCSBT Statistical Areas





Commission for the  
Conservation of  
Southern Bluefin Tuna

# EXPORT CERTIFICATE

## Catch Documentation Scheme

Export Certificate Number v1.0

EX -

### EXPORT SECTION

#### 1. Export Details

Exporting State / Fishing Entity		Date of Export	
Destination State / Fishing Entity			
Point of Export	<input type="checkbox"/> <b>From land</b>	City	State / Fishing Entity
	<b>Or</b>		
	<input type="checkbox"/> <b>From sea</b>	(e.g. a transhipment at sea or a direct landing from sea of a fishing vessel)	

#### 2. Preceding Certificate Details

Certificate Number of the Immediately Preceding Certificate	
---	--

#### 3. Export Product Details

All of the product from the Preceding Certificate is being exported without any change to the quantity, product type, or net weight of the product. Do not fill in the table below.

**Or**

Product from the Preceding Certificate is being exported with changes to the quantity, product type, or net weight of the product. Fill in the table below.

Product Type as recorded on the Preceding Catch / Harvest or Export Certificate	Description of Product Being Exported			
	Fresh (F) or Frozen (FR)	Product Type (select from Product Type table below)	Net weight (kg)	Total Number of SBT exported as RD, GGH, GGO, GGT, DRO, DRT

#### 4. Certification by Exporter

I certify that the above information is complete, true and correct to the best of my knowledge and belief.

Name	Company / Organisation	Signature	Date of signature

#### 5. Export Certificate Validation by Authority

I validate that the above information is complete, true and correct to the best of my knowledge and belief.

Name	Signature	Date of signature

OFFICIAL SEAL

### IMPORT SECTION

#### 6. Point of import

City	State / Fishing Entity	Date (or Expected Date) of Customs Import Certification/Clearance

#### 7. Certification by Importer

I certify that the above information is complete, true and correct to the best of my knowledge and belief.

Name or Company Name	Address	Signature	Date of signature

#### Commonly used Product Types

RD - Round	DRT - Dressed - tail off	LOI - Loins	Additional product types and descriptions are on the instruction sheet and also at the following CCSBT website link: <a href="http://www.ccsbt.org/product_codes">www.ccsbt.org/product_codes</a>
GGO - Gilled and gutted - tail on	FL - Fillet	KAM - Kama	
GGT - Gilled and gutten - tail off	HAR - Haramo	KAW - Kawara	
DRO - Dressed - tail on	HED - Head meat	NOD - Nodo	

## EXPORT CERTIFICATE INSTRUCTION SHEET

This Certificate must accompany all exports (including re-exports) of southern Bluefin tuna (SBT). A copy of the completed Certificate must be provided to and retained by the issuing Flag State/Fishing Entity. The issuing Flag State/ Fishing Entity shall then provide a copy of this Certificate to the CCSBT Executive Secretary in accordance with the standard CDS data submission timeframes.

**[[Each ExC must be accompanied by a copyiesy of its Preceding Catch/ Harvest or Export Certificate<sub>s</sub> and any Certificate<sub>s</sub> attached to the Preceding Certificate<sub>s</sub> (including Farm Stocking ~~and~~ Transfer Certificate<sub>s</sub>).]]**

If a language other than one of the CCSBT official languages (English and Japanese) is used in completing the Certificate, then please add the English or Japanese translation to the Document.  
This ExC has 2 main sections: (1) Export Section and (2) Import Section.

### **[[Events Requiring the Completion of an ExC**

The requirement to complete an ExC is triggered by any of the following events:

- SBT is landed at its export destination either directly from the Fishing Vessel that caught it or from a Carrier Vessel that received transhipped SBT;
- SBT in bonded cold storage at an intermediate destination is exported;
- Domestically landed SBT is exported, or
- Imported SBT is re-exported.]]

The export section of the ExC must be fully completed by the (re-)exporter either at the time SBT are landed directly at a foreign port by a fishing vessel or Carrier Vessel for importation, or before the SBT are exported by any other means of transportation, *e.g.* by container vessel, plane, etc.

The import section must be completed by the importer at the time of importation/ customs clearance.

### **CERTIFICATE HEADER**

The top of the Certificate contains one piece of information that must always be completed:

**Certificate Number:** Enter the unique Certificate number that was allocated by the State/Fishing Entity that issued this Certificate.

### **EXPORT SECTION**

#### **1. Export Details**

**Exporting State/Fishing Entity:** Enter the Exporting State/Fishing Entity.

**Date of Export:** Enter the date (dd/mm/yyyy) on which the SBT was exported.

**Destination State/ Fishing Entity:** Enter the State/Fishing Entity to which the SBT is being exported.

#### **Point of Export**

Tick the appropriate box to specify whether the SBT was exported from a point on land, or arrived by sea via transhipment at sea or direct landing from a fishing vessel.

If exported from a point on land then:

**City:** Enter the city of export.

**State/ Fishing Entity:** Enter the State/Fishing Entity of the city of export.

## 2. Preceding Certificate

### Certificate Number of the Immediately Preceding Certificate:

**[[Enter the unique Preceding Certificate<sup>1</sup> number (either a Catch/ Harvest or Export Certificate number).]]**

## 3. Export Product Details

Tick the appropriate box to specify whether either:

- i) All the SBT from the Preceding Certificate<sup>1</sup> number are being exported without any change to the quantity, product type, or net weight of the SBT product, or
- ii) The SBT from the Preceding Certificate<sup>1</sup> is being exported with changes to the quantity, product type or net weight of the SBT product.

If option i) is ticked then no additional information needs to be provided for this section and the table does not need to be filled out.

If option ii) is ticked then this export of SBT must be described using the highest degree of accuracy with the following information.

**NOTE: Please enter only one row of information per state (fresh or frozen) and product type combination.**

**[[Product Type as recorded on the preceding Catch/ Harvest or Export Certificate:]]**

Enter the product type code (from the table located at the bottom of these instructions) that was the source type of the SBT now being exported.

**Fresh (F) or Frozen (FR):** Specify whether the SBT product is either FRESH (F) or FROZEN (FR).

**Product Type:** Enter the product type code (from the table located at the bottom of these instructions) that most closely matches the product type of the SBT being exported.

**Net Weight (kg):** Enter the net weight (kg) of the SBT being exported.

**Total Number of SBT exported as RD, GGH, GGO, GGT, DRO, DRT:**

Enter the number of SBT that remain whole<sup>2</sup> for this export. Do not provide the number of loins, fillets, *etc* in this field.

## 4. Certification by Exporter

**Certification by Exporter:** The exporter<sup>3</sup> must provide his/her name, signature, date (dd/mm/yyyy), and the exporting company/ organisation name to certify the information provided in relation to the export shipment (*i.e.* that the Certificate correctly records what is being exported). If exporters do not have an exporter company name, then they should write their own name in the Company/ Organisation field.

## 5. Export Certificate Validation by Authority

**Validation by Authority:** Enter the name of the official<sup>4</sup> signing the document, together with the signature of the official, date (dd/mm/yyyy) and official seal.

<sup>1</sup> A Preceding Certificate is the Certificate on which the SBT were recorded immediately prior to being recorded on the current Export Certificate. **[[The Preceding Certificate will be either a Catch/Harvest Certificate or another Export Certificate (in the case of re-exports).]]**

<sup>2</sup> A SBT is considered to be whole despite cleaning, gilling and gutting, freezing and/or removing fins, operculae (gill plates/covers) and tail, and/or removing the head or parts of the head. A SBT is no longer considered to be whole if it has undergone processes such as filleting or loining, *etc*.

<sup>3</sup> The individual certifying as 'Exporter' must be an authorised individual approved by the exporting company to make this declaration on the company's behalf, but it must not be the same individual as the individual validating the export.

<sup>4</sup> The official must be in the employment of, or delegated by, the competent authority of the State/Fishing Entity that exported the SBT appearing on the document. The Member, Co-operating Non-Member or Other State/Fishing Entity Cooperating in the CDS which utilises a delegated entity shall submit a certified copy of such delegation to the Executive Secretary.

**IMPORT SECTION****6. Point of Import**

**City:** Enter the city of import.

**State/ Fishing Entity:** Enter the importing State/Fishing Entity.

**Date (or Expected date) of Customs Import Certification/ Clearance:** Enter the date (dd/mm/yyyy) or expected date when this shipment of SBT was/ will be imported/ customs cleared.

**7. Certification by Importer**

**Certification by Importer:** The person or company that imports SBT must provide his/her/the company's name, address, signature and the date (dd/mm/yyyy) of signature. For fresh and chilled product, the signature of the importer may be replaced by the signature of a person from a customs clearance company, but only if the authority for signature has been properly accredited to the customs clearance person by the importer.

**SBT Product Code Type Table**

<b>CODE</b>	<b>NAME</b>	<b>DESCRIPTION</b>
RD	Round	SBT without any processing
GGH	Gilled and Gutted - Head off	Gilled and gutted with head removed (sometimes used by NZ)
GGO	Gilled and Gutted - Tail on	Processed with gills and gut removed. Operculae (gill plates/covers) and dorsal, pelvic and anal fins may or may not be removed
GGT	Gilled and Gutted - Tail off	Processed with gills, gut and tail removed. Operculae (gill plates/covers) and dorsal, pelvic and anal fins may or may not be removed
DRO	Dressed - Tail on	Processed with gills, gut, operculae (gill plates/covers) and head removed. Dorsal, pelvic and anal fins may or may not be removed
DRT	Dressed - Tail off	Processed with gills, gut, operculae (gill plates/covers), head and tail removed. Dorsal, pelvic and anal fins may or may not be removed
FL	Fillet	Processed further than DRT, with the trunk cut into fillets
LOI	Loins	Fillets cut in half
BLO	Block	Block
CHN	Chin meat	Chin meat
HAR	Haramo/ Harami/ Harasu	Similar to toro
HED	Head Meat	Head meat – meat around the forehead/ top of the head
HOH	Hoho(niku)	Cheek meat
KAM	Kama	Collar meat
KAW	Kawara	Horizontally cut block
NAK	Nakaochi	Meat around the backbone
NEG	Negitoro genryo	Minced tuna meat
NOD	Nodo	Meat at the bottom of the head, connecting both side gill covers
TR	Toro	Fillets of fat (the most expensive part of the tuna)

(Additional product types are listed at [www.ccsbt.org/product\\_codes](http://www.ccsbt.org/product_codes))



# CATCH TAGGING CERTIFICATE

## INSTRUCTION SHEET

This Certificate is to be issued by the Flag State/Fishing Entity that holds the national quota allocation against which these Southern Bluefin tuna (SBT) have been taken.

This Certificate must be completed and provided to the issuing Flag State/Fishing Entity for each tagged SBT recorded on the associated **[[Catch/ Harvest Certificate]]**. The issuing Flag State/ Fishing Entity shall retain a copy of this Catch Tagging Certificate (CTC), and then provide all the information from this CTC in electronic format to the CCSBT Executive Secretary in accordance with the standard CDS data submission timeframes.

If a language other than one of the CCSBT official languages (English and Japanese) is used in completing this Certificate, please add the English or Japanese translation to the Document.

The Catch Tagging Certificate has one main section: Catch Section.

### CERTIFICATE HEADER

The top of the Certificate contains three pieces of information that must always be completed:

**Certificate Number:** Enter the unique Certificate number that was allocated by the Flag State/Fishing Entity that issued this Certificate.

**Wild Harvest or Farmed:** Tick only one box to specify whether this information is from a Wild Capture, or from a Farm.

**Certificate Number of Associated **[[Catch/ Harvest Certificate]]**:** Enter the unique Certificate Number of the **[[Catch/Harvest Certificate]]** that is associated with this Certificate.

### CATCH SECTION

**Name of Fishing Vessel (or Farm):** For farmed SBT, enter the name of the farm from which the SBT were harvested. For other SBT enter the name of the catching vessel.

**Flag State Vessel Registration Number (or CCSBT Farm Serial Number):** Enter the Flag State Registration Number of the Catching Vessel (or the CCSBT Farm Serial Number from the CCSBT Record of Authorised Farms).

**Flag State/Fishing Entity:** Enter the Flag State or Fishing Entity of the Vessel or Farm.

**Information on Other forms of Capture:** Enter any relevant information on the form of capture (*e.g.* Trap).

### Tag Information

The Tagging information for each SBT must be recorded.

**NOTE: One row shall describe one tagged SBT.**

**CCSBT Tag Number:** Enter the unique tag number of the tag that has been attached to the SBT.

**Type:** Enter the type code from the table below that most closely matches the type of the SBT.

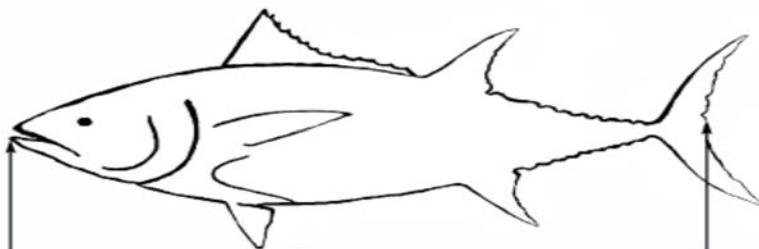
CODE	NAME	DESCRIPTION
RD	Round	SBT without any processing
GGH	Gilled and Gutted - Head <del>Off</del> <del>Removed</del> <del>Processed with gills and gut</del> <del>removed</del> <del>and</del> <del>with</del> head removed	(sometimes used by NZ)
GGO	Gilled and Gutted - Tail on	Processed with gills and gut removed. Operculae (gill plates/covers) and dorsal, pelvic and anal fins may or may not be removed
GGT	Gilled and Gutted - Tail off	Processed with gills, gut and tail removed. Operculae (gill plates/covers) and dorsal, pelvic and anal fins may or may not be removed
DRO	Dressed - Tail on	Processed with gills, gut, operculae (gill plates/covers) and head removed. Dorsal, pelvic and anal fins may or may not be removed
DRT	Dressed - Tail off	Processed with gills, gut, operculae (gill plates/covers), head and tail removed. Dorsal, pelvic and anal fins may or may not be removed

**Net Weight (kg):** Enter the net weight (kg) of the SBT.

**Fork Length (cm):** Enter the fork length of the SBT, rounded to the nearest whole centimetre.

In cases where SBT can be measured at the time of kill: measure the straight line horizontal (not curved over body) length of the SBT from the closed mouth to the fork of the tail before freezing and tailing as shown in the diagram below.

In cases where length cannot be measured immediately after the time of kill, but is instead measured upon landing, and after tailing and before freezing: Measure the straight line horizontal (not curved over body) length of the SBT from the closed mouth up to the point where the tail was removed, and then apply an appropriate conversion factor to this length measurement to convert it to a fork length measurement.



**Gear code (if applicable):** Identify the gear type that was used to harvest the SBT using the list below; for OTHER TYPE, describe the type of gear. In the case of farmed SBT, write "FARM".

GEAR CODE	GEAR TYPE
BB	Baitboat
GILL	Gillnet
HAND	Handline
HARP	Harpoon
LL	Longline
MWT	Mid-water Trawl
PS	Purse Seine
RR	Rod and Reel
SPHL	Sport Handline
SPOR	Sport Fisheries Unclassified
SURF	Surface Fisheries Unclassified
TL	Tended Line
TRAP	Trap
TROL	Troll
UNCL	Unspecified Method
OT	Other Type

**CCSBT Statistical Area of Catch (if applicable):** Enter the area in which the SBT were harvested. Record one of the main CCSBT Statistical Areas (1 to 10 and 14 to 15) if appropriate, or alternatively record one of the more general CCSBT Statistical Areas (11 to 13) if none of the main statistical areas apply.

In the case of farmed SBT, it is not necessary to fill in this column.

**Month of Harvest (mm/yy):** Enter the month and year of harvest of the SBT tagged; in case of farmed SBT, this applies to the time of kill, not the time of initial harvest.

**Certification and Validation**

**Certification:** An appropriate authority should complete this section, with his/her full name, signature, date and title to certify that this Certificate correctly records the tagging information.

## Appendix 2

### Minimum Procedural and Information Standards for CCSBT Member and Cooperating Non-Member (CNM) Tagging Programmes

#### *General requirements of an SBT tagging system*

1. As outlined in sections 1.8 and 1.9 of the Resolution, the SBT tag shall remain on each individual fish while the fish carcass remains whole. A fish remains whole despite cleaning, gilling and gutting, freezing, and/or removing fins, operculae (gill plates/covers) and tail and/or removing the head or parts of the head. A fish is no longer considered to be whole if it has undergone processes such as filleting or loining.
2. Members and CNMs shall take steps to ensure that SBT tags cannot be reused.

#### *Specifications for SBT tags*

3. Each SBT tag shall meet the following minimum standards:
  - a. have a unique pre-recorded tag number in an easily readable form;
  - b. have a CCSBT logo/ identifier;
  - c. tag numbering shall include a unique flag state identifier and a fishing year identifier (e.g. NZ-2008-000001);
  - d. be able to be securely fastened to SBT;
  - e. be non-reusable, tamper-proof and secure from counterfeiting or replication;
  - f. be able to withstand at least negative sixty (60) degrees Celsius temperatures, salt water and rough-handling, and remain flexible and not become brittle in these conditions; and
  - g. be food safe.
4. Purchase of standard, centralised CCSBT tags can be arranged annually from the Executive Secretary. Members/CNMs that do not purchase and use these centralised CCSBT tags shall provide a colour photograph of the type of tag they are using. These photographs should be in sufficient resolution to clearly show any tag labels and logos, and any other security features incorporated as part of the tag. The Executive Secretary will post these photographs on the public area of the CCSBT web site.

#### *General requirements for tag related information*

5. Members and CNMs shall record the distribution of SBT tags to entities they authorise to fish for, or farm, SBT.

6. In relation to each tag, Members and CNMs shall ensure their vessels and operators, and the relevant authorities have reporting procedures and formats allowing the collection of the required tagging information which must include month, area, and method of capture, and weight and length for each SBT.
7. All requirements of the CCSBT CDS Resolution outlined in Sections 4 – 10 of this Resolution apply to tagging documentation and information for Members and CNMs implementing tagging programmes.

## Appendix 3

### Content of the Executive Secretary's Six Monthly/Annual Reports to the Extended Commission

The reports in this Appendix are only to be provided to a designated authority of each Member/CNM.

Within this Appendix, the following abbreviations are used to refer to different Certificate types:

- FSC – Farm Stocking Certificate
- FTC – Farm Transfer Certificate
- CHC – Catch/Harvest Certificate
- ExC – Export Certificate
- CTC – Catch Tagging Certificate.

#### **Production Reports**

Three production reports are to be produced.

##### (1) Production summary and reported catch comparison report

This report uses data from the CHC together with mortalities from the FSC to estimate the quota year catch of each Member and CNM. This report should only be provided for completed quota years and where sufficient CDS data are available. Processed weights from the CDS should be converted to whole weights using conversion factors supplied by each Member/CNM if available or the “best” alternative conversion factor where the Member/CNM has not provided a conversion factor to use. All conversion factor values used in the report should be listed. The report should also provide the reported quota year catch from the Member/CNM (if that is available) for comparative purposes.

- Flag State/Fishing Entity;
- Quota year<sup>1</sup>;
- Total verified whole weight of SBT caught/harvested as estimated by the CDS (using conversion factors);
- Total whole weight of SBT caught/harvested as reported by the Member (if available); and
- Comments<sup>2</sup>.

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<sup>1</sup> Members/CNMs have different quota years, so the actual quota year period of each Member/CNM should be used and these periods should be shown in the report to prevent confusion.

<sup>2</sup> Comments may be required to provide additional information for interpreting the data presented, for example, to indicate that a Member's report includes catches (such as recreational catch) that is not covered by the CDS, or that the CDS data may not be fully up to date for the most recent year, etc.

(2) Detailed production summary reports

The next two reports use data from FSCs and CHCs to provide the following information on all SBT caught or harvested, or recorded as farm catch/tow mortalities.

Report a) is based on estimated weights and report b) is based on verified landed weights.

**a) *Estimated Catches***

- Flag Member/CNM;
- Wild catch, farm harvest, or farm catch/towing mortality;
- Product Type (RD/GGO/GGT/DRO/DRT/FL/OT etc.);
- Month and year of catch/harvest/tow mortality;
- Gear code;
- Statistical area; and

Within the above groupings, report on the following quantities:

- Number of SBT retained as RD/GGH/GGO/GGT/DRO/DRT;
- Estimated net weight (kg) of SBT; and
- Calculated (using conversion factors) whole weight (kg) of SBT.

**b) *Verified Catches***

- Flag Member/CNM;
- Wild catch, farm harvest, or farm catch/towing mortality;
- Fresh or Frozen (F/FR);
- Product Type (RD/GGO/GGT/DRO/DRT/FL/OT etc.);
- Month and year of offloading; and

Within the above groupings, report on the following quantities:

- Number of SBT landed as RD/GGH/GGO/GGT/DRO/DRT;
- Verified weight (kg) of SBT landed; and
- Calculated (using conversion factors) whole weight (kg) landed – based on verified weights.

**Export/ Re-export Reports**

The following three reports on exports (including re-exports), are to be produced using data from ExCs, or from ExCs and CHCs combined.

(1) Detailed Export/Re-export summary report

This report uses data from ExCs to provide the following information:

- Export or a re-export;
- ExCs received from the exporter (yes/no);
- ExCs received from the importer (yes/no);
- State/Fishing Entity that issued the Preceding Certificate;
- Currently re-/exporting State/Fishing Entity;
- Point of re-/export;
- Year and month of re-/export;

- Intended re-/export destination;
  - Importing State/Fishing Entity (re-/export destination);
  - Fresh/frozen product re-/exported (F/FR);
  - Product type (RD/GGO/GGT/DRO/DRT/FL/OT etc.) re-/exported; and
- Within the above groupings, report on the following quantities:
- Number of SBT re-/exported;
  - Net weight (kg) of SBT re-/exported; and
  - Calculated (using conversion factors) whole weight (kg) of SBT re-/exported.

## (2) Export/Re-export Discrepancy Reports

### ***a) Initial Export Discrepancy Report***

The report should cross-check all ExCs (that record initial exports only) against their preceding CHC, and produce a list of any CHCs that have been “over utilised<sup>3</sup>” during initial exportations. The list should identify:

- The Certificate number, flag, product type(s) and weight(s) recorded on each over-utilised CHC; and
- The Certificate number, exporting flag, product type(s) and weight(s) recorded on the associated ExC(s).

### ***b) Re-export Discrepancy Report***

This report can only be run if a single preceding Export Certificate number is recorded on each ExC.

It should cross-check all re-export ExCs against their preceding ExC, and produce a list of any ExCs that have been “over utilised<sup>3</sup>” during re-exportations. The list should identify:

- The Certificate number, flag, product type(s) and weight(s) recorded on each over-utilised ExC; and
- The Certificate number, re-exporting flag, product type(s) and weight(s) recorded on the associated ExC(s).

## **Tagging Reports:**

One tagging report is to be produced.

### (1) Tag summary report

This report uses data from both CTCs and CHCs to provide the following information:

- Flag State/Fishing Entity;
- Total number of CHCs for which all expected CTCs were received;

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<sup>3</sup> An over-utilised Certificate is one where subsequent exports/re-exports of SBT from that Certificate have exceeded the original quantity (taking into account product type) of SBT reported on that Certificate.

- Total number and net weight (kg) of SBT tagged;
- Total number and net weight (kg) of SBT reported on associated CHCs; and
- Percentage discrepancy between the number and weight (kg) of SBT recorded on the included CHCs versus on the CTCs.

### **Transshipment Reports**

Two transshipment reports are to be produced.

#### **(1) Transshipment summary report**

This report uses data from CHCs together with transshipment declarations and observer reports to provide the following summary information for transshipments of SBT.

- Flag of catching vessel;
- Deferred or immediate transshipment;
- Month and year of transshipment;
- Type of transshipment (in port or at sea);
- Flag of Carrier Vessel; and

Within the above groupings, report on the following quantities:

- Number of transshipments;
- Number of whole<sup>4</sup> SBT according to CHCs;
- Number of whole<sup>4</sup> SBT according to transshipment declarations;
- Verified net weight (kg) of SBT according to CHCs;
- Net weight (kg) of SBT transhipped according to transshipment declarations; and
- Net weight (kg) of SBT transhipped according to transshipment observer reports.

#### **(2) Transshipment discrepancy report**

This report produces details of each transshipment in which the weight of SBT recorded on the CHC differs from the weight of SBT in either the transshipment declaration, or the transshipment observer report weight is greater than the weight recorded on the CHC by more than 2.5% (or other agreed percentage).

- Flag, name and registration number of catching vessel;
- Deferred or immediate transshipment;
- Date of transshipment;
- Type of transshipment (in port or at sea);
- Flag, name and registration number of Carrier Vessel;
- Net verified weight (kg) and Type of SBT according to the CHC;

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<sup>4</sup> A SBT is considered to be whole despite cleaning, gilling and gutting, freezing and/or removing fins, operculae (gill plates/covers) and tail, and/or removing the head or parts of the head. A SBT is no longer considered to be whole if it has undergone processes such as filleting or loining, *etc.*

- Net weight (kg) and Type of SBT according to the transshipment declaration; and
- Net weight (kg) and Type of SBT according to the transshipment observer report.

### **Farm Reports**

Two farm reports are to be produced. These reports should cover a catching and farming period that reflects the usual “season” of the relevant farming Member/CNM.

#### **(1) Farm summary report**

This report uses data from the FSCs, FTCs and CHCs to provide the following aggregate information for farmed SBT from each farming Member/CNM.

- Flag and total number of catching vessels;
- Date range of SBT capture;
- Statistical area(s) of SBT capture;
- Date range of SBT transfers to farms;
- Total number and estimated weight of SBT mortalities during towing;
- Minimum, maximum and median of the average SBT weights over all transfers;
- Total number and verified weight (kg) of SBT transferred into farms;
- Date range of SBT harvest from farms; and
- Total number and weight (kg) of SBT harvested from farms.

#### **(2) Farm discrepancy report**

This report produces details for each farm in which the number of SBT harvested from a farm according to the associated CHCs for that farm is **greater** than the number of SBT stocked/transferred into that farm (according to the associated FSCs and adjusted according to any relevant FTCs) .

- Flag, and name of the farm;
- Date range of SBT transfers to this farm from tow cages;
- Total number and verified weight (kg) of SBT transferred into this farm from initial tow cages;
- Date range of SBT transfers to/from this farm from/to other farms;
- Total number and verified weight (kg) of SBT transferred to/from this farm from/to other farms;
- Date range SBT were harvested from this farm; and
- Total number and weight (kg) of SBT harvested from this farm.

### **Reconciliation Reports**

CDS documentation will be sent to the Secretariat on a bi-monthly<sup>5</sup> basis from multiple sources. The same document may be sent to the Secretariat at different times. For example, once when the SBT are exported or re-exported, and again when the same SBT are imported.

The Secretariat will produce reconciliation reports for each Member/ CNM on at least the following items:

- The number and types of Certificates that are expected to have been received, but have not yet been received from each Member/CNM;
- The number of partially complete Certificates submitted by each Member/ CNM;
- Any discrepancies occurring between Certificates received from different sources (*e.g.* between exporter and importer Certificates);
- Any vessels that caught SBT while not being authorised to do so;
- Any validators not authorised to validate Certificates on the date they have signed as validator;
- Any Certificates that have not been correctly certified and/or validated;
- Any duplicate Certificate or tag numbers; and
- Any incomplete, missing or obviously incorrect data fields present on Certificates.

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<sup>5</sup> Bi-monthly means that submissions must be made once every two months