



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

1.0 INTRODUCTION

According to item 8.3.3 a) of the current Compliance Plan's 3-year Action Plan (CAP), the CCSBT's CDS Resolution is scheduled to be reviewed during 2015 and 2016.

At the Tenth meeting of the Compliance Committee (CC10) in 2015, the Secretariat presented paper (CCSBT-CC/1510/09) which included a preliminary review of the CCSBT CDS Resolution conducted at the request of CC9. One of the primary aims of this preliminary review was to propose changes that would facilitate the smoother implementation of an electronic CDS (eCDS) should Members wish to progress one in the future. Members agreed with the general direction of the proposed revisions to the Resolution, but also noted some concerns.

At CC10 Members considered an intersessional process was required to work through the details of the proposed CDS revisions so that CC11 and CCSBT 23 would then be in a stronger position to make decisions about them in October 2016. It was therefore agreed to hold a fourth meeting of the Compliance Working Group (CCWG4) in April 2016.

To support this intersessional working group, the Secretariat has produced an updated draft revised CCSBT CDS Resolution (including its associated forms/ Certificates and their instructions). This updated draft now includes revisions to address some of the concerns raised by Members at CC10. It also includes amendments added by the Secretariat to better reflect changes to the revised form/certificate layouts, to simplify previously more complex text, to make additional small improvements, as well as a few further minor editorial updates.

The focus and background information pertinent to this review remain the same as described in paper CCSBT-CC/1510/09. Therefore, the Focus and Background sections (2 and 3) of paper CCSBT-CC/1510/09 have been appended for Members' information at **Attachment A**.

2.0 DRAFT REVISED CDS RESOLUTION

A draft revision of the CDS Resolution (including revised Appendices 1-3) is provided at **Attachment B**.

To assist Members, changes proposed to the CDS Resolution text are generally displayed in tracked changes mode as follows:

- Revisions initially proposed at CC10 are displayed as orange-red tracked changes;
- Additional revisions and/or amendments made to the Resolution text post CC10 are displayed as blue tracked changes;
- The amendments and cancellations section (4) of the Resolution has been completely re-written, therefore that whole section now appears as blue tracked changes;
- Proposed revisions to certificate instructions have only been tracked (in blue) for three of the Certificates presented:
 - the Farm Stocking Certificate (Option 1),
 - the Farm Transfer Certificate,
 - the Catch Tagging Certificate.Proposed amendments to the other certificates' instructions are so numerous that it would not be helpful to show them in tracked changes mode.

There are some additional revisions which *have not* been tracked. These are:

- Main Resolution and Appendices 1 to 3 – minor editorial changes: Capitalisations and abbreviations of “Cooperating Non-Member” to “CNM” are not tracked;
- Appendix 1: Revisions to the Certificates (forms) themselves are not tracked; and
- Appendix 3: The Executive Secretary’s six monthly and annual CDS reports. Again, changes to Appendix 3 are so numerous that it would not be helpful to show them in track changes mode, however a tracked changes version is available from the Secretariat upon request.

It is envisaged that any agreed changes to the CDS Resolution proposed in this paper would be scheduled for implementation on 1 January 2018.

3.0 SUMMARY OF NEW CDS REVISIONS PROPOSED SINCE CC10

Additional revisions have been made to the Resolution since CC10, mostly to address proposals or concerns raised by Members or as further editorial updates.

The key *additional* revisions now included in the draft revised Resolution since CC10 are as follows:

- ***Data submission (refer to section 4.3 of this paper)***
The data submission requirements of the Resolution have been revised to propose bi-monthly¹ rather than monthly submissions. This revision is included to address some Members’ concerns about the practical difficulties associated with the monthly submissions proposed by the Secretariat at CC10.
- ***Amendments and Cancellations***
The new amendments and cancellations section (4) of the CDS Resolution that was originally introduced at CC10 has been simplified.

¹ Bi-monthly means that submissions must be made once every two months

- ***Farm Stocking Certificate Options (refer to section 4.5 of this paper)***
Two options for Farm Stocking Certificates (FSCs) are now presented:
 - a) The first option (FSC – Option 1) is essentially the same as the current Farm Stocking Form (FSF) except for minor editorial changes.
 - b) The second option (FSC – Option 2) includes a number of substantive changes both to the layout of the Certificate, the frequency with which it is required to be filled out, and the information provided. The second option has been introduced to address some of the concerns raised by Japan at CC10.
- ***Attachment of Associated Farm Certificates***
It is proposed that any issued and submitted FSCs or Farm Transfer Certificates (FTCs) should be attached to each associated CHC. Again, this proposal has been added to address a concern raised by Japan.
- ***Export Certificate Revisions (refer to section 4.8 of this paper)***
Additional revisions are proposed to the Export Certificate (ExC) that was first presented at CC10. The main change is the removal of the option to provide individual tag numbers rather than a unique Preceding Document Number in section two of the ExC. The recording of a single preceding document number is now required in all cases.
- ***Tagging (refer to section 4.9 of this paper)***
A requirement that tags should remain attached to ‘whole’² SBT at all stages in the market has been included in the Resolution to address a concern raised by New Zealand. In addition, the Secretariat has proposed a requirement where Members/CNMs that do not use standardised CCSBT tags, should submit a photograph of the alternate tags they are using to the Executive Secretary.
- ***Certificate Instruction Sheets (refer to Appendix 1 of Attachment B)***
The Secretariat has provided revised instruction sheets for each Certificate type as requested at CC10.
- ***Annual/Six-Monthly CDS Report Revisions (refer to Appendix 3 of Attachment B)***
The Secretariat has made further changes to the specifications for the Executive Secretary’s six monthly/annual reports in order to better reflect the proposed changes to the certificate designs.

4.0 SUMMARY OF ALL KEY CDS REVISIONS (proposed at/since CC10)

As mentioned, this paper presents a combination of the CDS Resolution revisions proposed at CC10 as well as additional revisions proposed since CC10. This section provides more detailed information on all the key revisions proposed either at or since CC10.

4.1 Naming of CDS Documents

All of the CDS ‘Forms’ have been re-named to ‘Certificates’ as follows:

- The Farm Stocking Form (FSF) becomes a Farm Stocking Certificate (FSC);
- The Farm Transfer Form (FTF) becomes a Farm Transfer Certificate (FTC);
- The Catch Monitoring Form (CMF) is replaced by a Catch/Harvest Certificate (CHC);
- The REEF is replaced by an Export Certificate (ExC); and
- The Catch Tagging Form (CTF) becomes a Catch Tagging Certificate (CTC).

² In the CDS 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).

4.2 Offloading Events

In this paper the term “offloading” is a key term and is used to refer to the *initial* physical off(un)-loading of SBT product(s) from a domestic farm (*i.e.* harvesting), or a fishing vessel, irrespective of whether the offloading results in a landing in port. Therefore, harvesting SBT from farms, landings of domestic product³, transshipments, and landings into cold-storage facilities or at an export destination, all represent types of offloading events. It is this initial offloading of SBT that will trigger at least the partial, if not the full completion of a CHC.

4.3 Submission of CDS Documents

The Secretariat has proposed several changes regarding the submission of CDS documents including any cancelled or amended documents as follows:

- CDS documents may be submitted as paper copies (or scans of paper copies) as is generally done now, or by direct electronic submission, including by data entry into a web-based electronic CDS (eCDS), providing an eCDS is available;
- CDS documents should be submitted bi-monthly^{1,4} rather than quarterly. More specifically the revised Resolution specifies that CDS Documents are to be submitted to the Executive Secretary no later than the last day of the 2nd month after their certification month for FTCs, CTCs and CHCs (whether complete or not), and no later than the last day of the 2nd month after their validation month for FSCs and ExCs. In situations where CHCs are only partially completed when initially submitted, completed CHCs should be re-submitted no later than the last day of the 2nd month after the month in which they were finally validated; and
- Advice on any paper-issued CDS documents that are amended or cancelled should also be provided to the Executive Secretary bi-monthly¹ as prescribed.

The bi-monthly¹ submission requirement of all completed Certificates (as well as certified but not yet validated CHCs), should ensure that information is available in a timelier manner, therefore improving CCSBT’s general Monitoring, Control and Surveillance (MCS) capacity. This requirement, together with the offloading concept, should particularly ensure the earlier submission of CHCs in cases where SBT are first offloaded into cold storage in port (*e.g.* in Mauritius) for significant periods of time before later being transferred to a Carrier Vessel or other means of transport (refer to section 3.6 of Attachment A).

4.4 Separation of Catch/ Harvest from Re-/Export and Import Information

The proposed revised CDS Resolution, requires that catch/ harvest and (re-)export/ import information will now be recorded separately on CHCs and ExCs respectively. As described in section 4.2 above, it will be the initial offloading of SBT from a fishing vessel or harvest from a farm that will trigger the completion of a CHC (which will need to be at least partially completed by the time of offloading). Arrival of the SBT at a Flag State/Fishing Entity other than the Flag State/ Fishing Entity that caught it will then require the completion of an ExC.

The practical implication of the proposed separation of catch/harvest and (re-)export/ import information is that for direct exports of SBT, two Certificates will need to be completed in future (a CHC and ExC), whereas currently generally only one form (a CMF) needs to be

³ The term ‘landing of domestic product’ means offloading of SBT into the territory of a Member or Cooperating Non-Member caught by a vessel flagged to that Member or Cooperating Non-Member or on the register of fishing vessels of that Member or Cooperating Non-Member.

⁴ The proposed bi-monthly submission requirement doesn’t prevent Members from submitting documents more regularly (*e.g.* monthly) should they wish to do so.

completed. However, if all the product on the source CHC is being exported without any change to the quantity, product type or net weight of the SBT product, then a box on the ExC can be ticked and the SBT product information won't need to be re-provided, thereby minimising the amount of information that needs to be recorded on the ExC.

Separation of the catch/ harvest information (on the CHC) and (re-)export/import information (on the ExC) provides a number of benefits, including:

- The separation of information into distinct events;
- The provision of a linear flow of closely related information that is easier to follow and has a simpler information structure than provided by the current CMF and REEF forms. This will later assist in simplifying the development of CCSBT's eCDS database and software;
- A single Flag State/Fishing Entity will essentially "own" each CHC and will be responsible for validation of the whole CHC;
- All exports will be covered by one type of certificate (an ExC) as opposed to being on different forms (CMFs or REEFs), depending upon the specific situation. Again, this will simplify the system, make it easier to follow, and simplify the development of any eCDS software; and
- If an eCDS is operational, then the eCDS will seamlessly handle the separation of CHCs and ExCs without requiring any additional data entry effort by the user.

4.5 Farm Stocking Certificate (FSC): Options 1 & 2

For the farm stocking process, the Secretariat has included two alternative Farm Stocking Certificate options for Members' consideration.

The first option (FSC – Option 1) essentially represents a status quo option, where only minor editorial changes have been proposed to the form/certificate design and its associated instructions, and no changes have been proposed to the way in which the forms/certificates are filled out.

FSC Option 2 is an alternative to FSC Option 1, and includes significant changes to the form/certificate and its associated instructions.

FSC Option 2 has been developed in an attempt to address concerns expressed by Japan about the FSF in its paper to CC10 (CCSBT-CC/1510/Info05) that:

- Only one FSF is currently completed per fishing vessel throughout a whole fishing season;
- The number and weight of mortalities for each tow is not recorded; and
- FSFs are not available to importing countries for checking.

FSC (Option 1)

The current situation with FSFs is that one FSF is filled out for the whole season (1 December to 30 November for Australia) for each primary purse seine catching vessel. The current FSF aggregates information about total estimated catch weights (kg), the number and estimated weight (kg) of mortalities that occurred during towing, and subsequent transfers of SBT to listed farms per primary catching vessel per fishing season. The mortalities recorded on the FSF represent the mortalities that occurred only during towing. Mortalities that may have occurred as part of the catching or transfer processes are not recorded on the FSF, but are accounted for separately. In addition, FSFs and FTFs are currently submitted direct to the Executive Secretary only.

FSC (Option 1) would operate in accordance with practices already in place for the current FSF, except that it is proposed that the FSC be attached to CHCs to address Japan's concern about FSFs not currently being available to import countries for checking.

FSC (Option 2)

In order to address the majority of Japan's concerns, the Secretariat has developed an alternate FSC (Option 2) for Members' consideration. This alternative option was developed after the Secretariat held some informal discussions with the Australian Department of Agriculture and Water Resources, and the Australian Fisheries Management Authority, in order to try to improve its own understanding of the current farm stocking process.

The Option 2 Certificate design and instructions are significantly different from the Option 1 Certificate.

The main functional differences are as follows:

- A separate FSC should be completed for each SBT tow cage that is transferred to farms. This would mean that farm stocking data for a catching vessel would no longer be aggregated over the season;
- Any vessels involved in the towing of a tow cage should be recorded on each FSC;
- Any mortalities that occurred from the first day of catching the SBT transferred to the tow cage, including during the tow, and up to the completion of the last transfer of SBT into the farm(s) from the tow cage, should be recorded on the FSC;
- To allow better accounting against CHCs, mortalities on the FSC are separated into those retained for sale and those not retained for sale; and
- The weight of mortalities is no longer provided as this can now be calculated by applying the average weight to the number of mortalities;
- Any associated FSCs or FTCs should be attached to the CHC.

4.6 Proposed Farm Transfer Certificate (FTC)

Aside from the name change, only minimal editorial changes have been made to the design and wording of the FSF. There is however one operational change associated with the FTCs. It is that where a CHC records that a transfer has occurred to the farm from which the SBT were harvested, then any associated FTCs must be attached to the CHC.

4.7 Proposed Catch-Harvest Certificate (CHC)

The proposed CHC replaces the current CMF, and no longer includes any export or import information as the existing CMF does. This will allow most of the fields on the Catch/Harvest Certificate to be completed before any offloading/ landing of SBT occurs.

Main Differences between a CMF and the Proposed CHC

The main differences included in the proposed new CHC design are as follows:

- Only catch/harvest and no export or import information is recorded on the CHC;
- Any associated FSCs or FTCs should accompany each CHC⁵;
- The product type "Other" has been removed and instead a more complete list of product types will be maintained which can be expanded on request;
- Processing Establishment details have been removed;

⁵ An alternative option could be that instead of physically attaching associated FSCs or FTCs to CHCs, they could instead be made available to (importing) Members by posting them on the private area of the Secretariat's website.

- A specific offloading date is now recorded, deferred transshipments are catered for, and there is better clarity about the point of offloading;
- A new ‘Offloading Details’ section is included which records details of offloadings, including transshipments and other offloadings. This section replaces the transshipment section of the CMF;
- The CHC should be at least partially completed by the time of offloading from a domestic farm (*i.e.* harvest) or a fishing vessel (see below);
- As recommended in the Secretariat’s paper CCSBT-CC/1410/16, most of the previously required certifications have been removed. Only one certification signature is now required – either that of the fishing vessel master/farm operator or their authorised agent;
- Section 6 is the record of verified landed weights recorded by product type and this replaces the landed weights in the Final Product Destination section of the current CMF, and
- The validation sign-off wording has changed to include a statement that the validator has, “seen sufficient evidence confirming the verified landed weights”.

Timeframe for Completion of a CHC

There are seven sections included in the proposed CHC:

- 1) Catch Tagging Certificate Numbers
- 2) Details of Catching Vessel or Harvesting Farm
- 3) Description of Catch/Harvest
- 4) Offloading Details
- 5) Certification by Fishing Vessel Master/ Farm Operator or Authorised Agent
- 6) Measured and Verified Landed Weights, and
- 7) Catch/ Harvest Certificate Validation by Authority.

The CHC instructions provide guidance on when each of these sections need to be completed as is explained below.

For all offloadings of SBT that are not deferred transshipments to a Carrier Vessel (CV):

- 1) Sections 1 - 5 of the CHC must be completed by the time of offloading, and
- 2) Sections 6 and 7 must be completed at the time the SBT is landed, such as landing of domestic product, direct landings (*i.e.* exports) to foreign fishing ports by fishing vessels, landings of SBT by Carrier Vessels, and landings into bonded cold storage.

For all offloadings of SBT that are deferred transshipments to a CV:

- 1) Sections 1 - 5 of the CHC must be completed by the time of offloading from the fishing vessel, with the exception of the transshipment date and details of the transshipment vessel in Section 4, which must be completed once the transshipment details are known and before the CHC is validated,
- 2) Section 6 must be completed at the time of offloading from the fishing vessel, and before placing the SBT into cold storage, and
- 3) Section 7 must be completed as soon as practicable after Sections 1 - 6 have been completed and before the SBT is accepted for landing of domestic product or import.

4.8 Proposed Export Certificate (ExC)

The Export Certificate (ExC) replaces:

- the 'Export' part of the Intermediate Product Destination section of the current CMF;
- the 'Import' part of the Final Product Destination section of the current CMF, and
- the existing REEF document.

As is the situation with the current REEF, the proposed ExC requires two certifications - one by the exporter, and one by the importer.

Main Differences between a REEF and the Proposed ExC

The main differences to note in the proposed Export Certificate (ExC) are as follows:

- Requirements regarding when to complete an ExC have changed (see below);
- Any CHCs and documents attached to CHCs (*e.g.* FSCs and/or FTCs)⁵ should accompany each ExC;
- A specific date of export is required to be provided;
- Processing establishment details and the, 'Description of fish from the previous CDS document' sections have both been removed;
- There is no longer a requirement to provide a description of the fish from the preceding document as this can be obtained directly from the preceding document; and
- There is an option to specify that all product from the Preceding Certificate is being exported without any changes to the quantity, product type or net weight. When this option is selected, there is no requirement to complete the description of the product being exported because this information can be obtained from the previous document.

Timeframe for Completion of an ExC

The export section of Export Certificates should be fully completed by the re-/exporter either by the time landing of SBT directly at a foreign port by a fishing vessel or Carrier Vessel for importation is completed, or before the SBT are exported by any other means of transportation, *e.g.* by container vessel, plane, etc.

The requirement to complete an ExC would be 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.

Secretariat Comment Concerning Provision of the Unique Preceding Certificate Number

Currently, it is required that only a single preceding document number is recorded on each REEF, *i.e.* that all the SBT being re-exported on the REEF must be sourced from that single listed immediately preceding document number. The new ExC has that same requirement.

However, following the placement of SBT into freezer storage after importation, some re-exporting Members have experienced difficulties in identifying the single specific document number that the SBT were imported with. To try to assist with this issue, in its paper to CC10 (CCSBT-CC/1510/09), the Secretariat proposed an alternative option. This was to allow individual tag numbers of the SBT to be provided if the immediately preceding CHC or ExC number was unknown, irrespective of whether the tag numbers listed originated from different CHCs or ExCs.

However, upon further consideration and analyses the Secretariat has now removed this alternate option from the revised ExC, since it concluded that:

- Large numbers (100s) of tag numbers may need to be recorded in this proposed tag number table – which could make filling out the table impractical; and
- Even with the tag table, the Secretariat still may not necessarily be able to successfully conduct its over-utilisation analyses.

To provide Members with additional time to overcome any remaining difficulties in identifying and recording *the single* immediately preceding unique Certificate number, the Secretariat recommends the following:

- a) For initial exports (where the preceding documents must be Catch/Harvest Certificates), that the requirement to provide a single Preceding Certificate number takes effect immediately the revised CDS Resolution comes into force; but
- b) For re-exports (where the preceding documents are Export Certificates), an agreed phase-in period after the revised CDS Resolution comes into force could apply.

If the phasing in of the requirement in b) above is not agreed by Members, then the re-export discrepancy report should be removed from the agreed list of CDS reports produced by the Secretariat.

4.9 Tagging/ Proposed Catch Tagging Certificate

At CC10, New Zealand and Japan raised concerns regarding the CCSBT CDS tagging/tag documentation processes.

The Secretariat has incorporated New Zealand's proposal that tags should remain attached to ('whole'²) SBT at all stages in the market into this revised draft of the CDS Resolution. Japan is the main importer of SBT, and in the past has advised that it has not been able to ensure that tags are to be retained on 'whole'² SBT once they are distributed into its domestic market. However, the Secretariat has incorporated New Zealand's proposal into this revision in order to give all Members an opportunity to review whether it is now feasible.

In its paper to CC10 (CCSBT-CC/1510/Info 05), Japan expressed a concern that tag information was not available for importing countries to check, and noted it was considering submitting a proposal that copies of the relevant associated CTFs should be attached to each CMF. Submission of CTF data has been extensively debated at CCSBT meetings without consensus. Consequently, the Secretariat did not include any new elements in this revision of the CDS to address Japan's concern about CTFs. However, a partial solution to consider could be to require the submission of tag numbers only (and no associated lengths, weights, *etc*). This would enable verification of tag numbers of imported fish by importers.

Finally, the Secretariat has further updated Appendix 2 of the Resolution (on the CCSBT Tagging Programme) to include an additional paragraph to specify that in cases where Members/CNMs do not use the standard CCSBT tags, then a photograph of the tags being used by these Members/CNMs should be provided to the Executive Secretary for posting on the private area of the CCSBT website.

5.0 POTENTIAL EFFECTS ON RELATED CCSBT MEASURES AND PROCESSES

If any of the proposed amendments to the CDS Resolution are agreed in future, then it's also likely that the following associated CCSBT decisions and measures will be affected and will need to be reviewed accordingly:

- Minimum Performance Requirements (MPRs);
- Reconciliation of CDS data as it becomes available; and
- The CDS database structure, data entry screen designs and data checking routines.

The following items may potentially also require review/revision:

- The CCSBT Transshipment Resolution, and
- The Transshipment Memorandums of Understanding (MoUs) with ICCAT and the Indian Ocean Tuna Commission (IOTC).

6.0 RECOMMENDATIONS

It is recommended that Members:

- Consider the set of CDS Resolution revisions proposed in this paper;
- Note any revisions that could potentially be agreed and/or may be agreed with modification;
- Make appropriate recommendations to CC11 regarding the revision of the CCSBT CDS Resolution, including recommended timeframes for progressing any further work.

Prepared by the Secretariat

The following sections have been copied and pasted from paper CCSBT-CC/1510/09 without any editing, except for the addition of footnote 9.

2.0 REVIEW FOCUS

The focus of this review is to propose amendments to the existing CCSBT CDS Resolution to:

- Ensure that any amended CDS Resolution is compatible with both a paper-based CDS (such as the current one), and will accommodate the introduction of a web-based eCDS if subsequently agreed to by Members;
- Identify and correct deficiencies in the CDS, including enabling the detection of over-utilisation of CDS documents when SBT are being re-/exported;
- Retain and streamline the current CDS processes as far as possible including providing clarification regarding amendment and cancellation processes;
- Improve the timeliness of the receipt of CDS information (there are currently lengthy time delays) so as to facilitate better monitoring and earlier detection of any issues including over-catches; and
- Harmonise with other RFMOs where possible and appropriate, in particular with the International Commission for the Conservation of Atlantic Tuna's (ICCAT's) e-BCD¹, but only where any harmonisation serves to maintain and/or enhance the integrity, robustness and efficiency of the current CCSBT CDS.

This review also takes into account relevant work being undertaken during 2014/15 in the Tuna Traceability and CDS Best Practices component of the Common Oceans ABNJ Tuna Project being implemented by the Food and Agriculture Organisation (FAO).

3.0 BACKGROUND

This section provides background information on the main areas of focus during the review as well as on the Tuna Traceability and CDS Best Practices Project.

3.1 Tuna Traceability & CDS Best Practices Project

This project is being conducted during 2014/15 and aims to establish best practices for traceability and legal provenance in tuna CDS systems in order to contribute to the prevention of IUU-derived tuna entering legal and responsible supply chains. CCSBT contributed to this project by providing general information about how its CDS currently operates, and other relevant background information. In exchange, the CCSBT has benefited from its participation by receiving regular project updates on proposed best practice CDS principles. As a result, some of those principles have been incorporated into the revisions proposed in this paper, particularly with respect to the design of the Catch/Harvest and Export Certificates.

3.2 Compatibility of the Existing Resolution with a Web-based eCDS

The current CCSBT CDS Resolution was agreed and adopted based on the assumption that it would operate primarily as a paper-based system.

¹ Electronic Bluefin Catch Document

In 2012, CC7 requested that the Secretariat explore the costs and benefits of implementing a web-based CCSBT Electronic CDS (eCDS) system. As a first step, the Secretariat presented an eCDS concept proposal to CCWG2 (CCSBT-CCWG/1305/05). This proposal noted that an eCDS:

- should allow for the current paper-based system to remain compatible with the eCDS during a proposed 'phase-in' period of potentially two years;
- would probably not include an interface for Members to data enter Farm Stocking Forms (FSFs) and Farm Transfer Forms (FTFs) when initially developed because very few of these form types are submitted to the Secretariat;
- should allow for a paper-based alternative to remain as an emergency back-up option if required; and
- may still require a paper copy of the form to accompany the southern bluefin tuna (SBT) as required under current section 1.2 of the CDS Resolution, and that this could be printed from the eCDS system.

In 2014 the Secretariat presented a further eCDS paper to CC9 (CCSBT-CC/1410/16).

This paper made the following five recommendations which were supported by Members:

- Consider amendments to the CDS Resolution before commencing development of an eCDS;
- Remove certification from CDS forms;
- Review the catch tagging form completion requirement;
- Design the system to be as easy to use as possible; and
- Evaluate the International Commission for the Conservation of Atlantic Tunas (ICCAT's) e-BCD system for use by the CCSBT.

At CC9, there was strong agreement from Members that the existing CDS Resolution should be reviewed prior to the development an eCDS system, and that this should be the next step towards an eCDS. Therefore, the Secretariat has commenced this review of the CDS Resolution taking into account the above points.

3.3 Clarification of Amendment and Cancellation Processes

The Secretariat has received a number of enquiries during the year regarding amending and/or cancelling CDS documents. It is clear that the existing Resolution does not specify how these processes should be managed. Therefore, the Secretariat has proposed some revisions to try to provide more clarity in this area.

3.4 Timeliness of CDS Data Availability

One of the main advantages of adopting an eCDS would be to facilitate the near real-time receipt of CDS information for monitoring and compliance purposes. Under the current paper-based system, Members are required to submit CDS data to the Secretariat quarterly between 3 - 6 months after forms are issued and/or received by members, CNMs or OSECs². There is then a further delay while the forms are either uploaded electronically or manually data entered onto the Secretariat's CDS application and underlying database.

² Refers to 'Other State/Fishing Entity Cooperating in the CDS', and means a State/Fishing Entity that has expressed its commitment, in writing, to cooperate with this Resolution

This process creates significant time delays in the Secretariat detecting any issues including overcatches. In fact, overcatches are usually not detected by the CDS until well after the associated fishing season has finished. Therefore, the Secretariat proposes that in future, even under a purely paper-based system, all CDS data should be submitted to the Secretariat on a least a monthly basis, so that Documents for one month should be submitted no later than at the end of the following month. This timeframe is the same as that required for monthly catch reports and it will ensure that even if an eCDS is not adopted at this time, CDS data submitted via the current paper-based system would be received in a timelier manner.

3.5 REEF³ Utilisation Analyses

During 2014, the Secretariat noted that, since the CDS was implemented in 2010, multiple Catch Monitoring Forms (CMFs) have been associated with a single REEF. In these cases, it becomes very difficult to detect over-utilisation of CMFs in subsequent exports/re-exports. At CC9, Members recommended that a longer term solution be sought intersessionally if the opportunity arises (*e.g.* during a CDS review), and in the meantime requested that the Secretariat monitor how REEF forms are utilised.

Therefore, the Secretariat has included revisions in the proposed replacement REEF Document to facilitate detection of over-utilisation of CMFs when SBT are being re-exported.

3.6 Landings into Cold Storage

Under the current CDS Resolution, it is possible for a fishing vessel to make several fishing trips and offload its SBT catch into bonded cold storage at port after each fishing trip, *e.g.* in Mauritius, but not fill out any CDS documentation (in particular CMFs), until the SBT is removed from cold storage for transportation. This can result in SBT from multiple trips made by the same fishing vessel being recorded on only one CMF. It can also result in long time delays between the catching of these SBT and any CDS documentation being completed and submitted. In order to prevent this situation occurring, the Secretariat has proposed a mechanism to ensure that Catch/Harvest Certificates will be issued and at least partially completed (and later submitted)⁴ by the time SBT from each trip are offloaded into bonded cold storage facilities. Refer to section 4.5 below⁵ for further details.

³ REEF refers to a Re-export/ Export after Landing of Domestic Product CDS Form.

⁴ In situations where paper-issued CHCs are not fully completed and validated during the same month they are certified by the vessel master/farm operator or authorised representative, the partially completed and certified CHCs must be submitted to the Secretariat as part of the Member's monthly submission.

⁵ The Secretariat recognises that this sub-paragraph reference number is no longer correct (it should now reference sub-paragraph 4.3 in this CCWG4 paper), but has retained the original sub-section reference number because it is not appropriate to update this text which has been copied without any changes into Attachment A from paper CCSBT-CC/1510/09.

3.7 Catch Documentation Schemes of Other tuna RFMOs (tRFMOs)

CAP item 8.3.3.a specifies that the CCSBT should take into consideration the goal of trying to rationalise CDS systems with other Regional Fisheries Management Organisations (RFMOs).

Currently, the only other tuna RFMO with an operational CDS is the International Commission for the Conservation of Atlantic Tunas (ICCAT). ICCAT has an existing CDS for Atlantic Bluefin tuna which was first introduced in 2007 under Recommendation 07-10. All Contracting Parties and Co-operating non-Contracting Parties exporting Atlantic Bluefin tuna must do so in accordance with ICCAT's Bluefin Tuna CDS.

The CCSBT Data Manager visited ICCAT in June 2015 to examine its e-BCD. The Secretariat has taken into consideration feedback from this visit when reviewing its own CDS.

Resolution on the Implementation of a CCSBT Catch Documentation Scheme

(revised at the Twenty-~~xxx-First~~ Annual meeting: ~~16xx~~ October 20~~xx14~~)

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/or~~ export markets;

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

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

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
- ~~documentation, 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 product¹, or landings into cold-storage facilities or at an export destination, transshipments and harvesting SBT from farms, are all types of offloading in terms of this Resolution.

¹ 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.

- ~~1.21.3~~ 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.
- ~~1.31.4~~ For all offloadings of SBT and/or transshipments, landings of domestic product², exports, imports and re-exports under the jurisdiction of a Member or CNM or Other State/Fishing Entity Cooperating in the CDS (OSEC³), 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 meat⁴ (*i.e.* head, eyes, roe, guts, tails) may be allowed without the Document.
- ~~1.41.5~~ Transfers of SBT into and between farms under the jurisdiction of a Member or CNM shall be documented on the Farm Stocking ~~CertificateForm~~ and Farm Transfer ~~CertificateForm~~ as applicable.
- ~~1.51.6~~ 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.
- ~~1.61.7~~ 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.
- ~~1.71.8~~ 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.
- ~~1.81.9~~ Members, CNMs and OSECs shall not permit whole⁵ SBT to be offloaded, landed as domestic product, transhipped, exported, imported or re-exported without a tag, except that:
- ~~1.8.1.9.1~~ in the case of farming operations, the SBT may be ~~offloaded~~landed without a tag provided a tag is attached within 30 hours of kill;

² ~~The term ‘landing of domestic product’ means offloading landing of SBT into the territory of a Member or Cooperating Non Member caught by a vessel flagged to that Member or Cooperating Non Member or on the register of fishing vessels of that Member or Cooperating Non Member.~~

³ 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.

⁴ Any meat separated from fish parts is considered to be meat in this context.

⁵ 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).

~~1.8.2~~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 ~~land~~offloading;

~~1.8.3~~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 ~~land~~offloading.

~~1.9.10~~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~~landing, transshipment or export.

~~1.10.1.11~~ Members and CNMs shall report any exceptional circumstances referred to in 1.9.2~~1.7.2~~, 1.9.3~~1.7.3~~ or 1.10~~1.8~~ to the Executive Secretary within 7 days of the ~~offloading~~landing. The report shall provide details of the exceptional circumstances, the number of SBT tagged and for ~~1.10~~1.8, the old (where known) and new tag number(s).

~~1.11.1.12~~ Members and CNMs shall require that tags be retained on whole⁵ SBT throughout all stages of the market up until consumption 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)Form – records information on the catch, towing and any associated mortalities of SBT during the farm stocking process~~and farming of SBT~~
 - 3.1.2 Farm Transfer Certificate (FTC)Form – records information on the transfers of SBT between farms
 - 3.1.3 Catch/Harvest Certificate (CHC)Monitoring Form – records information on the catch/harvest, offloading, landing, and transshipment, ~~export, and import~~ of all SBT regardless of whether farmed or not, including any unexpected (by)catch
 - 3.1.4 Catch Tagging Certificate (CTC)Form – records information on individual fish~~SBT~~ tagged as part of the CDS
 - 3.1.5 ~~Re-export or~~ Export Certificate (ExC)after Landing of Domestic Product Form – records information on SBT already ~~track~~recorded on athe

Catch/~~Harvest Certificate or ExC~~Monitoring Form to the initial point of landing of domestic product or import 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 ~~A—D~~.
- 3.3 Once approved ~~form~~CDS Documents are adopted, only minimal modifications to Member-specific versions, such as the addition of translations or formatting changes, may be made to produce a Member-specific version⁶. No information field may be omitted from the standard Documents presented in Appendix 1 ~~form~~, except where the field is not applicable.
- 3.4 Any CDS documentation modified, as described in 3.3⁷, shall be provided to the Executive Secretary for distribution to other Members, CNMs, and well as Non-Members cooperating with the CDS known to be involved in the landing, transshipment, import, export, or re-export of SBT.
- 3.5 Significant amendments to ~~the form~~CDS Documents and ~~form~~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 bi-monthly⁸ 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-validated⁹ (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

⁶ However the Catch Tagging ~~Certificates~~Form may be amended to include additional information at the discretion of the Member or CNM.

⁷ With the exception of additions to the Catch Tagging ~~Certificate~~Form.

⁸ Bi-monthly means that submissions must be made once every two months.

⁹ Any Certificates that are amended and have an associated validation section need to be re-validated.

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 bi-monthly⁸ CDS submission; and

4.2.2 importer-certified replacement Certificates shall be submitted to the Executive Secretary by the importing Member/CNM as part of its bi-monthly⁸ CD submission.

A CDS Document (not including any import sections) may be amended only by the issuing Member/ Cooperating Non-Member and/or by the Secretariat upon request as follows:

~~—where the CDS Document was not issued electronically by an eCDS system and was subsequently amended, the issuing Member shall provide an amended copy of the CDS Document to the Importing Flag State immediately, and to the CCSBT Secretariat as part of its monthly CDS submission as outlined in paragraph 7.1 below. The importing Member shall also provide the amended CDS Document (not the original Document) to the Secretariat as part of its monthly CDS submission;~~

~~—where the CDS Document was issued electronically by an eCDS system, the Document shall be amended directly on that system by the issuer if permitted. Alternatively, it shall be amended by submitting an amendment request to the CCSBT Secretariat.~~

~~—A CDS Document's import sections may be amended only by the importing Member/ Cooperating Non-Member, OSEC and/or by the Secretariat upon request as follows:~~

~~—where the CDS Document was not received electronically via an eCDS system and the import section was subsequently amended, the importer shall provide an amended importer copy of the CDS Document to the CCSBT Secretariat as part of its monthly CDS submission as outlined in paragraph 7.1 below;~~

~~—where the CDS Document was received electronically via an eCDS system, the import section shall be amended directly on that system by the importer, providing the Document has not yet been finalised. Alternatively, it shall be amended by submitting an amendment request to the CCSBT Secretariat.~~

~~—A CDS Document may only be cancelled by the issuing Member/ Cooperating Non-Member and/or by the Secretariat upon request as follows:~~

~~4.3.1—where the CDS Document was not issued electronically by an eCDS system, the issuing Member/ Cooperating Non-Member shall cancel the Document and submit a list of any cancelled Documents to the CCSBT Secretariat as part of its monthly CDS submission as outlined in paragraph 7.1 below. A Member that receives a Document that is subsequently cancelled shall provide the replacement CDS Document (not the cancelled Document) to the Secretariat as part of its monthly CDS submission;~~

~~4.3.2 where the CDS Document was issued electronically by an eCDS system, the issuing Member/ Cooperating Non Member shall submit a cancellation request to the CCSBT Secretariat no later than 15 days from the date the cancellation occurred.~~

5. Tagging

~~4.15.1~~ Members and CNMs shall require that an SBT tag be attached to each whole SBT at the time of kill except:

~~4.1.15.1.1~~ in the case of farming operations, the tag may be attached within 30 hours of kill;

~~4.1.25.1.2~~ 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 ~~land~~offloading;

~~4.1.35.1.3~~ 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 ~~land~~offloading.

~~4.25.2~~ As outlined at 3.1.4, a Catch Tagging ~~Certificate~~Form records relevant tagging information for individual SBT. The Catch Tagging ~~Certificate~~Form 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 ~~done~~made on board the vessel, they may be made at the time of ~~offloading~~landing or transshipment, provided the measurements and the associated Catch Tagging ~~Certificate~~Form are filled in before any further transfer of the SBT.

~~4.35.3~~ Completed Catch Tagging ~~Form~~Certificates shall be provided to the Flag Members and CNMs which shall provide the information in the Catch Tagging ~~Certificate~~Form to the Executive Secretary in an electronic format on a ~~quarter~~bi-monthly⁸ basis.

~~4.45.4~~ A tagging programme shall meet the minimum procedural and information standards set out in Appendix 2.

~~4.55.5~~ Members and CNMs shall prohibit the unauthorised use of SBT tags.

56. Validation

~~5.16.1~~ The CCSBT CDS documentation must be validated (~~or signed in the case of transshipments at sea~~) as applicable ~~by~~:

~~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;

~~5.1.16.1.2~~ for Catch/ Harvest Certificates landings of domestic product, 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; ~~and~~

~~5.1.2~~ for all SBT transshipments subject to CCSBT Resolution on Establishing a Program for Transshipment by Large Scale Fishing Vessels, the observer required by that ~~r~~Resolution; and

~~5.1.36.1.3~~ for all exports of SBT, by an official of the exporting Member or CNM; and

~~5.1.46.1.4~~ for all re-exports of SBT, by an official of the re-exporting Member, CNM, or OSEC.

~~5.26.2~~ The authority to validate CDS Documents may be delegated to an authorised person by an official of the relevant State/Fishing Entity. 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.

~~5.36.3~~ Members, CNMs and OSECs shall provide to the Executive Secretary information on validation (including type of validation, name of the organization which validates the Documents, ~~title and~~ 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) in a timely fashion.

~~5.46.4~~ The Executive Secretary will maintain and update the information specified in ~~6.35.3~~ and provide it to all Members, CNMs and OSECs and promptly circulate any changes.

~~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.

~~5.56.6~~ Members, CNMs operating Non-Members and OSECs shall not validate any Catch Harvest Certificate (CHC) unless they have viewed seen sufficient evidence to confirm the veracity of the 'Measured and Verified Landed Weights' recorded on the CHC.

~~5.66.7~~ 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 form are not completed, or where the Certificate form has not been validated as required by this Resolution.

~~5.76.8~~ 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 (except where the tag is no longer required to be attached to the SBT because further processing has occurred, as outlined at Appendix 2).

~~5.86.9~~ Members and CNMs shall undertake an appropriate level of audit, including inspections of vessels, land offloadings, and where possible markets, to the extent necessary to validate the information contained in the CDS documentation.

~~5.96.10~~ 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 ~~6.95.8~~, and the level of compliance.

67. Exchange of Information and Confidentiality of Data

~~6.17.1~~ Members, CNMs and OSECs shall retain all original ~~paper~~ 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 ~~DocumentCertificateform~~. Members, CNMs and OSECs shall also retain a copy of any ~~paper~~ 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 ~~s~~State/~~e~~Entity signed date on the ~~DocumentCertificateform~~. Copies of these CDS Documents (~~except the Catch Tagging CertificatesForm¹⁰~~) ~~and those CD Documents not already submitted to the Executive SecretaryCCSBT Secretariat via a web-based eCDS system~~, shall be forwarded¹¹ to the Executive Secretary on a ~~quarterly~~bi-monthly^{8,12} 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 forwarded¹¹ to the Executive Secretary on a bi-monthly^{8,12} basis.

~~6.27.2~~ The Executive Secretary shall compile the raw data from ~~any paper and electronic~~ 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.

~~6.37.3~~ 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 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.

¹⁰ Requirements to provide information in the Catch Tagging ~~CertificateForm~~ are set out in ~~5.35.24.3~~.

¹¹ Either as a copy of the original ~~paper Certificateform~~ or in electronic format containing all the information in the ~~formCertificates~~.

¹² CDS Documents are to be submitted to the Executive SecretarySecretariat no later than the last day of the 2nd month afterfollowing their certification month for FTCs, CTCs and CHCs (whether complete or not), and no later than the last day of the 2nd month afterfollowing their validation month for FSCs and ExCs. In situations where CHCs were only partially completed when initially submitted, CHCs should be re-submitted no later than the last day of the 2nd month afterfollowing the month in which they were finally validated.

~~6.47.4~~ The Executive Secretary will post on the public area of the CCSBT web site a subset of the report comprising:

- o Catch related details of:
 - o Flag State/Fishing Entity;
 - o Harvest year;
 - o Product destination (including landings of domestic product);
 - o Gear code;
 - o ~~Verified landed Net weight~~¹³;
 - o Estimated whole weight (calculated by applying a conversion factor to the verified net weight);
- o Initial export details (excluding re-exports) of:
 - o Flag State/ Fishing Entity;
 - o Destination State/ Fishing Entity¹⁴;
 - o Net weight exported;
- o Copies of all modified CDS ~~form~~Documents provided in accordance with paragraph 3.4.

~~6.57.5~~ 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 ~~7.36.3~~.

~~6.67.6~~ The Executive Secretary shall analyse the data provided in ~~7.16.1~~ and notify the relevant Member(s) or CNM(s) of any identified discrepancies.

~~78.~~ Verification of CDS Documentation

~~7.18.1~~ 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.

~~7.28.2~~ 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 ~~7.36.3~~ using information available to it.

¹³ Calculated by adjusting the estimated net weight in section 3 of the CHC with the verified weights at section 6 of the CHC.

¹⁴ For Export Certificates where the destination differs from the point of import, the import State/ Fishing Entity will be used.

~~7.38.3~~ 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:

~~7.3-18.3.1~~ doubts about the information contained in any associated CDS documentation; or

~~7.3-28.3.2~~ incomplete, missing or unvalidated CCSBT CDS documentation.

~~7.48.4~~ 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~~7.1~~ and 8.2~~7.2~~, and notify the Executive Secretary of the outcome of any such action for inclusion in its report to the Commission.

~~7.58.5~~ The Compliance Committee will consider the summary information compiled by the Executive Secretary in 7.3~~6.3~~ and 7.4~~6.4~~, including any irregularities and anomalies identified and the outcome of any investigations notified under 8.3~~7.3~~.

~~7.68.6~~ 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.

~~7.78.7~~ Members, CNMs and OSECs shall cooperate to ensure that CDS Documents are not forged and/or do not contain misinformation.

89. Access to and Security of Information

~~8.49.1~~ 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.

~~8.29.2~~ 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.

910. Implementation and Review

~~9.110.1~~ ~~This is current revision of this~~ Resolution will ~~be effective from enter into force on~~ 1 January 201~~870~~.⁴⁵ ~~From that date, it replaces the CCSBT Southern Bluefin Tuna Statistical Document Programme adopted by CCSBT on 1 June 2000. For SBT caught before 1 January 2010, the tagging requirements of the CDS may be exempted until 30 June 2010 and the CCSBT CDS Documents shall be completed in the most practicable manner.~~

~~9.210.2~~ The Compliance Committee will review ~~the operation of~~ this Resolution ~~on an annual basis no later than at its 2011 meeting~~ 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~~

⁴⁵ ~~Japan may use its current tagging system until the end of its 2009-10 fishing season (31 March 2010).~~

of the CDS Documents Catch/Harvest and Export Certificates, and the operation of an eCDS (compared to a paper-based system) if one has already been introduced prior to the review, breakage or loss of tags and the extent of the use of exemptions in 1.9, 1.10~~1.8~~ and 1.11~~1.9~~ as reported by Members and CNMs to the Executive Secretary. ~~The date for a subsequent review will also be agreed at this time.~~

9.310.3 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 during Towing				
Number of tow cages	Date Range		Number of Mortalities	Weight of Mortalities (kg)
	First Tow	Last Tow		

• 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
Date	

FARM STOCKING CERTIFICATE FORM

INSTRUCTION SHEET

This Certificate Form 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 Form must be completed at 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 Form, please add the English or Japanese translation onto the Document.

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

All sections of this Certificate Form must be completed.

CERTIFICATE HEADER

The top of the Certificate Form contains one additional piece of information that must always be completed: ~~This is~~

Document Certificate Number: Enter the unique document Certificate number that was allocated by the State/Fishing Entity that issued of origin for this Certificate Form.

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.

Enter the area in which the southern bluefin tuna were caught using the main CCSBT Statistical Areas (1 to 10 and 14 to 15) or the other CCSBT Statistical Areas areas (11 to 13) where there is no corresponding main area.

Where SBT fish 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 during Towing

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.

Number of ~~m~~Mortalities: Enter the total number of SBT mortalities that occurred.

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

[OPTION 1]

* Note that any SBT mortalities occurring during towing that are landed for commercial sale should not be recorded on this [Certificate form](#), but instead, should be recorded on a Catch/ [Harvest Certificate Monitoring Form](#) as wild caught [SBT fish](#).

FARM TRANSFER SECTION

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

Date Range of ~~T~~ransfers: Enter dates for the ~~F~~irst and ~~L~~ast days of transfer.

Average Weight (kg) of ~~S~~BT fish: Enter the average weight (kg) of all ~~S~~BT fish transferred.

Method of ~~w~~Weight ~~e~~Estimation: Enter the method used to estimate the average weight. Use [4100FS](#) for the [4100](#) fish sampling method. For other [new](#) methods, codes will be [developed and](#) provided [once they have been notified to the CCSBT Secretariat as they are developed](#).

Total Verified Weight (kg): Enter the total verified weight (kg) for all ~~S~~BT fish transferred.

Number of ~~S~~BT fish: Enter the total number of ~~fish~~~~S~~BT transfer-red, 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 form](#) correctly records the ~~S~~BT fish that were transferred to the farm(s).

Validation by Authority: Enter the name and full title of the official¹ signing the document, together with the signature of the official, date (dd/mm/yyyy) and official seal.

¹ 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 utilizes a delegated entity shall submit a certified copy of such delegation to the Executive Secretary.



Commission for the
Conservation of
Southern Bluefin Tuna

FARM STOCKING CERTIFICATE

Catch Documentation Scheme

Certificate Number

FS -

v1.0

The Flag State of all catching and towing vessels on this Certificate is deemed to be Australia unless otherwise noted on this Certificate

1. Catching Vessel Section

		Vessel Name	Flag State Registration Number	Percentage of Total Catch Taken by This Vessel	Tow Cage Number
Primary Catching Vessel	1				
Secondary Catching Vessel(s)	1				
	2				
Fishing Details		Start Date	End Date	CCSBT Statistical Area (cross out and change if not Area 3)	
				3	

2. Towing Vessel Section

Vessels that towed this Tow Cage

Tow Dates		Vessel Name	Flag State Registration Number
Start Date	End Date		

3. Farm Transfer Section

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

4. Mortalities Section

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 Retained for Sale	Number of Mortalities Not Retained for Sale

5. Certification by Master of Primary Catching Vessel or Authorised Agent of the Catching Company

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

Vessel Master (M), or Authorised Agent (A)	Name	Signature	Date of Signature

6. Validation by Authority

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

Name	Authority	Signature	Date of Signature

OFFICIAL
SEAL

FARM STOCKING CERTIFICATE

INSTRUCTION SHEET

This Certificate is to be completed by the master of the primary catching vessel¹ or an authorised agent of the catching company that holds the quota allocation against which these SBT have been taken.

This Certificate must be completed for each tow cage of 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 either:

- before the SBT in this tow cage are harvested and recorded on a Catch/ Harvest Certificate, or
- in accordance with the standard CDS data submission timeframes, whichever is earlier.

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

The Farm Stocking Certificate has 6 main sections: (1) Catching Vessel; (2) Towing Vessel; (3) Farm Transfer; (4) Mortalities; (5) Certification; and (6) Validation.

All sections of this form must be completed.

CERTIFICATE HEADER

The top of the Certificate contains one additional 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

Vessel Name: Enter the vessel names of the primary¹ and any secondary² catching vessels.

Percentage of Total catch Taken by This Vessel: Record what percentage of the catch towed in this tow cage was caught by the primary¹ catching vessel and what percentage was caught by any secondary² catching vessels.

Flag State Registration Number: Enter the Flag State Registration Number of the primary¹ and any secondary² catching vessels.

Start Date: Enter the first date of fishing for the SBT in this tow cage.

End Date: Enter the last date of fishing for the SBT in this tow cage.

CCSBT Statistical Area: This Certificate has been pre-printed with Statistical Area 3. If the SBT were not caught in Statistical Area 3, then cross out Area 3 and change it to the appropriate CCSBT Statistical Area number.

Tow cage Number: Enter the unique tow cage number of this tow cage (for this season).

TOWING SECTION

NOTE: Each Towing Vessel shall be recorded on a new line.

Start Date: Enter the date on which towing of this tow cage commenced.

End Date: Enter the date on which towing of this tow cage ended.

Vessel Name: Enter the name of each vessel that towed this tow cage (up to 6 Tow Vessels).

Flag State Registration Number: Enter the Flag State's Registration Number for each Tow Vessel.

¹ The primary catching vessel is the catching vessel on this Certificate that has transferred all of, or the highest percentage of SBT into the tow cage recorded on this Certificate.

² Secondary catching vessels are additional catching vessels that may have caught and transferred some of their catch into the tow cage recorded on this Certificate. The percentage of catch caught and transferred to the tow cage by any of these secondary vessels will be less than the percentage of the catch caught and transferred into the tow cage by the primary¹ catching vessel.

[OPTION 2]

FARM TRANSFER SECTION

NOTE: Each Farm shall be recorded on a separate line.

Method of Weight Estimation: Enter the method used to estimate the average weight of the SBT.

Record '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.

Average Weight of SBT (kg): Enter the average weight (kg) of all SBT transferred to each farm.

Name of SBT Farm: Enter the name of the SBT farm to which the SBT from this tow cage were transferred.

Date Range of Transfers: Enter dates for the first and last days of transfer to each farm.

Number of SBT: Enter the total number of SBT transferred to each farm as verified from the fish count.

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

This is typically calculated by multiplying the number of SBT by the average weight of the SBT.

MORTALITIES SECTION

Information about the total mortalities associated with the catching, towing and transfer of SBT to/from this tow cage shall be recorded.

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.

CERTIFICATION BY MASTER OF PRIMARY CATCHING VESSEL

(or authorised agent, including representative of the catching company)

Vessel Master (M), or Authorised Agent (A): Enter 'M' if this Certificate is being certified by the Master of the primary catching vessel, or 'A' if it is being certified by an authorised agent of the catching company which holds the quota.

Name, Signature, Date of Signature: The certifier shall provide his/her full name, signature and date of signature (dd/mm/yyyy) to certify that this Certificate correctly records the SBT that were transferred to the farm(s).

VALIDATION BY AUTHORITY

Name, Authority, Signature, Date of Signature: Enter the name and full title (authority) of the official³ signing the document, together with the signature of the official, date (dd/mm/yyyy) and official seal.

³ 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
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Southern Bluefin Tuna

FARM TRANSFER CERTIFICATE

Catch Documentation Scheme

Certificate Number

FT -

The Flag State of all farms and the towing vessel on this Certificate is deemed to be Australia unless otherwise noted on this Certificate

1. Transferring Section

CCSBT Farm Serial Number	Name of Transferring Farm

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

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 CERTIFICATEFORM

INSTRUCTION SHEET

This Certificateform 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 Certificateform must accompany each transfer of SBT between farms and a copy of the Certificateform 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 Certificatee-form, please add the English or Japanese translation to the Document.

The Farm Transfer CertificateForm has 4 main sections: (1) Transferring Section; (2) Towing Section; (3) Receiving Section; and (4) Certification Section. All sections of this Certificateform must be completed.

CERTIFICATE HEADER

The top of the Certificateform contains one+ additional piece of information that must always be completed: ~~This is~~

DocumentCertificate Number: Enter the unique documentCertificate number that was allocated by the Flag State/Fishing Entity ~~of origin that issued for~~ this Certificateform.

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 SBTfish 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.

~~State / Fishing Entity: Enter the Flag State or Fishing Entity of the towing vessel.~~

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

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

Estimated #Number of SBTfish: Enter the estimated number of SBTfish 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 SBTfish.

~~Flag 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 Certificatee-form correctly records the SBTfish 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 Certificatee-form correctly records the SBTfish that are being received from the transferring farm.



Commission for the
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CATCH / HARVEST CERTIFICATE

Catch /Harvest Certificate No. v1.0

CC -

Catch Documentation Scheme

1. Catch Tagging Certificate Numbers

<input type="text"/>

2. Details of Catching Vessel or Harvesting Farm

<input type="checkbox"/> For Wild Fishery	Name of Catching Vessel	Flag State / Fishing Entity Registration Number	Flag State/Fishing Entity
Or			
<input type="checkbox"/> For Farmed SBT	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

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="text"/>			
<input type="checkbox"/> Transhipment	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
OR	Observer details (<u>Only</u> for transhipment at sea)	Observer Name	Observer Trip Number	
	<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"/> All other offloadings	Name of Port City	Port State/Fishing Entity		

5. Certification by Fishing Vessel Master/Farm Operator or Authorised Agent

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

<input type="checkbox"/> Fishing Vessel Master / Farm operator	Name	Signature	Date of Signature
Or			
<input type="checkbox"/> Authorised Agent	Name	Agent's Company / Organisation	Signature
			Date of Signature

6. Measured and Verified Landed Weights

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

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
<input type="text"/>	<input type="text"/>	<input type="text"/>

OFFICIAL SEAL

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: www.ccsbt.org/product_codes
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	

CATCH/ HARVEST CERTIFICATE

INSTRUCTION SHEET

A Catch/ Harvest Certificate (CHC) must be completed for all Southern Bluefin tuna (SBT) caught in the wild or harvested from farms. Wild-caught SBT and SBT harvested from farms should not be recorded on the same CHC.

This CHC is to be issued by the State/Fishing Entity that holds the national quota allocation against which these SBT have been taken. 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.

This CHC must accompany all transshipments, landings of domestic product, exports, imports and re-exports of any SBT sourced from this Certificate. The only exception is that the exportation/import of fish parts other than the meat (*i.e.* head, eyes, roe, guts, tails) may be allowed without this Certificate.

In addition, please note that:

- Farm Stocking Certificates must have been issued by the State/Fishing Entity for all farmed SBT recorded on this CHC, and the Certificate number of these FSCs must be listed on this CHC;
- If any of the SBT on this Certificate were transferred from another farm, then Farm Transfer Certificates (FTCs) must have been issued by the State/Fishing Entity for any transfers, and the Certificate number of each of these FTC(s) must be listed on this CHC;
- Each CHC must be accompanied by copies of any associated Farm Stocking and Farm Transfer Certificates (if applicable) listed on this CHC;
- Catch Tagging Certificate(s) must have been completed for all whole¹ SBT recorded on this CHC, and copies must be provided to the issuing State/Fishing Entity. The Document numbers of these Catch Tagging Certificates(s) must be listed on this CHC.

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

The Catch/Harvest Certificate has seven main sections: (1) Catch Tagging Certificate Numbers; (2) Details of Catching Vessel or Harvesting Farm; (3) Description of Catch/Harvest; (4) Offloading Details; (5) Certification by Fishing Vessel Master/Farm Operator or Authorised Agent; (6) Measured and Verified Landed Weights; and (7) Catch/Harvest Certificate Validation by Authority.

All sections of this Certificate must be completed, except section one does not need to be completed if none of the SBT recorded on this Certificate were required to be tagged.

Timing of Certificate Completion

The following explains when each section of the Catch/ Harvest Certificate needs to be completed. For the purposes of these instructions, an "offloading" refers to the initial physical un/off-loading of SBT product(s) from a domestic farm (*i.e.* harvesting), or fishing vessel, irrespective of whether the offloading results in a landing in port. Therefore, offloadings include transshipments and unloadings into bonded cold storage.

¹ 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.*

For all offloadings of SBT that are not deferred² transshipments to a Carrier Vessel (CV):

- 1) Sections 1 - 5 of the CHC must be completed by the time of offloading, and
- 2) Sections 6 and 7 must be completed at the time the SBT is placed on shore, such as landings of domestic product, direct landings (*i.e.* exports) to foreign fishing ports by fishing vessels, landings of SBT by Carrier Vessels, and landings into bonded cold storage.

For all offloadings of SBT that are deferred transshipments² to a CV:

- 1) Sections 1 - 5 of the CHC must be completed by the time of offloading from the fishing vessel, with the exception of the transshipment date and details of the transshipment vessel in Section 4, which must be completed once the transshipment details are known and before the CHC is validated,
- 2) Section 6 must be completed at the time of offloading from the fishing vessel, and before placing the SBT into cold storage, and
- 3) Section 7 must be completed as soon as practicable after Sections 1 - 6 have been completed and before the SBT is accepted for landing of domestic product or import.

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.

1. Catch Tagging Certificate Numbers

Catch Tagging Certificate Numbers: Enter the unique Document number of each Catch Tagging Certificate (CTC) that is associated with this CHC. If there is insufficient room to enter all CTC numbers, then enter this information on a separate page and attach that page.

2. Details of Catching Vessel or Harvesting Farm

Tick the appropriate box to specify whether the SBT catch is from the wild fishery or if the SBT were farmed. Farmed and wild SBT must not be recorded together on the same CHC.

Complete the part of the Catch/ Harvest section corresponding to the box that was ticked ("Wild" or "Farmed").

For Wild Fishery (*only complete this section for wild-caught SBT*)

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

Flag State/ Fishing Entity Registration Number: Enter the Flag State/ Fishing Entity Registration Number of the catching vessel.

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

For Farmed SBT (*only complete this section for farmed SBT*)

Name of Farm: Enter the name of the farm.

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

Certificate Number(s) of any Associated Farm Stocking Certificate(s): Enter the unique Certificate number of each Farm Stocking Certificate (FSC) that is associated with this CHC. The FSC Number(s) associated with this Certificate should all be for SBT stocked in the same fishing season. If there is insufficient room to enter all Certificate numbers, then provide this information on a separate page and attach that page.

Certificate Number(s) of any Associated Farm Transfer Certificate(s): Enter the unique Certificate number of each Farm Transfer Certificate (FTC) that is associated with this CHC. The FTC Number(s) associated with this Certificate should all be for SBT transferred in the same fishing season.

3. Description of Catch/ Harvest

All SBT described in this section must be part of the same offloading from the fishing vessel.

Note that the weights provided in this section will be estimated weights recorded while at sea/during harvesting from farms.

The SBT caught/harvested must be described, to the highest degree of accuracy possible with the following information.

² The term "deferred transshipments" is used to refer to situations where the SBT is offloaded from the fishing vessel, but is placed ashore in cold storage before subsequently being loaded aboard a Carrier Vessel.

NOTE: Please enter only one row of information per product type, month, gear code and statistical area.

Product Type: Enter the product type code for the SBT caught/harvested. Choose the product type code that most closely matches the SBT product type from the table located at the bottom of these instructions.

Month of Catch/ Harvest (mm/yy): Enter the month and year of harvest of the SBT. In the case of farmed SBT, this applies to the month of kill, not the month of initial harvest.

Gear code: 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

CCSBT Statistical Area: 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. In the case of farmed SBT, it is not necessary to fill in this column. A map showing the statistical areas is provided on page 6 of these instructions.

Estimated Net Weight (kg): Enter the net product weight in kilograms. In the case of farmed SBT, this is the weight at the time of harvest from the farm (as opposed to the weight when originally caught).

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

Enter the number of SBT that remain whole¹ once caught/ harvested. Do not provide the number of loins, fillets, etc here.

4. Offloading Details

Offloading Date: Enter the date on which the SBT recorded on this Certificate were initially offloaded from the fishing vessel.

Tick the appropriate box to specify whether the SBT are being transhipped to a Carrier Vessel (either immediately or following placement in cold storage), or are being offloaded from the fishing vessel but will not be transhipped to a Carrier Vessel.

Complete either all parts of the 'Transhipment' sub-section or the 'All other offloadings' sub-section according to the box that was ticked.

Transhipment (complete this sub-section for immediate or deferred transhipments to Carrier Vessels)

Transhipment Location

If the transhipment occurred in port then:

Name of Port City: Enter the name of the port city where the SBT were transhipped.

Port State/ Fishing Entity: Enter the State/Fishing Entity in which the port city is situated.

If the transhipment occurred in the High Seas then:

CCSBT Statistical Area: Enter the statistical area in which the SBT were transhipped. 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. A map showing the statistical areas is provided on page 6 of these instructions.

Observer Details (for transhipments at sea only)

Observer Name: Enter the name of the observer observing the transhipment.

Observer Trip Number: Enter the assigned trip number for this observer trip.

Tick the appropriate box to specify whether the product is being offloaded and transhipped immediately to a Carrier Vessel (immediate transhipment) or is being offloaded and placed in cold storage before later being transhipped to a Carrier Vessel (deferred transhipment).

Transhipment Date: Enter the date on which the transhipment of SBT to the receiving Carrier Vessel occurs.

Name of Receiving Vessel: Enter the name of the receiving Carrier Vessel.

Flag State Registration Number: Enter the Flag State Registration Number of the receiving Carrier Vessel.

Flag State / Fishing Entity: Enter the Flag State or Fishing Entity of the receiving Carrier Vessel.

All other offloadings

(complete this sub-section for offloadings that will not be transhipped to a Carrier Vessel)

Name of Port City: Enter the name of the port city where the SBT were offloaded.

Port State/ Fishing Entity: Enter the State/Fishing Entity in which the port city is situated.

5. Certification by Fishing Vessel master/ Farm Operator or Authorised Agent

Tick the appropriate box to specify whether this certification is being provided by the fishing vessel master/ farm operator or an authorised agent of the fishing vessel/ farm operator.

For Fishing Vessel Master/ Farm Operator:

Fishing Vessel Master/ Farm Operator: Enter the name of the fishing vessel master or farm operator together with the signature and date of signature (dd/mm/yyyy).

For Authorised Agent:

Authorised Agent: Enter the name of the fishing vessel's/farm operator's authorised agent, the name of the agent's company or organisation, and the signature and date of signature (dd/mm/yyyy).

6. Measured and Verified Landed Weights

Note that the weights provided in this section will be verified landed weights recorded once the SBT are landed and weighed.

The SBT caught/harvested must be described to the highest degree of accuracy using the following information.

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

Fresh (F) or Frozen (FR): Specify whether the type of product being shipped is either FRESH (F) or FROZEN (FR).

Product Type: Enter the product type code for the SBT being shipped. Choose the product type code that most closely matches the SBT product from the table located at the bottom of these instructions.

Verified Net Weight Landed (kg): Enter the verified landed net product weights in kilograms. In the case of farmed SBT, this is the weight at the time of harvest from the farm (as opposed to the weight when originally caught).

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

Enter the number of SBT that remain whole¹ once landed. Do not provide the number of loins, fillets, etc here.

7. Catch/ Harvest Certificate Validation by Authority

Certification by Authority: Enter the name and full title (authority) of the official³ signing the Document, together with the signature of the official, the date of signature (dd/mm/yyyy), and the official seal.

SBT Product Code Type Table

CODE	NAME	DESCRIPTION
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
HT	Heads and Tails	Heads and tails
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)

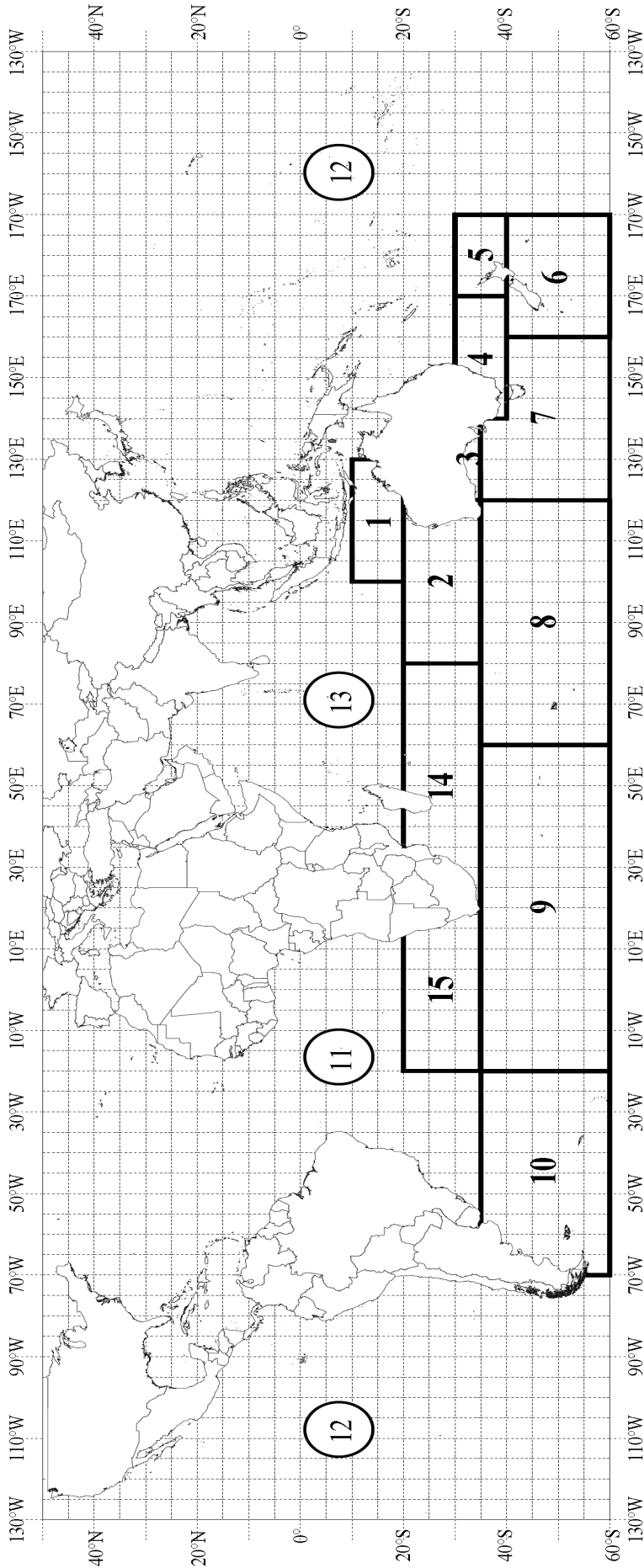
(Additional product types are listed at www.ccsbt.org/product_codes)

³ The official must be in the employment of, or delegated by, the competent authority of the Member, or Co-operating Non-Member that issued the CHC. The Member or Co-operating Non-Member which utilises a delegated entity shall submit a certified copy of such a delegation to the Executive Secretary.



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"/> From land	City	State / Fishing Entity
	Or		
	<input type="checkbox"/> From sea	(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: www.ccsbt.org/product_codes
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 copy of its Preceding Catch/ Harvest or Export Certificate and any Certificates attached to the Preceding Certificate (including Farm Stocking or Transfer Certificates).

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 Certificate¹ 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 Certificate¹ 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 Certificate¹ 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 whole² for this export. Do not provide the number of loins, fillets, *etc* in this field.

4. Certification by Exporter

Certification by Exporter: The exporter³ 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 official⁴ signing the document, together with the signature of the official, date (dd/mm/yyyy) and official seal.

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.

¹ 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).

² 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*.

³ 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.

⁴ 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.

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

CODE	NAME	DESCRIPTION
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
HT	Heads and Tails	Heads and tails
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)

CATCH TAGGING CERTIFICATE FORM

INSTRUCTION SHEET

This Certificate Form 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 Form must be completed and provided to the issuing Flag State/Fishing Entity for each tagged SBT recorded on when completing the associated Catch/ Harvest Certificate Monitoring Form. 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 Form, please add the English or Japanese translation to the Document.
Completed Catch Tagging Forms shall be provided to the Flag State/Fishing Entity, who shall provide the information in the Catch Tagging Form to the CCSBT Executive Secretary in an electronic format on a quarterly basis.

The Catch Tagging Certificate Form has one main section: (1) Catch Section.

CERTIFICATE HEADER

The top of the Certificate Form contains three3 additional pieces of information that must always be completed:-
These are-

Document Certificate Number: Enter the unique Certificate Document number that was allocated by the Flag State/Fishing Entity of origin for that issued this Certificate Form.

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

Document Certificate nNumber of Associated Catch/ Harvest Certificate Monitoring Form: Enter the unique Certificate Document Number of the single Catch/ Harvest Certificate Monitoring Form that is associated with/relates to this Certificate Form.

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 fish must be recorded.

NOTE: One row shall describe one tagged SBT southern bluefin tuna.

CCSBT Tag Number: Enter the unique tag number of the tag that has been insert attached into the SBT fish.

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

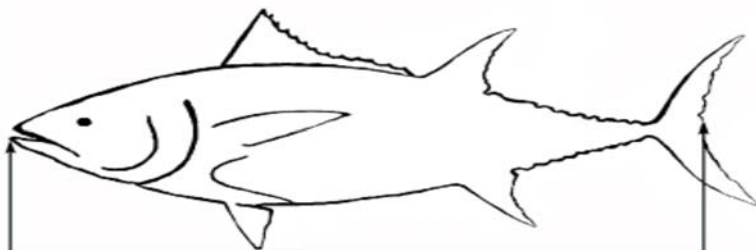
CODE	NAME	DESCRIPTION
RD	Round	SBT Without any processing
GGO	Gilled and Gutted - Tail on	Processed with gills and gut removed. Operculae (gill plates/covers) and dorsal, pelvic and anal fins may or may not be removed
GGT	Gilled and Gutted - Tail off	Processed with gills, gut and tail removed. Operculae (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.
DRT	Dressed - Tail off	Dorsal, pelvic and anal fins may or may not be removed 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 [SBTfish](#).

Fork Length (cm): Enter the fork length of the [SBTfish](#), 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 [SBTfish](#) 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 [SBTfish](#) 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 southern bluefin tuna](#) using the list below; for OTHER TYPE, describe the type of gear. In the case of farmed [SBTfish](#), 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 southern bluefin tuna](#) 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, using the main CCSBT Statistical Areas \(1 to 10 and 14 to 15\) or the other CCSBT Statistical Areas areas \(11 to 13\) where there is no corresponding main area.](#) In the case of farmed [SBTfish](#), it is not necessary to fill in this column.

Month of Harvest (mm/yy): Enter the month and year of harvest of the [SBT southern bluefin tuna](#) tagged; in case of farmed [SBTfish](#), 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 Certificatee form](#) 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 section [1.987](#) and [1.1098](#) 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. tag numbering shall include a unique flag state identifier and a fishing year identifier (e.g. NZ-2008-000001);
 - c. be able to be securely fastened to SBT;
 - d. be non-reusable, tamper-proof and secure from counterfeiting or replication;
 - e. be able to withstand at least negative sixty (60) degrees Celsius temperatures, salt water and rough-handling; and
 - f. 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 ~~54 – 109~~ 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 year¹;
- 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
- Comments².

¹ 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.

² 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 utilised³” 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 utilised³” 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;

³ 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 whole⁴ SBT according to CHCs;
- Number of whole⁴ 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;

⁴ 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-monthly⁵ 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.

⁵ Bi-monthly means that submissions must be made once every two months