



CCSBT-CC/1510/09

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

### 1.0 INTRODUCTION

The need to review the CDS Resolution is reflected in item 8.3.3 a) of the current Compliance Plan's 3-year Action Plan (CAP) and is scheduled for action during 2015 and 2016:

*8.3.3 a) Review and amend the CCSBT CDS Resolution as appropriate to facilitate the development and implementation of an eCDS, taking into consideration the goals of trying to rationalise CDS systems with other RFMOs, and to improve the effectiveness of landing inspections, etc.*

In addition, The Ninth Compliance Committee Meeting's (CC9's) Workplan noted that the Secretariat should commence work on a review of the CCSBT CDS Resolution during 2015, and that this was a necessary step prior to any potential development of an electronic CDS (eCDS).

The Secretariat has commenced its review of the CDS Resolution as indicated by the CAP and as requested by CC9. A draft revision of the CDS Resolution (including revised Appendices 1-3, but not the associated instruction sheets for Appendix 1) is provided at **Attachment A**.

It is not envisaged that any of the revisions proposed in this paper will be considered for implementation prior to 1 January 2017.

### 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-BCD<sup>1</sup>, 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.

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.

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<sup>1</sup> Electronic Bluefin Catch Document

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 OSECs<sup>2</sup>. 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.

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 REEF<sup>3</sup> 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.

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<sup>2</sup> 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

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

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)<sup>4</sup> by the time SBT from each trip are offloaded into bonded cold storage facilities. Refer to section 4.5 below for further details.

### **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.

## **4.0 CHANGES PROPOSED IN THE REVISED CDS RESOLUTION**

The following subsections outline areas in which changes to the current CDS Resolution (including its associated forms) are proposed by the Secretariat.

One of the main differences proposed is that the current CMF is replaced by a modified Catch/Harvest Certificate and the current REEF is replaced by a modified Export Certificate. These proposed replacement Certificates completely separate catch/harvest from (re-)export information so that all catch/harvest information (including any transshipments) would be recorded only on the Catch/Harvest Certificate, and all (re-)export and import information would be recorded separately on the Export Certificate, with the two being linked. Separation of these two sets of information should facilitate a linear flow of documentation to occur, allowing much of the Catch/Harvest Certificate to be completed before any offloading of SBT occurs.

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<sup>4</sup> 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.

#### **4.1 Naming of CDS Documents**

Catch/harvest and (re-)export CDS Documents have been renamed to “Certificates” in accordance with the advance draft proposed best practice guidelines for the development of tuna CDS’s. At the current time, and for reasons of consistency in naming conventions used throughout this paper, the Secretariat has proposed renaming all CDS ‘Forms’ to ‘Certificates’ as follows:

- The Farm Stocking Form (FSF) becomes a Farm Stocking Certificate (FSC). There are no other changes;
- The Farm Transfer Form (FTF) becomes a Farm Transfer Certificate (FTC). There are no other changes;
- The Catch Tagging Form (CTF) becomes a Catch Tagging Certificate (CTC). There is one additional small editorial change – the reference to ‘Catch Monitoring Form in the first section has been updated to reference the associated ‘Catch/Harvest Certificate instead;
- The Catch Monitoring Form (CMF) has been replaced by a Catch/Harvest Certificate (CHC) – refer to section 4.7 and Appendix 1 of Attachment A. The information collected on this document has changed substantively, and
- The REEF has been replaced by an Export Certificate (ExC) – refer to section 4.8 and Appendix 1 of Attachment A. The information collected on this document has changed substantively.

#### **4.2 Farming and Tagging**

The Secretariat has proposed only minor editorial changes to the current CDS Documents used for farming and tagging. Documentation of the farming and tagging processes remains essentially the same except for the proposed requirement to submit all CDS Documents monthly.

#### **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 using a paper-based system as is currently done, or by direct electronic submission;
- CDS documents are required to be submitted monthly rather than quarterly; and
- Advice on any paper-issued CDS documents that are amended or cancelled must be provided to the Secretariat monthly as prescribed.

#### **4.4 Certifications**

As recommended in the Secretariat’s paper CCSBT-CC/1410/16, most of the previously required certifications have been removed from the new CHC document. Only one certification is now required - either by the fishing vessel master/farm operator or by their representative. The ExC requires two certifications as before – one by the exporter, and one by the importer.

#### **4.5 Offloading Events and Completion of Catch/Harvest Certificates**

The Secretariat has used the term “offloading” throughout this paper and within the proposed revised CDS Resolution and its appendices. This term is used to refer 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, offloading events occur in association with landings of domestic product<sup>5</sup>, transshipments, or landings into cold-storage facilities or to an export destination, *etc.*

The Catch/Harvest Certificate (CHC) is issued before the initial offloading of SBT occurs. By the time of offloading it will be at least partially completed and record details about the SBT that are being removed from the fishing vessel or domestic farm.

There are 7 sections included in the proposed CHC as follows (refer to Appendix 1 of Attachment A):

- 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 Representative
- 6) Measured and Verified Landed Weights, and
- 7) Catch Certificate Validation by Authority.

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.

#### **4.6 Completion of Export Certificates**

Export sections of Export Certificates 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 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;

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<sup>5</sup> 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.

- SBT in bonded cold storage at an intermediate destination is exported;
- Domestically landed SBT is exported, or
- Imported SBT is re-exported.

#### **4.7 Catch-Harvest Certificate (CHC)**

The Catch/Harvest Certificate (CHC) essentially replaces the current Catch Monitoring Form (CMF). However, the new CHC does not include any export or import information like the existing CMF does. CHCs must be partially or fully completed prior to/at any offloading event, and it is proposed that they are submitted to the Secretariat monthly.

#### ***Main Differences between CMFs and CHCs***

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;
- A specific offloading date is required to be provided;
- It is required that a CHC must be at least partially completed by the time of offloading from a domestic farm (*i.e.* harvest) or fishing vessel, – refer to section 4.5 for more details.
- A new ‘Offloading Details’ section is included which records any information about transshipments (immediate or deferred) and any other type of offloading;
- Only one certification signature is needed – either that of the Fishing Vessel Master/Farm operator or their Authorised Representative;
- No certifications are required by either the Receiving Vessel Master or Observer (just the observer name and trip number are recorded) for transshipments, or by the exporter – since no export information is included on this Certificate;
- Section 6 is the record of verified landed weights recorded by product type, and
- The validation sign-off wording has changed to include a statement that the validator has, “seen sufficient evidence confirming the verified landed weights”.

#### **4.8 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.

Under the current proposal, any associated transshipment information is always recorded on the associated CHC.

#### ***Main Differences between REEFs and ExCs***

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

- Requirements regarding when to complete an ExC have changed – refer to section 4.6;
- A specific date of export is required to be provided as well as export destination;
- Only one preceding Certificate Number must be recorded on each ExC. Only SBT sourced from that same single preceding Catch/Harvest or Export Certificate number must be recorded on the ExC, with one exception - if the preceding CHC or ExC number is not known, then the individual tag numbers of the SBT can be provided instead. It’s possible that the list of tagged SBT listed may originate from different CHCs or ExCs;
- Processing establishment details and the, ‘Description of fish from the previous CDS document’ section have both been removed.

## **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 likely that the following associated CCSBT decisions and measures will be affected and will need to be reviewed accordingly:

- Minimum Performance Requirements (MPRs);
- The Secretariat's internal processes and timeframes with regard to receipt, data entry and reconciliation of CDS data as it becomes available;
- The Secretariat's CDS database structure and data entry screen designs, and
- The Secretariat's CDS reconciliation (data checking) routines.

The following items may potentially also require review/revision:

- The CCSBT Transshipment Resolution, and the
- 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;
- Provide feedback to the Secretariat regarding the nature, extent and practicality of the proposed revisions; and
- Discuss a timetable for progressing future work required on the review of the CDS Resolution.

**Prepared by the Secretariat**



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

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

Referring to the principles adopted to guide the development of a ~~e~~Catch ~~d~~Documentation ~~s~~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 to provide for the tracking and validation of legitimate product flow from catch to the point of first sale on domestic or export markets;

Bearing in mind the need 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 Cooperating Non-member;

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 eCDS.

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

1.2 All Members and Cooperating Non-Members shall implement the CCSBT CDS for ~~s~~Southern ~~b~~Bluefin ~~t~~Tuna (SBT) to document the movement of all SBT as outlined in this ~~r~~Resolution. The CCSBT CDS incorporates CCSBT CDS documentation and tagging of SBT.

1.3 For transshipments, landings of domestic product<sup>1</sup>, exports, imports and re-exports under the jurisdiction of a Member or Cooperating Non-Member or Other State/Fishing Entity Cooperating in the CDS (OSEC<sup>2</sup>), all SBT shall be accompanied by a ~~p~~aper ~~d~~ocument described in section 3 of this ~~r~~Resolution.

<sup>1</sup> 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.

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

There is no waiver of this requirement. However, the exportation/import of fish parts other than the meat<sup>3</sup> (i.e. head, eyes, roe, guts, tails) may be allowed without the ~~d~~Document.

- 1.4 Transfers of SBT into and between farms under the jurisdiction of a Member or Cooperating Non-Member shall be documented on the Farm Stocking ~~CertificateForm~~ and Farm Transfer ~~CertificateForm~~ as applicable.
- 1.5 Members or Cooperating Non-Members that prohibit the sale of fish caught by recreational fishers may exempt their recreational fisheries from the requirements of the CCSBT CDS.
- 1.6 The Commission shall request the cooperation of appropriate authorities of States other than Members and Cooperating Non-Members of the Extended Commission that are involved in catching, landing, transferring and/or farming of SBT in the implementation of this ~~r~~Resolution.
- 1.7 Members, Cooperating Non-Members and OSECs shall not permit the 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.
- 1.8 Members, Cooperating Non-Members and OSECs shall not permit whole SBT to be landed as domestic product, transhipped, exported, imported or re-exported without a tag, except that:
  - 1.8.1 in the case of farming operations, the SBT may be ~~offloadedlanded~~ without a tag provided a tag is attached within 30 hours of kill;
  - 1.8.2 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 ~~landoffloading~~;
  - 1.8.3 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 ~~landoffloading~~.
- 1.9 In exceptional circumstances, where a tag becomes accidentally detached and cannot be reattached, a replacement tag shall be attached as soon as possible and no later than the time of ~~offloadinglanding, transshipment or export~~.
- 1.10 Members and Cooperating Non-Members shall report any exceptional circumstances referred to in 1.8.2~~1.7.2~~, 1.8.3~~1.7.3~~ or 1.9~~1.8~~ to the Executive Secretary within 7 days of the ~~offloadinglanding~~. The report shall provide details of the exceptional circumstances, the number of SBT tagged and for 1.9~~1.8~~, the old (where known) and new tag number(s).
- 1.11 Members and Cooperating Non-Members shall require that tags be retained on whole SBT to at least the first point of sale for landings of domestic product, and shall encourage the retention of tags on whole fish thereafter.

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

## 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 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 transhipment, ~~export, and import~~ of all SBT regardless of whether farmed or not, including unexpected catch
  - 3.1.4 Catch Tagging Certificate (CTC)Form – records information on individual fish 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 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 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<sup>4</sup>. No information field may be omitted from the standard Documents presented in Appendix 1form, except where the field is not applicable.
- 3.4 Any CDS documentation modified, as described in 3.3<sup>5</sup>, shall be provided to the Executive Secretary for distribution to other Members, Cooperating Non-Members, ~~ands well as~~ Non-Members cooperating with the CDSknown to be involved in the landing, transhipment, 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.

<sup>4</sup> However the Catch Tagging CertificatesForm may be amended to include additional information at the discretion of the Member or Cooperating Non-Member.

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

3.6 CCSBT CDS Documents must be uniquely numbered.

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

4.1 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:

4.1.1 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;

4.1.2 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.

4.2 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:

4.2.1 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;

4.2.2 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.

4.3 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**

~~4.1.5.1~~ Members and Cooperating Non-Members 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 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.

~~4.25.2~~ Completed Catch Tagging ~~Form~~Certificates shall be provided to the ~~f~~lag Members and Cooperating Non-Members which shall provide the information in the Catch Tagging ~~Certificate~~Form to the Executive Secretary in an electronic format on a ~~quarter~~monthly basis.

~~4.35.3~~ A tagging programme shall meet the minimum procedural and information standards set out in Appendix 2.

~~4.45.4~~ Members and Cooperating Non-Members shall prohibit the unauthorised use of SBT tags.

## **56. Validation**

~~5.1.6.1~~ The CCSBT CDS documentation must be validated (~~or signed in the case of transshipments at sea~~) as applicable by:

~~5.1.16.1.1~~ for landings of domestic product, an official of the ~~f~~lag Member or Cooperating Non-Member 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 Cooperating Non-Member; 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 rResolution; and~~

~~5.1.36.1.2~~ for all exports of SBT, an official of the exporting Member or Cooperating Non-Member; and

~~5.1.46.1.3~~ for all re-exports of SBT, an official of the re-exporting Member, Cooperating Non-Member, or OSEC.

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

Cooperating Non-Members 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, Cooperating Non-Members and OSECs shall provide to the Executive Secretary information on validation (including type of validation, name of the organisation which validates the ~~d~~Documents, ~~title and~~ name and signature of officials who validate the ~~d~~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, Cooperating Non-Members and OSECs shall inform the Executive Secretary of any changes 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, Cooperating Non-Members and OSECs and promptly circulate any changes.

~~6.5~~ Members, Cooperating Non-Members 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 ~~r~~Resolution.

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

~~5.66.7~~ No Member or Cooperating Non-Member or OSEC shall accept any SBT for transshipment, landing of domestic product, export, import, or re-export where any or all required ~~d~~Documents do not accompany the relevant consignment of SBT, where ~~required~~ fields of information required on the ~~Certificateform~~ are not completed, or where the ~~Certificateform~~ has not been validated as required by this ~~r~~Resolution.

~~5.76.8~~ Full or partial consignments of untagged whole SBT must not be validated or accepted for 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 Cooperating Non-Members shall undertake an appropriate level of audit, including inspections of vessels, ~~landoffload~~ings, and where possible markets, to the extent necessary to validate the information contained in the CDS documentation.

~~5.96.10~~ Members and Cooperating Non-Members 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, Cooperating Non-Members and OSECs shall retain all original paper CCSBT CDS Documents (or scanned electronic copies of the original ~~d~~Documents) received by them for a minimum of 3 years after the most recent signed date on the Certificateform. Members, Cooperating Non-Members 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 Certificateform. Copies of these CDS Documents (~~except the~~ Catch Tagging CertificatesForm<sup>6</sup>) and those CD Documents not already submitted to the CCSBT Secretariat via a web-based eCDS system, shall be forwarded<sup>7</sup> to the Executive Secretary on a quarterly/monthly<sup>8</sup> basis.

A list of Documents (including the Document number, Document type and intended export destination – if any) that were cancelled each month shall also be forwarded<sup>7</sup> to the Executive Secretary on a monthly<sup>8</sup> 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/~~f~~ishing ~~e~~Entity only the raw data relating to the CCSBT CDS Documents it validated. If a State/~~f~~ishing ~~e~~Entity requests CCSBT CDS Documents relating to another State/~~f~~ishing ~~e~~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 Cooperating Non-Members 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 Cooperating Non-Member.

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

- Flag State/~~f~~ishing ~~e~~Entity;
- Harvest year;
- Product destination (including landings of domestic product);
- Gear code;
- Verified landed Nnet weight;

<sup>6</sup> Requirements to provide information in the Catch Tagging CertificateForm are set out in 5.24.3.

<sup>7</sup> Either as a copy of the original paper Certificateform or in electronic format containing all the information in the ~~form~~Certificates.

<sup>8</sup> CDS Documents are to be submitted to the Secretariat no later than the last day of the month following their certification month for FTCs, CTCs and CHCs (whether complete or not), and no later than the last day of the month following 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 month following the month in which they were finally validated.

- o Estimated whole weight (calculated by applying a conversion factor to the net weight);
- o Copies of all modified CDS ~~form~~Documents provided in accordance with paragraph 3.4.

~~6.5~~7.5 On request by the Scientific Committee, Compliance Committee, or other subsidiary body of the Commission, the Executive Secretary shall, with the approval of the Commission, provide to that body data collected by the CCSBT CDS more frequently or at a greater level of detail than specified in ~~7.36.3~~.

~~6.6~~7.6 The Executive Secretary shall analyse the data provided in ~~7.16.1~~ and notify the relevant Member(s) or Cooperating Non-Member(s) of any identified discrepancies.

### **~~78.~~ Verification of CDS Documentation**

~~7.18.1~~ Each Member and Cooperating Non-Member 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 ~~d~~Documents and, where necessary, shall carry out verifications with the operators concerned.

~~7.28.2~~ Each Member and Cooperating Non-Member 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 Cooperating Non-Members shall cross-check the report provided by the Executive Secretary under ~~7.36.3~~ using information available to it.

~~7.38.3~~ Each Member, Cooperating Non-Member and OSEC shall, as soon as practicable, identify to the Executive Secretary and relevant Members, Cooperating Non-Members 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 Cooperating Non-Member shall co-operate and take all necessary steps with relevant authorities, and within domestic law, to review, investigate and resolve any concerns identified in ~~8.17.1~~ and ~~8.27.2~~, 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 ~~7.36.3~~ and ~~7.46.4~~, including any irregularities



and anomalies identified and the outcome of any investigations notified under 8.37.3.

~~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, Cooperating Non-members and OSECs shall cooperate to ensure that CDS ~~d~~Documents are not forged and/or do not contain misinformation.

## **89. Access to and Security of Information**

~~8.19.1~~ Subject to each Member's, Cooperating Non-Member'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, Cooperating Non-Members 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 current revision of this ¶Resolution will be effective from enter into force on 1 January 2017<sup>9</sup>. 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 of the 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 1.94.8 and 1.104.9 as reported by Members and Cooperating Non-Members 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.

<sup>9</sup> ~~Japan may use its current tagging system until the end of its 2009-10 fishing season (31 March 2010).~~

**Appendix 1**

**Catch Documentation Scheme Certificates**



## CATCHING VESSEL SECTION

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

## TOWING SECTION

Name of Towing Vessel	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 Fish (kg)	Method of Weight Estimation	Total Weight (kg)	Number of Fish
	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	

OFFICIAL SEAL



**• TRANSFERRING SECTION**

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

**• TOWING SECTION**

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

Estimated Weight (kg) of Fish	Estimated Number of Fish

**• RECEIVING SECTION**

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

**• 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



### 1. Catch Tagging Certificate Numbers

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### 2. Details of Catching Vessel or Harvesting Farm

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

### 3. Description of Catch / Harvest

Product Type (select from table below)	Month of Catch / Harvest (mm/yy)	Gear Code	CCSBT Statistical Area	Estimated Net Weight (kg)	Total Number of fish exported as RD, GGH, GGO, GGT, DRO, DRT

### 4. Offloading Details

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

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

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

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

### 6. Measured and Verified Landed Weights

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

### 7. Catch 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	Authority	Signature	Date of Signature

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: <a href="http://www.ccsbt.org/product_codes">www.ccsbt.org/product_codes</a>
GGO - Gilled and gutted - tail on	FL - Fillet	KAM - Kama	
GGT - Gilled and gutten - tail off	HAR - Haramo	KAW - Kawara	
DRO - Dressed - tail on	HED - Head meat	NOD - Nodo	



### EXPORT SECTION

#### 1. Export Details

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

#### 2. Preceding Certificate or Tag Number Details (If tag numbers are not provided then the SBT exported on this certificate must come from only one preceding Catch / Harvest or Export Certificate)

Preceding Catch / Harvest Certificate or Export Certificate Number	<b>Or</b>	Tag Numbers of each SBT being exported				

#### 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			Total Number of fish exported as RD, GGH, GGO, GGT, DRO, DRT
	Fresh (F) or Frozen (FR)	Product Type (select from table below)	Net weight (kg)	

#### 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	Authority	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	Company / Organisation	Signature	Date of signature

#### Commonly used Product Types

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



Wild Harvest   ← Or →    Farmed   (tick only one)

Document Number of Associated Catch / Harvest Certificate

**• CATCH SECTION**

Name of Fishing Vessel (or Farm)	Vessel Registration Number (or CCSBT Farm Serial Number)	Flag State/Fishing Entity

Information on Other form(s) of Capture (eg. Trap)

**Tag Information**

CCSBT Tag Number	Type: RD/GGO/ GGT/DRO/ DRT	Weight (kg)	Fork Length (cm)	Gear Code (if applicable)	CCSBT Statistical Area of Catch (if applicable)	Month of Harvest (mm/yy)

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

Name	Signature	Date	Title

## Appendix 2

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

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

1. As outlined in section 1.87 and 1.98 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, removing fins, operculae (gill plates/covers) and tail and 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 Cooperating Non-Members 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.

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

4. Members and Cooperating Non-Members shall record the distribution of SBT tags to entities they authorise to fish for, or farm, SBT.
5. In relation to each tag, Members and Cooperating Non-Members 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.
6. All requirements of the CCSBT CDS Resolution outlined in Sections 54 – 109 of this Resolution apply to tagging documentation and information for Members and Cooperating Non-Members 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.

With this Appendix, the following abbreviations are used to refer to different CertificateForm types:

- FSCF – Farm Stocking CertificateForm
- FTCF – Farm Transfer CertificateForm
- CMFCHC – Catch/Harvest Certificate Monitoring Form
- REEFExC – Re-Export/Export Certificateafter Landing of Domestic Product Form
- CTCF – Catch Tagging CertificateForm

~~During the first year of the CDS, there will not be sufficient information from the CDS for all reports to be produced. It is also accepted that there will be delays in producing reports during the first year of the CDS while the Secretariat is in the process of developing the CDS database and associated reporting mechanisms.~~

#### Production Reports

Two production reports are to be produced.

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

This report uses data from the CMFCHC together with mortalities from the FSCF to estimate the quota year catch of each Member and Cooperating Member. This should only be conducted for completed quota years and where sufficient CDS data areis available. Processed weights from the CDS should be converted to whole weights using conversion factors supplied by each Member if available and the “best” alternative conversion factor where the Member 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/Cooperating Non-Member (if that is available) for comparative purposes.

- Flag State/Fishing Entity;
- Quota year<sup>1</sup>;
- Total estimated whole weight of SBT by fishing gear from the CDS;

<sup>1</sup> Members have different quota years, so the actual quota year period of each Member should be used and these periods should be shown in the report to prevent confusion. This report should also contain a history of recent quota years (with any updated estimates from both CDS and Members's reports) for which there is sufficient CDS data.

- Total whole weight of SBT by fishing gear as reported by the Member (if available); and
- Comments<sup>2</sup>.

(2) Detailed production summary report

This report ~~is similar to the Annex 2 report from the TIS. It~~ uses data from CHCs MF and CTCsF to provide the following information on all SBT caught or harvested:

- Flag Member/Cooperating Non-Member;
  - Captured, farm harvest, or farm catch/towing mortality;
  - ~~Product~~Fresh or Frozen (F/FR);
  - ~~Product~~essed Type (RD/GGO/GGT/DRO/DRT//FL/OT etc.);
  - ~~Month and year of harvest~~;
  - ~~Gear code~~;
  - ~~Statistical area~~;
  - ~~Point of export (only if exported)~~;
  - ~~Month and year of export (only if exported)~~;
  - ~~State/Fishing Entity at final destination~~;
  - ~~Month and year at arrival at final destination~~;
- and within the above groupings, the following quantities:
- ~~Number of SBT~~; and
  - Verified Net weight of SBT landed (kg), and
  - Number of SBT landed as RD/GGH/GGO/GGT/DRO/DRT.

**Export/ Re-export~~EEF~~ Reports**

Two reports ~~relating to on exports and re-exports the REEF form~~ are to be produced, based on data from CHCs and ExCs.

(1) Detailed Export/Re-export~~EEF~~ summary report

~~This report is similar to the Annex 4 report from the TIS.~~ This report uses data from both ~~the CHCs MF~~ and ExCs REEF to provide the information below:

- Export or a re-export
- Original catching State/Fishing Entity
- Preceding re-/exporting State/Fishing Entity;
- Currently re-/exporting State/Fishing Entity<sup>3</sup>;
- Point of re-/export;
- Year and month of re-/export<sup>4</sup>

<sup>2</sup> Comments may be required to provide additional information for interpreting the figures, 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.

<sup>3</sup> This is the re-/exporting Flag State/Fishing Entity on the ExCREEF form in question, not the re-/exporting Flag State/Fishing Entity from the preceding REEF form CHCs or the ExCMF.

- Importing State/Fishing Entity;
- Product re-/exported (F/FR);
- Type re-/exported (~~RD/GGO/GGT/DRO/DRT//FL/OT~~); and within the above groupings, the
  - Net weight and Number of SBT re-/exported.

(2) Export/Re-export ~~EEF~~ Discrepancy ~~r~~Report

This report should examine all ~~REEF forms~~ ExCs and their preceding associated CMFs CHCs, and produce a list of any CHCs MF forms that have been “over utilised<sup>5</sup>” in subsequent exports and/or re-exports. The list should identify:

- The Document number, flag, product type(s) and weight(s) in each over utilised CHC MF form;
- The Document number, exporting flag, product type(s) and weight(s) of the associated ~~REEF form~~ ExC(s); and
- Other information as agreed by the Compliance Committee.

**Tagging Reports:**

One tagging report is to be produced.

(1) Tag summary report

This report uses data from both the CT CF and CHC MF to provide the following information

- Flag State/Fishing Entity;
- Total number and net weight of SBT tagged; and
- Total number and net weight of SBT reported on associated CHCs CMF's.

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<sup>4</sup> As determined by the export certification signature date.

<sup>5</sup> An over-utilised CMF CHC is one where subsequent exports/re-exports of fish from the CHC MF have exceeded the original quantity of fish reported on the CHC MF.

## **Transshipment Reports**

Two transshipment reports are to be produced.

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

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

- Flag of catching vessel;
- Month and year of transshipment;
- Flag of transshipment vessel;
- State/Fishing Entity at final destination;  
and within the above groupings, the following quantities
  - Number of transshipments;
  - Number of SBT according to the CHCMF;
  - Verified Nyet weight of SBT according to the CHCMF;
  - Net weight of SBT according to the transshipment declaration; and
  - Net weight of SBT according to the transshipment observer report.

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

This report produces details of each transshipment in which the weight of SBT in the CHCMF differs from the weight of SBT in either the transshipment declaration, or the transshipment observer report.

- Flag, name and registration number of catching vessel;
- Date of transshipment;
- Flag, name and registration number of transshipment vessel;
- Net weight and Type of SBT according to the CHCMF;
- Net weight and Type of SBT according to the transshipment declaration; and
- Net weight and Type of SBT according to the transshipment observer report.

## **Farm Reports**

Two farm reports are to be produced. These reports should be produced to cover a catching and farming period that covers the usual “season” for the relevant State/Fishing Entity.

### (1) Farm summary report

This report uses data from the FSCF and CHCMF to provide the following aggregate information for farmed SBT from each Flag State/Fishing Entity. ~~This report is similar to the 6 monthly farms reports produced by Australia as part of the Trade Information Scheme.~~

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

### (2) Farm discrepancy report

This report produces details for each farm in which the number of SBT transferred into the farm (according to the FSCF and adjusted according to the FTCF) is greater than the number of SBT harvested from that farm according to the CHCMF.

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

## **Reconciliation Reports**

CDS documentation will be sent to the Secretariat on a ~~quarter~~monthly basis from multiple sources. The same ~~d~~Document may be sent to the Secretariat at different times. For example, once when the SBT are exported or ~~re-exported~~transhipped, and again when the same SBT are imported ~~or landed as domestic product~~. The reconciliation reports should be designed to provide aggregate information concerning

the number and types of ~~e~~Documents that are expected, but that have yet to be received from each State/Fishing Entity. These reports should also identify if any discrepancies occur between the figures in the Certificates forms from the different sources. The Secretariat should ~~design and produce~~review the effectiveness of these reports annually~~after the CDS has been in operation for 12 months~~.