

Commission for the Conservation of  
Southern Bluefin Tuna



みなまぐろ保存委員会

# **Report of the Fourth Meeting of the Compliance Committee**

**18 – 19 October 2009  
Jeju Island, Republic of Korea**

## **Report of the Fourth Meeting of the Compliance Committee**

**18-19 October 2009**

**Jeju Island, Republic of Korea**

### **Agenda Item 1. Opening of meeting**

#### ***1.1 Welcome***

1. The meeting was opened by the Chair of the Compliance Committee, Mr Wood, who welcomed participants.
2. Participants introduced themselves and provided brief opening remarks. The list of participants is shown at **Attachment 1**.

#### ***1.2 Adoption of agenda***

3. The agenda was adopted and is shown at **Attachment 2**.
4. The list of documents for the meeting is shown at **Attachment 3**.

#### ***1.3 Meeting arrangements***

5. The Executive Secretary advised participants of administrative arrangements for the meeting.
6. The Chair noted that the meeting report should be limited to a record of conclusions and outcomes, rather than a full record of the discussions.

### **Agenda Item 2. Status of measures**

#### ***2.1 Report from the Secretariat***

7. Paper CCSBT-CC/0910/04 was presented by the Executive Secretary, detailing Compliance with CCSBT Management Measures by Members and Cooperating Non-Members (CNMs).
8. The paper contained a table summarising compliance with CCSBT measures, and the meeting noted that in conjunction with National Reports, this provided a useful guide to the key issues of compliance. It was recommended that in future this table should be developed by the Secretariat in conjunction with Members and CNMs, and that Members and CNMs be given a deadline for providing corrections to the table in advance of the meeting.
9. It was further noted that there was significant variation in the level of monitoring and verification conducted by the different Members and also in the levels of compliance with measures and that this was an important issue that required consideration.

**2.2 Reports from Members and Cooperating Non-Members (Reports on compliance related issues from National Reports), and assessment of compliance with measures:**

10. All Members and two Cooperating Non-Members (South Africa and the European Community) presented key issues from their national reports (CCSBT-CC/0910/SBT Fisheries) and responded to questions of clarification asked by participants.
11. Some Members noted that the stock status is now at a critical stage, and that issues of non-compliance need to be dealt with seriously.
12. Japan reported that it has recently intensified monitoring of imports of all tuna species, and that they were not in a position to accept imports of product where compliance is questionable. Japan advised that it would like to work with other Members to ensure compliance.

**Agenda Item 3. Integrated MCS measures**

**3.1 Catch Documentation Scheme**

13. The Executive Secretary presented paper CCSBT-CC/0910/05, which reported on intersessional development in relation to the CCSBT Catch Documentation Scheme. The paper contained a revised set of CDS forms that had been developed by the Secretariat, as well as a draft format of the Executive Secretary's Six-monthly reports to the Extended Commission.
14. In relation to the provision and use of tags for the CDS, it was reported that the SFMWG had noted it would be useful for a common tag to be used, and that most Members and one CNM had ordered a common tag from a supplier in Japan. Australia had reported that they would use their own type of tag, but that they would try to use a common colour/tag numbering system wherever possible. The European Community had reported that it would be using EC tags that are used to tag bluefin for ICCAT. South Africa was not in a position to inform the Compliance Committee of tags to be used, but would do so later this year.
15. A CDS technical working group was convened to finalise both the CDS forms and the format of the Executive Secretary's six monthly reports. The report of the technical working group is at **Attachment 4**.
16. The Committee noted that the forms proposed by the group were consistent with the CDS resolution agreed at CCSBT 15. It was also noted that some Members had concerns with some aspects of catch validation within the CDS. It was agreed that Members would make best endeavours to resolve these issues and if necessary report on any remaining issues to Members for consideration at the next Compliance Committee meeting.
17. The meeting adopted the recommendations of the technical working group and the agreed CDS resolution is at **Attachment 5**.

### ***3.2 Vessel Monitoring System***

18. The Chair noted that some Members and CNMs had provided VMS information in their National Reports, while others had submitted separate reports to this meeting using the agreed template as specified in the Resolution on VMS.
19. He further noted that there appeared to be no specific issues regarding VMS, and that implementation of the VMS appeared to generally be successful by Members and CNMs.

### ***3.3 Transshipment***

20. The Data Manager presented CCSBT-CC/0910/07 which reported on the implementation of the CCSBT transshipment resolution, and noted that all transshipments of southern bluefin tuna notified to the Secretariat took place under the MOU with the IOTC, and that there had been some issues surrounding implementation that require further work to resolve, including: timeliness of reporting transshipment declarations; initial deployment requests not indicating transshipment of SBT; and difficulties with identification of SBT by observers.
21. It was agreed that the Secretariat would work intersessionally with the IOTC to resolve these issues, in order to further improve the efficiency of the resolution.

## **Agenda Item 4. Recommendations from the report of the 2<sup>nd</sup> Joint Tuna RFMO meeting**

22. CCSBT-CC/0910/08 was presented by the Executive Secretary, detailing the process for creation of a Unique Vessel Identifier (UVI) for tuna vessels, which was one of the action items from the 2nd Joint Tuna RFMO meeting.
23. It was reported that to achieve this, there would need to be 9 additional information items collected from Members and CNMs relating to Authorised Vessels.
24. It was noted that a UVI would be of most value if all tuna RFMOs collected the necessary information to generate a UVI for their vessels. The meeting further noted that substantial additional information was required to generate a UVI and the effort may be of limited value without all tuna RFMOs agreeing to provide this information.
25. The meeting agreed that the Secretariat should continue discussions with other tuna RFMOs to work towards establishing a UVI for the global tuna fleet.

## **Agenda Item 5. Future work program and other measures**

26. It was again noted that there was significant variation in the level of verification of catches by different Members, and some Members

considered that adequate levels of flag State verification of catches was the highest compliance priority for the CCSBT.

27. The Compliance Committee noted the discussions during the meeting about the need to ensure compliance with CCSBT conservation and management measures, especially given the low state of the SBT stock. In this context, the CC agreed that it would be valuable to undertake a risk assessment to identify how well existing measures are contributing to monitoring and management of the fishery; and whether there are areas where monitoring and management of the fishery could improve. The CC recommended that an intersessional working group be formed to undertake this risk assessment, using the New Zealand paper (CCSBT-CC/0910/09) and the reports of the performance review working group and the independent reviewer as a basis for this work. The on-going FAO consultations on flag state performance were also noted as a relevant input. The working group will report back to the CC meeting in 2010, including on priorities for action and possible draft resolutions for consideration by the CC.
28. The CC recommended that the CCSBT agree on who would coordinate the work of this group. Members and CNMs agreed to provide nominations to participate in the group by 1 December 2009. The CC recommended that the group undertake its work intersessionally, using electronic communications, and an intersessional meeting in conjunction with the Strategy and Fisheries Management Working Group if required. The CC noted that this work would be in addition to Members and CNMs undertaking measures to improve their monitoring and verification systems before the next meeting of the Compliance Committee.
29. The Chair noted that it is the responsibility of every Member to ensure that the information it provides on its catches has credibility and that the reported catch is the real catch so that other Members of the CCSBT can have confidence that each Member is doing its best for compliance.
30. It was proposed that each Member should develop and implement a plan of action for verification of its own catches. The plan should be completed and circulated to other Members before the commencement of the next fishing season if practicable and progress against the plan should be provided to the next meeting of the Compliance Committee for its consideration.
31. Some Members stressed that the critically low level of the SBT stock was such that the plan of action for most Members with high seas pelagic longline fisheries should be developed and implemented before the commencement of the Member's next fishing season. One Member also stressed the urgent need to implement stereo video camera monitoring of the catch transferred to farms.
32. One Member advised that improvements in other areas were also required, including: the provision of fine scale catch and effort data, improved level and representativeness of observer coverage, potential future introduction of a regional observer program, provision of observer data including bycatch data, and further market related information to verify previous assumptions about catches prior to 2006.

33. A draft resolution to ensure compliance with CCSBT Conservation and Management measures was presented to the CC, but Members needed additional time to consider the resolution and there was a view that any such resolution should be expanded to include a wider range of issues. Members agreed to consider this resolution (**Attachment 6**) further during this year's meeting of the Extended Commission.

#### **Agenda Item 6. Other business**

34. There were no items of other business.

#### **Agenda Item 7. Recommendations to the Extended Commission**

35. The meeting recommended that:
- The Extended Commission adopt the proposed amended CDS resolution provided at Attachment 5;
  - An intersessional working group be formed to undertake a risk assessment of compliance measures; and
  - The draft resolution to ensure compliance with CCSBT's conservation and management measures, presented to the Compliance Committee, be further developed for agreement.

#### **Agenda Item 8. Conclusion**

##### ***8.1 Recommendation of timing and Chair for next meeting***

36. The timing of the annual Compliance Committee meeting is specified in the Committee's Terms of Reference and the meeting did not suggest any changes to this.
37. The Committee had no specific recommendations to make regarding the Chair for the next meeting.
38. The Committee expressed its appreciation to the outgoing Chair for his efforts over the last 4 years.

##### ***8.2 Adoption of meeting report***

39. The report was adopted.

##### ***8.3 Close of meeting***

40. The meeting closed at 5:50pm on 19 October 2009.

## **List of Attachments**

### *Attachment*

- 1 List of Participants
- 2 Agenda
- 3 List of Documents
- 4 Report of the CDS technical working group
- 5 Revised CDS Resolution
- 6 Draft Resolution to ensure compliance with CCSBT Conservation and Management Measures

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**Fourth Meeting of the Compliance Committee  
18-19 October 2009  
Jeju Island, Republic of Korea  
Agenda**

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**List of Documents**  
**The Fourth meeting of the Compliance Committee**

**(CCSBT-CC/0910/ )**

1. Provisional Agenda
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3. Draft List of Documents
4. (Secretariat) Compliance with CCSBT Management measures
5. (Secretariat) Intersessional Development in Relation to the CCSBT Catch Document Scheme
6. (Secretariat) Format of Annual VMS Summary to the CCSBT Compliance Committee
7. (Secretariat) Implementation of the CCSBT Transshipment Resolution
8. (Secretariat) Development of a Unique Vessel Identifier (UVI)
9. (New Zealand) Identification of Options and Priorities for Future Compliance Measures
10. (New Zealand) Draft Strategic Plan for CCSBT
11. (New Zealand) Annual VMS Summary to the CCSBT Compliance Committee – New Zealand
12. (Japan) Monitoring Japanese Markets
13. (Taiwan) Annual VMS Summary to the CCSBT Compliance Committee in 2008/2009 fishing season – Taiwan
14. (Korea) Annual Report on VMS to the CCSBT Compliance Committee by Korea

**(CCSBT-CC/0910/SBT Fisheries - )**

New Zealand	Annual Review of National SBT Fisheries—New Zealand
Australia	Australia's annual review of the Southern Bluefin Tuna Fishery
Indonesia	Annual Review of Indonesian SBT Fisheries for the Annual Commission and Compliance Meetings
Japan Season	Review of Japanese SBT Fisheries in the 2008 Fishing
Taiwan	Review of Taiwan's SBT Fishery of 2008/2009
Korea	Review of Korean SBT Fishery in the 2008 Fishing Season
South Africa	Annual Review of the South African SBT Fishery for the 16 <sup>th</sup> Annual Meeting of the Commission
European Community	Report of 2008 SBT Fishery – European Community

**(CCSBT-CC/0910/BGD )**

1. (Japan)(Secretariat) Secretariat Review of Catches (ESC agenda item 4.2)  
(Originally CCSBT-ESC/0909/04)
2. (Japan) Follow-up analysis on age composition of southern bluefin tuna used for farming in 2007. (Tomoyuki Itoh, Takaaki Sakamoto and Takahisa Yamamoto)  
(Originally CCSBT-ESC/0909/29)
3. (Japan) Analysis of age composition of southern bluefin tuna used for farming in 2008. (Tomoyuki Itoh, Takaaki Sakamoto and Takahisa Yamamoto) (Originally CCSBT-ESC/0909/30)
4. (Japan) Estimation of growth in farmed southern bluefin tuna using the CCSBT conventional tagging data (Osamu Sakai, Tomoyuki Itoh and Takaaki Sakamoto)  
(Originally CCSBT-ESC/0909/31)
5. (Australia) Japanese market update 2009. (Katrina Phillips and Gavin Begg)  
(Originally CCSBT-ESC/0909/09)

**(CCSBT-CC/0910/Rep )**

1. Report of the Fourteenth Meeting of the Scientific Committee (September 2009)
2. Report of the Eighth Meeting of the Ecologically Related Species Working Group (September 2009)
3. Report of the Operating Model and Management Procedure Technical Meeting (July 2009)
4. Report of the Strategy and Fisheries Management Working Group Meeting (April 2009)
5. Report of the Fifteenth Annual Meeting of the Commission (October 2008)
6. Report of the Third Meeting of the Compliance Committee (October 2008)
7. Report of the Thirteenth Meeting of the Scientific Committee (September 2008)
8. Report of the Ninth Meeting of the Stock Assessment Group and Fifth Meeting of the Management Procedure Workshop (September 2008)
9. Report of the Independent Expert on the Performance Review (September 2008)
10. Report of the Performance Review Working Group (August 2008)
11. Report of the Fourteenth Annual Meeting of the Commission (October 2007)
12. Report of the Twelfth Meeting of the Scientific Committee (September 2007)
13. Report of the Thirteenth Annual Meeting of the Commission (October 2006)



**Report from the CDS technical working group**

1. A CDS technical working group meeting was held to finalise:
  - The forms developed for the CDS including supplementary recommendations and any associated changes required to the CDS resolution;
  - Appendix 3 of the CDS resolution, which is the content of the Executive Secretary's six monthly report to the Extended Commission.

**Finalisation of the CDS forms**

2. The improved CDS forms presented in Attachment B of CCSBT-CC/0910/05 were agreed by the technical working group with the addition of the recommended changes and comments for each form described below.

***Farm Stocking Form (FSF)***

3. When the CDS commences, the towing section of the FSF should contain a summary of the number of tow cages used for the specific catching vessel, including the date of the first and last tow cage and the total mortalities. This is instead of the alternative option of a list of individual tow cages with tow cage identifiers and the dates and mortalities of each tow. However, the choice between these two options is to be reviewed after the first year of operation of the CDS
4. Any SBT mortalities occurring during towing that are sold should be not be recorded on a FSF, and instead, should be recorded on a Catch Monitoring Form as wild caught fish with the gear type used to catch the fish (e.g. Purse Seine).

***Catch Monitoring Form (CMF)***

5. The "Certification by Observer" in the CMF should be changed to "Signature of Observer" and section 5.1 of the resolution should be changed accordingly. In order to assist flag States and Fishing Entities to investigate any discrepancies noticed by observers, the Secretariat will hold discussions with the transshipment observer consortium, IOTC and ICCAT as appropriate, to investigate ways of providing early notification to flag States and Fishing Entities of such discrepancies.
6. "Destination" should be added to the Export section of the CMF.
7. The single page version of the CMF is the form that should be used. If additional space is required for any tables and extra page should be attached with that information.

***Re-Export/Export After Landing of Domestic Product Form (REEF)***

8. Boxes should be added to the top of the form to tick whether the form is for a "Re-Export" or for an "Export after Landing of Domestic Product".
9. The name of this form should not be changed at the present time, but this could be reconsidered after the first year of CDS operation.

10. The total number of whole fish should be added to the Description of Fish sections of the REEF form in the same manner as on the CMF form.
11. “Destination” should be added to the Export section of the REEF.

### ***Catch Tagging Form (CTF)***

12. It was accepted that there was a need for each SBT on a CTF to be associated with a single Catch Monitoring Form. Members should be allowed to achieve this by either:
  - using the existing CTF (which only allows one CMF to be recorded for the entire CTF), or
  - modifying the CTF by removing the CMF number field from the top of the CTF and adding an additional column to record the number of the CMF associated with each individual SBT.
13. Product type (RD/GG/DR) should be added to the CTF. When reporting weights of SBT on the CTF, the weights should be reported for the type of product that was actually measured (e.g. do not convert the processed to whole weights). Members and Cooperating Non-Members may choose to use their national product type reporting codes in the CTF, but these should be converted to CCSBT equivalents when reporting this information to the Secretariat.
14. A provision should be added for signing and dating the CTF by an appropriate authority, such as the master of the fishing vessel or an official of the flag state.
15. Members and Cooperating Non-Members should be permitted to amend the CTF to include additional information at the discretion of the Member or Cooperating Non-Member without needing to refer these additions to the Extended Commission.

### ***General Recommendations***

16. In addition to the recommendations made in relation to the specific forms described above, the following general recommendations or comments were also made:
  - Section 5.1.1. of the CDS resolution should be modified by adding the text: “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”.
  - It was reaffirmed that exports from Australian SBT farms that are transferred directly to freezer vessels should be recorded on the Catch Monitoring Form and that these exports do not require a Re-Export/Export after Landing of Domestic Product form.
  - To maintain common terms with other tuna RFMOs, it was agreed that the term “Farm” (and “Farmed”, “Farming”, etc.) should refer to the current SBT farming practices involving on-growing of wild caught SBT. It was also recognised that there would be a need to record hatchery raised SBT on the Catch Monitoring Form and that the term “Hatchery Raised” would be used to distinguish these SBT from “Farmed” SBT. It was agreed that the CDS would need to be modified to incorporate hatchery raised SBT before 1 January 2011.

- It was agreed that a standard form numbering system should be used which consists of the two character form code (e.g. “CM” for catch monitoring form), followed by the two character international country code (e.g. “NZ” for New Zealand), then the two digit year (e.g. “10” for 2010) and finally a unique form number in a format specified by the specific Member or Cooperating Non-Member. For example, one New Zealand CMF in 2010 might have the number “CMNZ10005490”. It was further agreed that the form number should be pre-printed on the forms, but that a space could be left in the pre-printed form number for the two digit year to be hand written on the form.
- The second paragraph of footnote “1” of the CDS resolution should be deleted.
- South Africa commented that the CMF did not contain a requirement for port State verification of landings or transshipments in port by foreign vessels, and that port State verification would be a valuable addition because a significant quantity of the total SBT catch was landed or transhipped through South Africa. Members were not able to agree to the addition of port State verification without giving it further consideration, but noted the potential value of this addition and thanked South Africa for its suggestion.

**Finalisation of Appendix 3 of the CDS resolution**

17. The draft content of the Executive Secretary’s six monthly reports to the Extended Commission presented in Attachment D of CCSBT-CC/0910/05 were supported by the technical working group with the exception that the length and weight scientific data report and references to that report should be deleted.

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

(Modified 19 October 2009)

*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 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;

*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 All Members and Cooperating Non-Members 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.
- 1.2 For transshipments, landings of domestic product<sup>1</sup>, exports, imports and re-exports under the jurisdiction of a Member or Cooperating Non-Member, all SBT shall be accompanied by a document described in section 3 of this resolution. There is no waiver of this requirement. However, the exportation/import of fish parts other than the meat (i.e. head, eyes, roe, guts, tails) may be allowed without the document.
- 1.3 Transfers of SBT into and between farms under the jurisdiction of a Member or Cooperating Non-Member shall be documented on the Farm Stocking Form and Farm Transfer Form as applicable.
- 1.4 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.

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<sup>1</sup> The term 'landing of domestic product' means 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.

- 1.5 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 resolution.
- 1.6 Members and Cooperating Non-Members 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.
- 1.7 Members and Cooperating Non-Members shall not permit whole SBT to be landed as domestic product, transhipped, exported, imported or re-exported without a tag, except that:
  - 1.7.1 in the case of farming operations, the SBT may be landed without a tag provided a tag is attached within 30 hours of kill;
  - 1.7.2 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 landing;
  - 1.7.3 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 landing.
- 1.8 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 landing, transshipment or export.
- 1.9 Members and Cooperating Non-Members shall report any exceptional circumstances referred to in 1.7.2, 1.7.3 or 1.8 to the Executive Secretary within 7 days of the landing. The report shall provide details of the exceptional circumstances, the number of SBT tagged and for 1.8, the old (where known) and new tag number(s).
- 1.10 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.

## **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 vessels, maintained by the Executive Secretary, identifies all authorised vessels.
- 2.3 CCSBT CDS Documents that record information for 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 Form – records information on the catch, towing and farming of SBT
  - 3.1.2 Farm Transfer Form – records information on the transfers of SBT between farms
  - 3.1.3 Catch Monitoring Form – records information on the catch, landing, transshipment, export, and import of all SBT regardless of whether farmed or not, including unexpected catch
  - 3.1.4 Catch Tagging Form – records information on individual fish tagged as part of the CDS
  - 3.1.5 Re-export or Export after Landing of Domestic Product Form – records information on SBT already tracked on the Catch Monitoring Form to the initial point of landing of domestic product or import that is, either in full or part, 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 forms are adopted, only minimal modifications, such as the addition of translations, may be made<sup>2</sup>. No information field may be omitted from the standard form, except where the field is not applicable.
- 3.4 Any documentation modified, as described in 3.3<sup>3</sup>, shall be provided to the Executive Secretary for distribution to other Members, Cooperating Non-Members, as well as Non-Members known to be involved in the landing, transshipment, import, export, or re-export of SBT.
- 3.5 Significant amendments to the forms and form 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. Tagging**

- 4.1 Members and Cooperating Non-Members shall require that an SBT tag be attached to each whole SBT at the time of kill except:
  - 4.1.1 in the case of farming operations, the tag may be attached within 30 hours of kill;
  - 4.1.2 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 landing;
  - 4.1.3 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 landing.

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<sup>2</sup> However the Catch Tagging Form may be amended to include additional information at the discretion of the Member or Cooperating Non-Member.

<sup>3</sup> With the exception of additions to the Catch Tagging Form.

- 4.2 As outlined at 3.1.4, a Catch Tagging Form records relevant tagging information for individual SBT. The Catch Tagging 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 landing or transshipment, provided the measurements and the associated Catch Tagging Form are filled in before any further transfer of the SBT.
- 4.3 Completed Catch Tagging Forms shall be provided to the flag Members and Cooperating Non-Members which shall provide the information in the Catch Tagging Form to the Executive Secretary in an electronic format on a quarterly basis.
- 4.4 A tagging programme shall meet the minimum procedural and information standards set out in Appendix 2.
- 4.5 Members and Cooperating Non-Members shall prohibit the unauthorised use of SBT tags.

## **5. Validation**

- 5.1 The CCSBT CDS documentation must be validated (or signed in the case of transshipments at sea) as applicable by:
  - 5.1.1 for landings of domestic product, an official of the flag Member or Cooperating Non-Member of the catching 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 resolution; and
  - 5.1.3 for all export or re-export of SBT, an official of the exporting or re-exporting Member or Cooperating Non-Member.
- 5.2 The authority to validate CDS documents may be delegated to an authorised person by an official of the relevant State/fishing entity. Members and Cooperating Non-Members 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.
- 5.3 Members and Cooperating Non-Members 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 and Cooperating Non-Members shall inform the Executive Secretary of any changes in a timely fashion.
- 5.4 The Executive Secretary will maintain and update the information specified in 5.3 and provide it to all Members and promptly circulate any changes.

- 5.5 Members and Cooperating Non-Members 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.
- 5.6 No Member or Cooperating Non-Member shall accept any SBT for 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 fields of information required on the form are not completed, or where the form has not been validated as required by this resolution.
- 5.7 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).
- 5.8 Members and Cooperating Non-Members shall undertake an appropriate level of audit, including inspections of vessels, landings, and where possible markets, to the extent necessary to validate the information contained in the CDS documentation.
- 5.9 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 5.8, and the level of compliance.

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

- 6.1 Members and Cooperating Non-Members shall retain all original CCSBT CDS Documents received by them. Members and Cooperating Non-Members shall also retain a copy of any CCSBT CDS Documents issued by them. Copies of these CDS Documents (except the Catch Tagging Form<sup>4</sup>) shall be forwarded<sup>5</sup> to the Executive Secretary on a quarterly basis.
- 6.2 The Executive Secretary shall compile the raw data from CDS documentation into an electronic database. The Executive Secretary shall ensure the confidentiality of the raw data in its database and release to any State/fishing entity only the raw data relating to the CCSBT CDS Documents it validated. 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.
- 6.3 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 July - 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.

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<sup>4</sup> Requirements to provide information in the Catch Tagging Form are set out in 4.3.

<sup>5</sup> Either as a copy of the original form or in electronic format containing all the information in the forms.



- 6.4 The Executive Secretary will post on the public area of the CCSBT web site a subset of the report comprising:
- Flag State/fishing entity;
  - Harvest year;
  - Product destination (including landings of domestic product);
  - Gear code;
  - Net weight.
- 6.5 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 6.3.
- 6.6 The Executive Secretary shall analyse the data provided in 6.1 and notify the relevant Member(s) or Cooperating Non-Member(s) of any identified discrepancies.

## **7. Verification of CDS Documentation**

- 7.1 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 documents and, where necessary, shall carry out verifications with the operators concerned.
- 7.2 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 6.3 using information available to it.
- 7.3 Each Member and Cooperating Non-Member shall, as soon as practicable, identify to the Executive Secretary and relevant Members and Cooperating Non-Members, any consignments of SBT where there are:
- 7.3.1 doubts about the information contained in any associated CDS documentation; or
  - 7.3.2 incomplete, missing or unvalidated CCSBT CDS documentation.
- 7.4 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 7.1 and 7.2, and notify the Executive Secretary of the outcome of any such action for inclusion in its report to the Commission.

- 7.5 The Compliance Committee will consider the summary information compiled by the Executive Secretary in 6.3 and 6.4, including any irregularities and anomalies identified and the outcome of any investigations notified under 7.3.
- 7.6 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.
- 7.7 Members and Cooperating Non-members shall cooperate to ensure that CDS documents are not forged and/or do not contain misinformation.

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

- 8.1 Subject to each Member's and Cooperating Non-Member'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.
- 8.2 Where necessary, in support of catch verification procedures, Members and Cooperating Non-Members 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.

## **9. Implementation and Review**

- 9.1 This resolution will enter into force on 1 January 2010.<sup>6</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.
- 9.2 The Compliance Committee will review this resolution 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 breakage or loss of tags and the extent of the use of exemptions in 1.8 and 1.9 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.
- 9.3 The Executive Secretary will monitor available technology associated with electronic documentation and fish tags to assist the Compliance Committee in its reviews.

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<sup>6</sup> Japan may use its current tagging system until the end of its 2009-10 fishing season (31 March 2010).

**Catch Documentation Scheme Forms**



## 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



**This form is to be completed by the authority of the State/Fishing Entity that holds the national quota allocation against which these SBT have been taken. This form must be completed at the end of the fishing season and before the SBT are recorded on a Catch Monitoring Form.**

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

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

**All sections of this form must be completed**

The top of the form contains 1 additional piece of information that must always be completed. This is -

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

### CATCHING VESSEL SECTION

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

**Registration Number:** Enter the 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 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 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.

**Registration Number:** Enter the 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 mortalities:** Enter the total number of mortalities that occurred.

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

\* Note that any SBT mortalities occurring during towing that are landed for commercial sale should not be recorded on this form, but instead, should be recorded on a Catch Monitoring Form as wild caught fish.

### FARM TRANSFER SECTION

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

**Date Range of transfers:** Enter dates for the First and Last days of transfer.

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

**Method of weight estimation:** Enter the method used to estimate the average weight. Use 40FS for the 40 fish sampling method. For other methods, codes will be provided as they are developed.

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

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

### VALIDATION SECTION

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

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

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



**• 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



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

**This form must accompany each transfer of SBT between farms and a copy of the form must be provided to the issuing State/Fishing Entity.**

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

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

The top of the form contains 1 additional piece of information that must always be completed. This is -

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

### • 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 fish 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.

**Registration Number:** Enter the 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 Fish:** Enter the estimated weight (kg) of the fish being transferred.

**Estimated number of fish:** Enter the estimated number of fish 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 fish.

**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 the form correctly records the fish 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 the form correctly records the fish that are being received from the transferring farm.



Catch Tagging Form Document Numbers

**CATCH / HARVEST SECTION - Tick and complete only one part**

**For Wild Fishery** Name of Catching Vessel \_\_\_\_\_ Registration Number \_\_\_\_\_ Flag State/Fishing Entity \_\_\_\_\_

Or

**For Farmed SBT** CCSBT Farm Serial Number \_\_\_\_\_ Name of Farm \_\_\_\_\_  
 Document Number(s) of associated Farm Stocking (FS) Form(s) \_\_\_\_\_

Description of Fish						
Product: F (Fresh) / FR (Frozen)	Type: RD/GG/DR/FL/OT*	Month of Catch/Harvest (mm/yy)	Gear Code	CCSBT Statistical Area	Net Weight (kg)	Total Number of whole Fish (including RD,GG or DR)
* For Other (OT): Describe the Type of Product				* For Other (OT): Specify Conversion Factor		

Name of Processing Establishment (if applicable) \_\_\_\_\_ Address of Processing Establishment (if applicable) \_\_\_\_\_

Validation **by Authority (not required for transshipments at sea)**: I validate that the above information is complete, true and correct to the best of my knowledge and belief.

Name and Title	Signature	OFFICIAL SEAL
	Date	

**INTERMEDIATE PRODUCT DESTINATION SECTION - (only for transshipments and/or exports) - tick and complete required part(s)**

**Transshipment** Certification **by Master of Fishing Vessel**: I certify that the catch/harvest information is complete, true and correct to the best of my knowledge and belief.

Name	Date	Signature
Name of Receiving Vessel		Registration Number
		Flag State/Fishing Entity

And / Or

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

Name	Date	Signature
Signature of Observer (only for transshipment at sea):		
Name	Date	Signature

**Export** Point of Export\* \_\_\_\_\_ Destination (State/Fishing Entity) \_\_\_\_\_

City	State or Province	State/Fishing Entity
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\* For transshipments on the high seas, enter the CCSBT Statistical Area instead of State/Fishing Entity and leave other fields blank.

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

Name	Licence No. / Company Name	Date	Signature
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Validation **by Authority**: I validate that the above information is complete, true and correct to the best of my knowledge and belief.

Name and Title	Signature	OFFICIAL SEAL
	Date	

**FINAL PRODUCT DESTINATION SECTION - tick and complete only one destination**

**Landing of Domestic Product for Domestic sale.** Certification of Domestic Sale: I certify that the above information is complete, true and correct to the best of my knowledge and belief.

Name	Address	Date	Weight (kg)	Signature

**Import** Final Point of Import \_\_\_\_\_

City	State or Province	State/Fishing Entity
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Certification **by Importer**: I certify that the above information is complete, true and correct to the best of my knowledge and belief.

Name	Address	Date	Signature
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## INSTRUCTION SHEET

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

This form (CMF) must accompany all transshipments, landings of domestic product, exports, imports and re-exports of SBT, and a copy of this form must be provided to the issuing State/Fishing Entity. The only exception is that exportation/import of fish parts other than the meat (i.e. head, eyes, roe, guts, tails) may be allowed without this document. Please note that:

- For farms, Farm Stocking Form(s) must have been produced by the State/Fishing Entity for all SBT on the CMF and the document number of those Farm Stocking Form(s) must be recorded on the CMF.
- Catch Tagging Form(s) must have been completed for all SBT on the CMF and copies must be provided to the issuing State/Fishing Entity. The document numbers of these Catch Tagging Form(s) must be recorded on the CMF.

If a language other than one of the CCSBT official languages (English and Japanese) is used in completing the form, please add the English or Japanese translation on the Document. The Catch Monitoring Form has 3 main sections: (1) Catch/Harvest; (2) Intermediate Product Destination; and (3) Final Product Destination. The Catch/Harvest and Final Product Destination sections must always be completed. However, the Intermediate Product Destination section only needs to be completed if the product is being exported and/or transhipped.

The top of the form contains 2 additional pieces of information that must always be completed. These are:

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

**Catch Tagging Form Document numbers:** Enter the unique document number of each Catch Tagging Form that is associated with this form. If there is insufficient room to enter all document numbers, enter this information on a separate page and attach that page.

### CATCH HARVEST SECTION - tick and complete only one part

Tick the box to specify whether the catch is for the Wild fishery or for Farmed SBT.

You must complete the part of the Catch Harvest section corresponding to the box that you ticked, and then complete the remainder of the section.

#### For Wild Fishery - This should only be completed for the wild fishery (not for farmed SBT)

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

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

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

#### For Farmed SBT- This should only be completed for farmed SBT

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

**Name of Farm:** Enter the Name of the Farm.

**Document number(s) of the Associated Farm Stocking (FS) Form(s):** Enter the unique document number of each Farm Stocking Form that is associated with this form. If there is insufficient room to enter all document numbers, enter this information on a separate page and attach that page.

#### Description of Fish

All SBT described in this section must be sent to the Final Product Destination. Split shipments are not permitted, so if SBT are to go to two or more different destinations, a separate Catch Monitoring Form must be completed for the catch sent to each destination.

The shipment of SBT must be described, to the highest degree of accuracy using the following information.

**NOTE: One row shall describe one product type**

**Product:** Enter the type of product being shipped as either FRESH (F) or FROZEN (FR).

**Type:** Enter the type of product being shipped as either ROUND (RD), GILLED AND GUTTED (GG), DRESSED (DR), FILLET (FL) or OTHER form (OT). For OTHER, describe the type of product in the shipment.

**Month of Catch/Harvest (mm/yy):** Enter the month and year of harvest of the southern bluefin tuna; in the case of farmed fish, 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 southern bluefin tuna using the list below; for OTHER TYPE, describe the type of gear. In the case of farmed fish, 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:** Enter the area in which the southern bluefin tuna were harvested using the main CCSBT Statistical Areas (1 to 10 and 14 to 15) or the other CCSBT Statistical Areas (11 to 13) where there is no corresponding main area. In the case of farmed fish, it is not necessary to fill in this column. A map showing the statistical areas is provided on page 3 of these instructions.

**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 when originally caught)

**Total Number of whole Fish (including RD,GG or DR):** Enter the number of fish that remain whole. A fish remains whole despite cleaning, gilling and gutting, freezing, removing fins, gillplates 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.

**For Other (OT) Describe the type of product:** If Product Type is Other (OT), then describe the product.

**For Other (OT) Specify the Conversion Factor:** If Product Type is Other (OT) then specify the Conversion Factor to be used to convert this weight to a whole weight equivalent.



## INSTRUCTION SHEET

### CATCH HARVEST SECTION - (continued)

**Name of Processing Establishment (if applicable):** Enter the name of the establishment that processed the southern bluefin tuna (if applicable).  
**Address of Processing Establishment (if applicable):** Enter the address of the establishment that processed the southern bluefin tuna (if applicable).

#### Validation

**Validation by Authority (not required for transshipments at sea):** If this is not a transshipment at sea, enter the name and full title of the official<sup>1</sup> signing the document, together with the signature of the official, date (dd/mm/yyyy) and official seal.

### INTERMEDIATE PRODUCT DESTINATION SECTION - only for transshipments and/or exports - tick and complete required part(s)

This section only needs to be completed if the product is being exported and/or transhipped.  
 Tick the box to specify whether the product is being transhipped or exported. If this is both a transshipment and an export then tick both boxes.  
 You must then complete the parts of the intermediate product destination section corresponding to the box(es) that you ticked.

#### Transshipment

**Certification by Master of Fishing Vessel (only required for transshipments at sea):** In the case of transshipments at sea, the master of the fishing vessel shall complete this section, with his/her full name, signature and date (dd/mm/yyyy) to certify that the form correctly records the catch/harvest information.

The next part should be completed by the Master of the vessel receiving the southern bluefin tuna.

**Name of Receiving Vessel:** Enter the name of the Receiving vessel.  
**Registration Number:** Enter the Registration Number of the Receiving vessel.  
**Flag State / Fishing Entity:** Enter the Flag State or Fishing Entity of the Receiving vessel.

**Certification by Master of Receiving Vessel:** The master of the receiving vessel shall complete this section, with his/her full name, signature and date (dd/mm/yyyy) to certify that the form correctly records the fish that were transferred to the receiving vessel.

**Signature of Observer (only for transshipments at sea):** If a transshipment is covered by the CCSBT Resolution on Establishing a Program for Transshipment by Large-Scale Fishing Vessels (i.e. is transhipped at sea), then the observer must enter his/her full name, signature and date (dd/mm/yyyy). If there were any discrepancies between the observed transshipment and the information recorded on the Catch Monitoring Form, the observer's transshipment report should document those discrepancies.

#### Export

##### Point of Export

**City:** Enter the City of Export.  
**State or Province:** Enter the State or Province of Export.  
**State/Fishing Entity:** Enter the State/Fishing Entity of Export. For transshipments on the high seas, enter the CCSBT Statistical Area where the transshipment occurred and leave other fields blank.

##### Destination

**State/Fishing Entity:** Enter the State/Fishing Entity to which the southern bluefin tuna is being exported.

**Certification by Exporter:** The Exporter must provide his/her name, signature, date (dd/mm/yyyy) and either the exporter license number or the exporter company name to certify the information provided in relation to the export shipment (i.e. that the form correctly records what is being exported).  
**Validation by Authority:** Enter the name and full title of the official<sup>1</sup> signing the document, together with the signature of the official, date (dd/mm/yyyy) and official seal.

### FINAL PRODUCT DESTINATION SECTION - tick and complete only one Destination

Tick the box to specify whether the final destination of the product is for landing of domestic product or for import.  
 You must then complete the part of the final product destination section corresponding to the box that you ticked.

#### Landing of Domestic Product for Domestic Sale

**Certification of domestic sale:** The person or company that receives southern bluefin tuna from a domestic vessel for the purpose of domestic sale must provide his/her/its name, address, signature, and date (dd/mm/yyyy) on which the southern bluefin tuna was received.  
 Each buyer must also provide his/her name, address, signature, date (dd/mm/yyyy) on which the southern bluefin tuna was received, and weight purchased.

#### Import

**Final Point of Import**  
**City:** Enter the City of Import.  
**State or Province:** Enter the State or Province of Import.  
**State/Fishing Entity:** Enter the State/Fishing Entity of Final Import.

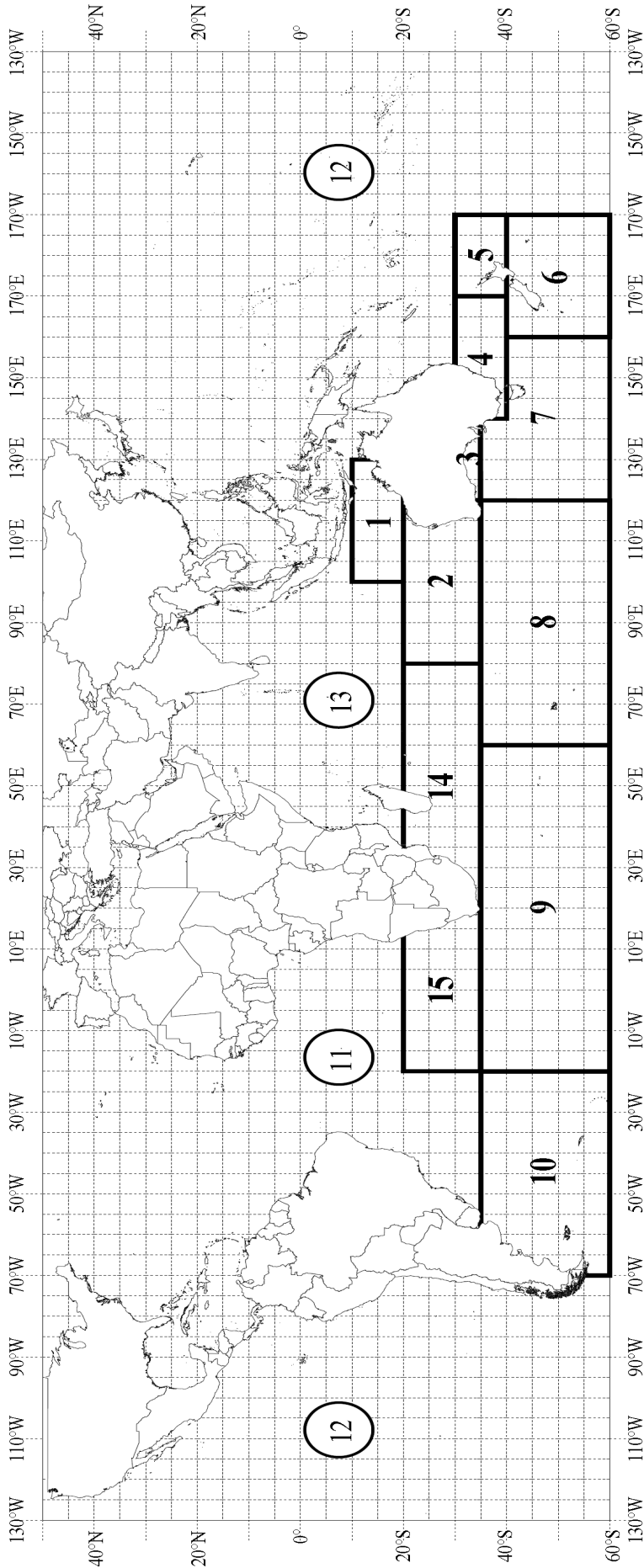
**Certification by Importer:** The person or company that imports southern bluefin tuna must provide his/her/its name, address, signature, date (dd/mm/yyyy) on which the southern bluefin tuna was imported. For fresh and chilled product, the signature of the importer may be substituted by a person of a customs clearance company when the authority for signature is properly accredited to it by the importer.

<sup>1</sup> The official must be in the employment of, or delegated by, the competent authority of the Member, or Co-operating Non-Member that issued the Catch Monitoring Form. The Member or Co-operating Non-Member which utilizes a delegated entity shall submit a certified copy of such delegation to the Executive Secretary.



## INSTRUCTION SHEET

### Map of CCSBT Statistical Areas





Re-Export      ← Or →       Export after Landing of Domestic Product      (tick only one)

Within this form, the term "Export" includes both exports and re-exports

Full Shipment      ← Or →       Partial Shipment      (tick only one)

Form Number of Preceding Document (Catch Monitoring Form, or Re-Export/Export After Landing of Domestic Product Form)	
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**EXPORT SECTION**

Exporting State/Fishing Entity	Point of Export		
	City	State or Province	State/Fishing Entity

Name of Processing Establishment (if applicable)	Address of Processing Establishment (if applicable)

Catch Tagging Form Document Numbers (if applicable)

Description of Fish from previous CDS Document				Description of Fish being Exported			
Flag State/Fishing Entity		Date of previous Import/Landing		Product: F (Fresh) / FR (Frozen)		Type: RD/GG/DR/FL/OT*	
Product: F (Fresh) / FR (Frozen)	Type: RD/GG/DR/FL/OT*	Weight (kg)	Total Number of whole Fish (including RD,GG or DR)	Product: F (Fresh) / FR (Frozen)	Type: RD/GG/DR/FL/OT*	Weight (kg)	Total Number of whole Fish (including RD,GG or DR)
* For Other (OT): Describe the type of product				* For Other (OT): Describe the type of product			

Destination (State/Fishing Entity)

Certification <b>by Exporter</b> : I certify that the above information is complete, true and correct to the best of my knowledge and belief.			
Name	Signature	Date	Licence No. / Company Name

Validation <b>by Authority</b> : I validate that the above information is complete, true and correct to the best of my knowledge and belief.		OFFICIAL SEAL
Name and Title	Signature	
	Date	

**IMPORT SECTION**

Final Point of Import		
City	State or Province	State/Fishing Entity

Certification <b>by Importer</b> : I certify that the above information is complete, true and correct to the best of my knowledge and belief.			
Name	Address	Signature	Date

NOTE: The organization/person which validates the Export section shall verify the copy of the original CCSBT CDS Document. Such a verified copy of the original CCSBT CDS document must be attached to the Re-export/Export after Landing of Domestic Product (RE) Form. When SBT is Exported, all verified copies of concerned forms must be attached.



This form must accompany all re-exports of SBT and all exports of SBT that have previously been landed as domestic product, and a copy must be provided to the issuing State/Fishing Entity.

In addition, this form must be accompanied by the associated Catch Monitoring Form and any previously issued Re-Export/Export after Landing of Domestic Product Forms for the SBT being exported.

This form is not required for the "first" export of the particular SBT if those SBT are being landed for the sole purpose of exporting. In this circumstance, only a Catch Monitoring Form needs to be created and accompany the product.

If a language other than one of the CCSBT official languages (English and Japanese) is used in completing the form, please add the English or Japanese translation on the Document. The Re-export/Export after Landing of Domestic Product Form has 2 main sections: (1) Export; and (2) Import.

Within this form, the term "Export" includes both Exports and Re-exports.

The top of the form contains 4 additional pieces of information that must always be completed. These are -

**Re-Export or Export after Landing of Domestic Product:** Tick only one box to indicate whether this is a Re-Export, or an Export after Landing of Domestic Product.

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

**Full Shipment or Partial Shipment:** Tick only one box to specify whether this Information is for a full or partial shipment. A Full shipment is where all the SBT in the preceding document are being exported.

**Form number of Preceding Document:** Enter the unique Document Number of the CDS form that precedes this. (Catch Monitoring Form or Re-Export/Export after Landing of Domestic Product Form).

## EXPORT SECTION

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

**Point of Export:** Enter the City, State or Province, and State/Fishing Entity of the point of Export.

**Name of Processing Establishment (If applicable):** Enter the full name of the Processing establishment (only required if further processing has taken place since the preceding CDS form).

**Address of Processing Establishment (If applicable):** Enter the full Address of the Processing establishment (only required if further processing has taken place since the preceding CDS form).

**Catch Tagging Form Document Number(s) (if applicable):** Enter the Document number of any Catch Tagging Forms that are associated with this form. This will be a subset of the Catch Tagging Forms that were recorded on the previous CDS document. The subset should include the Catch Tagging Forms for all whole SBT (including RD,GG,DR etc) that are being exported on this form. If no whole SBT are being exported, this field can be left empty.

### Description of Fish from previous CDS Document

This section must describe all the SBT from the previous CDS document.

**Flag State/ Fishing Entity:** Enter the original catch/harvest Flag State/Fishing Entity.

**Date of previous Import/Landing:** Enter the date (dd/mm/yyyy) of the import or landing from the previous CDS document.

**NOTE: Each row shall describe only one product type**

**Product:** Enter the product as either FRESH (F) or FROZEN (FR).

**Type:** Enter the type as either ROUND (RD), GILLED AND GUTTED (GG), DRESSED (DR), FILLET (FL) or OTHER form (OT). For OTHER, describe the type of product.

**Weight(kg):** Enter the weight (kg) of the fish.

**Total Number of whole Fish (including RD,GG or DR):** Enter the number of fish that remain whole. A fish remains whole despite cleaning, gilling and gutting, freezing, removing fins, gillplates 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.

**Other:** Describe the type of product (if type is Other).

### Description of Fish being Exported

This Export of SBT must be described, the the highest degree of accuracy using the following information.

**NOTE: Each row shall describe only one product type.**

**Product:** Enter the product being exported as either FRESH (F) or FROZEN (FR).

**Type:** Enter the type being exported as either ROUND (RD), GILLED AND GUTTED (GG), DRESSED (DR), FILLET (FL) or OTHER form (OT). For OTHER, describe the type of product.

**Weight(kg):** Enter the weight (kg) of the fish being Exported.

**Total Number of whole Fish (including RD,GG or DR):** Enter the number of fish that remain whole. A fish remains whole despite cleaning, gilling and gutting, freezing, removing fins, gillplates 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.

**Other:** Describe the type of product (if type is Other).

**Destination (State/Fishing Entity):** Enter the State/Fishing Entity to which the southern bluefin tuna is being exported.

### Certification and Validation

**Certification by Exporter:** The Exporter must provide his/her name, signature, date (dd/mm/yyyy) and either the exporter license number or the exporter company name to certify the information provided in relation to the export shipment (i.e. that the form correctly records what is being exported).

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

## IMPORT SECTION

### Final Point of Import

**City:** Enter the City of Import.

**State or Province:** Enter the State or Province of Import.

**State/Fishing Entity:** Enter the State/Fishing Entity of Final Import.

### Certification

**Certification by Importer:** The person or company that imports southern bluefin tuna must provide his/her/its name, address, signature, date (dd/mm/yyyy) on which the southern bluefin tuna was imported. For fresh and chilled product, the signature of the importer may be substituted by a person of a customs clearance company when the authority for signature is properly accredited to it by the importer.

<sup>1</sup> The official must be in the employment of, or delegated by, the competent authority of the State/Fishing Entity that exported the SBT appearing on the document. The Member or Co-operating Non-Member which utilizes a delegated entity shall submit a certified copy of such delegation to the Executive Secretary.





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

This form must be completed and provided to the issuing State/Fishing Entity when completing the associated Catch Monitoring Form.

If a language other than one of the CCSBT official languages (English and Japanese) is used in completing the form, please add the English or Japanese translation on 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 Form has one main section (1) Catch.

The top of the form contains 3 additional pieces of information that must always be completed. These are -

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

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

**Document number of Associated Catch Monitoring Form:** Enter the unique Document Number of the Catch Monitoring Form that relates to this 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.

**Vessel Registration Number (or CCSBT Farm Serial Number):** Enter the 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 State or Fishing Entity of the Vessel or Farm.

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

### Tag Information

The Tagging information for each fish must be recorded.

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

**CCSBT Tag Number:** Enter the unique tag number of the tag that has been inserted into the fish.

**Type:** Enter the type of product as either ROUND (RD), GILLED AND GUTTED (GG) or DRESSED (DR).

**Weight (kg):** Enter the weight (kg) of the fish.

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

**Gear code (if applicable):** Identify the gear type that was used to harvest the southern bluefin tuna using the list below; for OTHER TYPE, describe the type of gear. In the case of farmed fish, 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 southern bluefin tuna were harvested 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 fish, it is not necessary to fill in this column.

**Month of Harvest (mm/yy):** Enter the month and year of harvest of the southern bluefin tuna tagged; in case of farmed fish, 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 the form correctly records the tagging information.

### **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 1.7 and 1.8 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, gill plates 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 5 – 9 of this resolution apply to tagging documentation and information for Members and Cooperating Non-Members implementing tagging programmes.



### **Content of the Executive Secretary's Six Monthly 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 form types:

- FSF – Farm Stocking Form
- FTF – Farm Transfer Form
- CMF – Catch Monitoring Form
- REEF – Re-Export/Export after Landing of Domestic Product Form
- CTF – Catch Tagging Form

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 CMF together with mortalities from the FSF 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 is 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;
- Total whole weight of SBT by fishing gear as reported by the Member (if available); and

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<sup>1</sup> Member's 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 Member's reports) for which there is sufficient CDS data.

- 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 CMF and CTF to provide the following information:

- Flag Member/Cooperating Non-Member;
  - Captured, farm harvest, or farm catch/towing mortality
  - Product (F/FR);
  - Processed Type (RD/GG/DR/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
  - Net weight of SBT.

**REEF Reports**

Two reports relating to the REEF form are to be produced.

(1) Detailed REEF summary report

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

- Original catching State/Fishing Entity
  - Currently exporting State/Fishing Entity<sup>3</sup>;
  - Point of export;
  - Year and month of export<sup>4</sup>
  - Importing State/Fishing Entity;
  - Product exported (F/FR);
  - Type exported (RD/GG/DR/FL/OT); and
- and within the above groupings, the
- Net weight and Number of SBT exported.

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<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 exporting State/Fishing Entity on the REEF form in question, not from preceding REEF forms or the CMF.

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

## (2) REEF discrepancy report

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

- The document number, flag, product type(s) and weight(s) in each over utilised CMF form;
- The document number, exporting flag, product type(s) and weight(s) of the associated REEF form(s); and
- Other information 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 CTF and CMF 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 CMF’s.

## **Transshipment Reports**

Two transshipment reports are to be produced.

### (1) Transshipment summary report

This report uses data from the CMF 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 CMF;
  - Net weight of SBT according to the CMF;
  - Net weight of SBT according to the transshipment declaration; and
  - Net weight of SBT according to the transshipment observer report.

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

## (2) Transshipment discrepancy report

This report produces details of each transshipment in which the weight of SBT in the CMF 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 CMF;
- 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 FSF and CMF 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 FSF and adjusted according to the FTF) is greater than the number of SBT harvested from that farm according to the CMF.

- 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 quarterly basis from multiple sources. The same document may be sent to the Secretariat at different times. For example, when SBT are exported or 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 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 forms from the different sources. The Secretariat should design and produce these reports after the CDS has been in operation for 12 months.

**Draft Resolution to ensure compliance with  
Conservation and Management Measures**

The Commission resolves that:

1. Each Members or Cooperating Non-Member shall submit to the Secretariat by April 1, 2010 an action plan to ensure its compliance with the Commission conservation and management measures, in particular its allocation under the global quota for southern bluefin tuna. The action plan shall include a scheme to systematically verify catch data reported by fishermen.
2. The flag Members and Cooperating Non-Members of pelagic longline vessels shall specify in their action plans improvement in at least three areas: port state inspection of transshipment of southern bluefin tuna, verification of catch data based upon observer data and actual inspection of catches by authorities of those flag Members and cooperating Non-Members. For effective port state inspection, those Members and Non-Members shall designate foreign ports of transshipment of southern bluefin tuna for their vessels, prohibit such transshipment at other foreign ports and communicate with those designated port states to share relevant information required for effective inspection.
3. The Members and Cooperating Non-Members of farming of southern bluefin tuna shall specify in their action plans the coverage of tuna monitored through stereo video camera systems among the all southern bluefin tuna transferred to their cages in 2010 fishing season and increase the coverage to 100 % in 2011.
4. All the Members and Non-members shall submit the reports on implementation and results of the action plans in 2010 to the 2010 meeting of the Compliance Committee.