

Commission for the Conservation of  
Southern Bluefin Tuna



みなまぐろ保存委員会

**Report of  
The Second Meeting of the Compliance  
Committee Working Group**

**14 - 15 May 2013  
Canberra, Australia**

**The Second Meeting of the Compliance Committee Working Group  
14 - 15 May 2013  
Canberra, Australia**

**Agenda Item 1. Opening of meeting**

*1.1. Welcome*

1. Mr Phillip Glyde (Deputy Secretary, Department of Agriculture, Fisheries and Forestry) welcomed participants to Canberra and provided introductory remarks for the meeting.
2. The meeting was opened by the Chair of the Compliance Committee, Mr Stan Crothers, who thanked Australia for its hospitality.
3. Members introduced their delegations to the meeting. The list of participants is provided at **Attachment 1**.

*1.2. Adoption of agenda*

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

*1.3. Meeting arrangements*

6. The Secretariat outlined administrative arrangements for the meeting.

**Agenda Item 2. Development of Minimum Performance Requirements for the Catch Documentation System (CDS)**

7. The meeting agreed that its goal under this agenda item is to examine the CDS Minimum Performance Requirements (MPRs) presented in Attachment A of paper CCWG/1305/04 and to provide recommendations to the Eighth Meeting of the Compliance Committee (CC8) regarding an agreed set of MPRs.
8. The meeting recognised that in some cases discussion and clarification of the proposed MPRs at Attachment A could lead to proposed amendments to the Resolution on the Implementation of a CCSBT Catch Documentation Scheme (CDS Resolution). Possible amendments are itemised in paragraphs 9 - 14 of this report and are provided for the Compliance Committee's consideration.

***Possible amendment to paragraph 1.2 of the CDS Resolution***

9. There was discussion as to whether the following sentence in paragraph 1.2 of the CDS Resolution meant that exports of SBT "cheek meat" are exempt from CDS documentation requirements:

*"... . However, the exportation/import of fish parts other than the meat (i.e. head, eyes, roe, guts, tails) may be allowed without the document."*

10. The meeting recommended that cheek meat not be exempt from CDS documentation requirements and recommended that if clarification is required following this discussion, the following footnote could be added to the word “meat” in this sentence.

*“Any meat separated from fish parts is considered to be meat in this context.”*

#### ***Possible amendment to the Catch Tagging Form instructions of the CDS Resolution***

11. The meeting identified that there is ambiguity in the Catch Tagging Form (CTF) instructions with respect to how to measure SBT fork length and their relationship with the text in the body of the CDS Resolution.
12. The instructions on the back of the Catch Tagging Form (CTF) currently state:

*“Enter the fork length of the fish, rounded to the nearest whole centimetre. Measure the straight line horizontal (not curved over body) length of the fish from the closed mouth to the fork of the tail before freezing and tailing as shown in the diagram below.”*
13. An accurate measure of fork length before freezing and tailing can be provided – either by:
  - directly measuring fork length before the SBT is frozen and tailed, or
  - by measuring the SBT after tailing (but before freezing), and then applying an appropriate conversion factor to convert the length measured after tailing to a length which would have represented fork length before the tailing occurred.
14. It is recommended the Compliance Committee consider ways to clarify this.

#### ***Revised Minimum Performance Requirements***

15. The meeting agreed a revised set of MPRs to recommend to CC8 for its consideration. The recommended MPRs are provided at **Attachment 4**.
16. It was agreed that three paragraphs within the revised MPRs be marked as deleted and that these paragraphs be referred directly to CC8 for more detailed discussion. These paragraphs are listed below and all contain a physical inspection element. Japan shared its view that a physical inspection on all SBT is necessary to validate the amount of SBT recorded in the CMF. Some Members shared their views that requiring physical inspection on all SBT goes above and beyond the provisions of the CDS Resolution and may not be practical.
  - Paragraph 1(f)(iii) against Obligations xix to xxi;
  - Paragraph 1(d)(iii) against Obligations xxii to xxv; and
  - Paragraph 2(a)(ii) against Obligations xxii to xxv.
17. The meeting suggested an amendment should be made to item b) of the “Purpose” section of the introductory part of the MPRs.

Item b) in the Purpose section currently reads:

*“b) report on the effectiveness of the rules, operating systems, and processes.”*

The working group recommended the following change to CC8 for consideration:

*“b) report on the effectiveness of the rules, operating systems, and processes through the Compliance Committee or other established reports.”*

18. Following discussions about potential ambiguities between the text of the CDS Resolution itself and the CDS form instructions (which are found on the back of CDS forms), the Meeting agreed to recommend the following item as a topic for discussion at CC8:

Clarify which items actually constitute the CDS Resolution.

In particular, does the CDS Resolution include the Resolution text, the attached forms and the form instructions, or, does the Resolution include only some of these items? For example, does the Resolution include only the Resolution text and the CDS forms, but not the CDS form instructions?

### **Agenda Item 3. Progress report on the eCDS**

19. The Executive Secretary introduced paper CCSBT-CCWG/1305/05. Members thanked the Secretariat for its efforts in preparing this paper. There was an initial round of comments providing feedback on the eCDS proposal.
20. Positive comments on the concept of eCDS were expressed by Australia, Japan, Korea and New Zealand. Taiwan mentioned it had some concerns regarding potential technical difficulties such as:
  - internet connectivity at sea, and
  - training of certifiers, especially as certifier personnel may change frequently.
21. Taiwan expressed a preference for improving the efficiency of the current paper-based system.
22. The meeting agreed that the Executive Secretary would request Members to provide their views on the benefits and concerns (including any specific technical difficulties) of adopting an eCDS system for the CCSBT. These views would be incorporated in the Secretariat's eCDS cost-benefits paper to CC8.

### **Agenda Item 4. Update on the Quality Assurance Review (QAR)**

23. The Executive Secretary thanked Members for their prompt responses with regard to the QAR process, and also thanked the Chair for his valuable input. The Executive Secretary then summarised the QAR Progress Report provided to the Secretariat by the contractor SAI Global Assurance Services.
24. Australia proposed delivering a presentation to CC8 describing the process of independent internal audits within the Australian Government. Members supported this proposal. It was agreed that Australia would provide a short summary of this presentation to the Executive Secretary so that these details can be included within the annotated CC8 agenda.

#### **Agenda Item 5. Regional/Scientific Observer Program**

25. The Executive Secretary presented paper CCSBT-CCWG/1305/06, summarising Members' comments on a Regional Observer program together with options for progressing improvements for the CCSBT.
26. Members supported strengthening the current CCSBT Scientific Observer Program Standards (SOPS).
27. The meeting requested that the Executive Secretary finalise the paper taking into account Members' comments provided at this meeting. The Executive Secretary's paper should include a clear set of options for Members' consideration.

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

28. Japan asked whether Australia was in a position to provide an update on the Australian recreational catch survey. Australia responded that it was not in a position to do so at this meeting. Australia will provide an update on this to the next meeting of the Extended Scientific Committee (ESC), followed by a further update to CC8 in October 2013.

#### **Agenda Item 7. Conclusion**

##### ***7.1. Adoption of meeting report***

29. The report was adopted.

##### ***7.2. Close of meeting***

30. The meeting closed at 5:37pm on 15 May 2013.

## **List of Attachments**

### *Attachment*

1. List of Participants
2. Agenda
3. List of Documents
4. The recommended Minimum performance requirements to meet CCSBT Obligations Compliance Policy Guideline 1

**List of Participants**  
**Second Meeting of the Compliance Committee Working Group**

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First name	Last name	Title	Position	Organisation	Postal address	Tel	Fax	Email
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## REPUBLIC OF KOREA

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## INTERPRETERS

Saemi	BABA	Ms						
Kumi	KOIKE	Ms						
Yoko	YAMAKAGE	Ms						

## CCSBT SECRETARIAT

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**Agenda  
Second Meeting of the Compliance Committee Working Group  
14 - 15 May 2013  
Canberra, Australia**

1. Opening of meeting
  - 1.1. Welcome
  - 1.2. Adoption of Agenda
  - 1.3. Meeting Arrangements
2. Development of Minimum Performance Requirements for the Catch Documentation System (CDS)
3. Progress report on the eCDS
4. Update on the Quality Assurance Review (QAR)
5. Regional/Scientific Observer Program
6. Other business
7. Conclusion
  - 7.1. Adoption of meeting report
  - 7.2. Close of meeting

**List of Documents  
Second Meeting of the Compliance Committee Working Group**

**(CCSBT-CCWG/1305/ )**

1. Provisional Agenda
2. List of Participants
3. Draft List of Documents
4. (Secretariat) Draft Minimum Performance Requirements for the CCSBT's Catch Documentation System.
5. (Secretariat) Proposal for a Web-Based Electronic CDS (eCDS) System
6. (Secretariat) Members' Comments in Relation to a Regional Observer Program

**(CCSBT-CCWG/1305/Rep )**

1. Report of the Nineteenth Annual Meeting of the Commission (October 2012)
2. Report of the Seventh Meeting of the Compliance Committee (September 2012)
3. Report of the Seventeenth Meeting of the Scientific Committee (August 2012)
4. Report of the Ninth Meeting of the Ecologically Related Species Working Group (March 2012)
5. Report of the Eighteenth Annual Meeting of the Commission (October 2011)
6. Report of the Sixth Meeting of the Compliance Committee (October 2011)
7. Report of the Special Meeting of the Commission (August 2011)
8. Report of the Seventeenth Annual Meeting of the Commission (October 2010)
9. Report of the Sixth Meeting of the Compliance Committee (October 2010)

**Minimum performance requirements to meet CCSBT Obligations**  
**Compliance Policy Guideline 1**

*(Revised to incorporate changes to the CDS requirements recommended by the CCWG)*

**1. Introduction**

This policy sets out minimum performance requirements for Members and Cooperating Non Members (CNMs) of the Commission to meet their obligations in relation to CCSBT Conservation and Management measures. All obligations are assumed to apply to both Members and CNMs. Unless otherwise stated, all references to “Members” include CNMs and all references to the “Commission” include the Extended Commission. Obligations of the Commission and CCSBT Secretariat are not listed in this Policy.

The Conservation and Management measures and obligations in this Policy have been provided by the CCSBT Secretariat, and have been taken from the original resolutions, decisions and recommendations of the CCSBT. The full title (where applicable) and an internet link to the full text for each measure are provided at the start of the relevant section of this document. The description and order of some obligations has been changed to enable the obligations to be more easily understood in isolation to the original resolution, decision or recommendation.

This policy is a non-binding document. The original resolution, decision or recommendation should be consulted for an authoritative specification of the obligations. The original recommendation, resolution or decision prevails over this policy where there are any inconsistencies with this policy.

Some measures contain provisions for sharing of information or data. These sharing arrangements often have associated confidentiality provisions, either as part of the associated decision/resolution, and/or as part of the Rules and Procedures for the Protection, Access to, and Dissemination of Data Compiled by the CCSBT. The confidentiality arrangements are not included in this document.

**2. Purpose**

The purpose of this policy is to improve implementation of CCSBT obligations. It enables all Members to have a common understanding of existing obligations and the core elements expected of quality implementation of these obligations. It also provides for transparency in terms of each Member’s implementation procedures. The policy requires Members to:

- a) develop, document and implement rules, operating systems, and processes to meet their CCSBT obligations; and
- b) report on the effectiveness of the rules, operating systems, and processes.

The degree of detail in the minimum performance requirements for particular obligations reflects compliance risks associated with implementation of obligations, and the consequential need for a more consistent and rigorous approach by all Members. Performance requirements could be further elaborated in future should further compliance risks—associated with implementation of obligations—emerge.

### **3. Policy Statement**

1. Members are expected to meet, or exceed, the minimum performance and reporting requirements set out in Appendix 1 of this Compliance Policy as soon as possible, after this policy is adopted by the Commission. The Compliance Committee may agree to a specific later implementation date for particular Members, based on individual circumstances.
2. All rules, operating systems, and processes must be implemented.
3. All operating systems and processes for measures relating to Catch Management, Authorisation, and MCS (groups 1-3 in Appendix 1) must be documented. Members are also encouraged to document their operating systems and processes for measures relating to Science and Ecologically Related Species (groups 4 and 5 in Appendix 1).
4. All documentation must:
  - specify how compliance with rules will be monitored
  - specify sanctions for any non-compliance detected
  - assign responsibility to a competent authority or authorities for implementing all aspects of the operating systems and processes
  - include criteria and procedures to assess the effectiveness of the rules, systems and processes in achieving compliance with the obligations.
5. Annual performance reports must:
  - set out how minimum performance requirements are met and monitored
  - evaluate the effectiveness of the rules, operating systems, and procedures in meeting obligations and performance requirements
  - disclose any compliance risks or deficiencies in the rules, operating systems, or procedures.

Individual Members may propose variations to the minimum performance requirements for particular obligations. Variations must demonstrate that they are at least as rigorous as the minimum performance requirements in Appendix 1. Proposed variations must be submitted to the Commission for approval. Approved variations will be appended to this document and form part of this Compliance Policy.

Some CCSBT obligations contain minimum standards. These, and any updates, are incorporated by reference in this Policy. In particular this includes:

- Appendix 2 (Minimum Procedural and Information Standards for CCSBT Member and Cooperating Non-Member Tagging Programmes), Resolution on the Implementation of a CCSBT Catch Documentation Scheme [CDS Resolution](#)
- Resolution on Establishing a Program for Transshipment by Large-Scale Fishing Vessels, Section 3 (At-Sea Transshipment), Annex 1 (CCSBT Transshipment Declaration), and Annex 2 (CCSBT Regional Observer Program) [Transshipment Resolution](#)
- CCSBT Scientific Observer Program Standards [Scientific Observer Program Standards](#)

### ***Definition of terms***

The following terms are used in this policy:

- *Attributable SBT Catch* – that part of a Member’s SBT fishing mortality that is counted against the Member’s allocation of the SBT Total Allowable Catch.
- *Operating systems and processes* – methods to deliver the services needed to meet the obligations and rules. Services include authorisation, validation, observers, enforcement, and research.
- *Rules* – legally binding or enforceable directions, obligations, or conditions. Rules include laws, regulations, and conditions on permits, licenses or authorisations.
- *Sanctions* – penalties or other corrective actions imposed in response to detected non-compliance or illegal activities.

In the context of the Catch Documentation Scheme (CDS), the following meanings are adopted in this policy:

- *Certification* means the first check and confirmation that details in a CDS form have been fully and accurately recorded. Certification is generally carried out by individuals who represent, or are responsible for, the relevant business operation (e.g. fishing, farming, importing or exporting) whose documentation is being certified.
- *Validation* means the second check to confirm that details in a CDS form have been fully and accurately recorded. Validation procedures include:
  - (1) checking documentation, and/or
  - (2) inspecting SBT product or catch against relevant documentation in a random sample from the Member’s:
    - a. farms
    - b. vessels that are landing in, or re-exporting from, the Member’s ports
    - c. vessels that are landing in foreign ports.

Any inspections required must be completed prior to validating CDS forms. Validation is carried out by government officials or other individuals who have been duly delegated the authority to validate CDS documents.

- *Verification* means sampling, monitoring and investigation procedures to confirm or audit that SBT anywhere in the production chain, or entering the market, is compliant with CDS documentation requirements. Verification is carried out by a competent authority of the Member. Verification includes:
  - (1) examining and analysing samples of CDS documentation and SBT product, and investigating any discrepancies or irregularities detected,
  - (2) monitoring markets to detect and investigate any supply of SBT whose CDS documentation is incomplete or missing,
  - (3) monitoring transshipments by the Member's vessels in foreign ports,
  - (4) checking that required CDS documents are attached to exported and imported SBT.

#### **4. Policy implementation**

This policy will be implemented over three years. During this period, the Compliance Committee will work through the CCSBT obligations and agree to the performance requirements. Appendix 1 will be updated as performance requirements are agreed.

When recommending any new obligations to the Commission, the Compliance Committee will include the performance requirements associated with the obligations. Once agreed by the Commission, any new obligations and performance requirements will be added to Appendix 1.

## 5. Roles and responsibilities under this Policy

<i>Who</i>	<i>Responsibility to:</i>
Commission	<ul style="list-style-type: none"><li>• Approve policy</li><li>• Approve performance requirements</li></ul>
Compliance Committee	<ul style="list-style-type: none"><li>• Recommend performance requirements (updates to Appendix 1)</li><li>• Monitor Member compliance through review of annual reports</li><li>• Review and recommend changes to this policy</li></ul>
Members	<ul style="list-style-type: none"><li>• Develop and implement rules, operating systems and processes</li><li>• Report on progress and effectiveness</li></ul>
Secretariat	<ul style="list-style-type: none"><li>• Develop reporting template</li><li>• Place this policy and annual reports on website</li></ul>

## 6. Policy review

This Policy is to be reviewed every three years from the date of approval of the Policy. Performance requirements are to be reviewed every three years from the date on which they were agreed.

A Member may request a review of one or more of the minimum performance requirements at any time. The request, setting out the reason for the review, must be submitted to the annual meeting of the Compliance Committee. The request must be sent to the Executive Secretary for circulation to Members at least 4 weeks before the Compliance Committee annual meeting.

## 7. Approval

This policy was approved by the Commission:

\_\_\_\_\_

Chair, Commission

\_\_\_\_\_

Date

Review date: \_\_\_\_\_ (unless reviewed earlier)



## Revised CDS Minimum Performance Requirements

### 3.1 Catch Documentation System (Resolution)

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

**Link:** [http://www.ccsbt.org/userfiles/file/docs\\_english/operational\\_resolutions/Resolution\\_CDS.pdf](http://www.ccsbt.org/userfiles/file/docs_english/operational_resolutions/Resolution_CDS.pdf)

**Notes:** In the text below, the term “Member” includes CNMs as it does for the rest of this document, and the term “Member/OSEC” includes Members, CNMs and Other States/Fishing Entities Cooperating in the CDS.

To keep “like” tasks together the CDS obligations are grouped below as follows:

- A. General provisions and application
- B. Modification to standard CDS Documents
- C. Tagging
- D. Validation
- E. Retention and submission of documents to the Secretariat
- F. Verification of CDS documentation

3.1 Catch Documentation System	
A. Obligations (general)	Minimum performance requirements
i. All 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. Operating systems and processes established and implemented to ensure that: <ul style="list-style-type: none"> <li>a. all owners and operators of authorised farms, fishing vessels, and carrier vessels, and all SBT processors, importers, exporters and re-exporters, are aware of their CCSBT obligations<sup>1</sup>;</li> <li>b. CDS documents accompany SBT as relevant, including:               <ul style="list-style-type: none"> <li>i. a Catch Monitoring Form (CMF) for all transhipments,</li> </ul> </li> </ul>
ii. For transhipments, landings of domestic product, exports, imports and re-exports under the jurisdiction of a Member/OSEC, all SBT shall be accompanied by a Catch Monitoring Form, and where required <sup>2</sup> at least one Re-export/Export after landing of domestic	

<sup>1</sup>In the case of authorised carrier vessels that are not flagged to a Member, the carrier vessel masters need to be aware of the authorising Member’s obligations so that the carrier vessel can comply with these.

<sup>2</sup>For all re-exports of SBT, and any exports of SBT that were landed as domestic product.

3.1 Catch Documentation System	
A. Obligations (general)	Minimum performance requirements
<p>product Form as well. There is no waiver of this requirement. However:</p> <ul style="list-style-type: none"> <li>• the exportation/import of fish parts other than the meat (i.e. head, eyes, roe, guts, tails) may be allowed without the document</li> <li>• Members that prohibit the sale of fish caught by recreational fishers may exempt their recreational fisheries from the requirements of the CCSBT CDS.</li> </ul>	<ul style="list-style-type: none"> <li>landings of domestic product, exports, imports and re-exports</li> <li>ii. a Re-export/Export After Landing of Domestic Product (REEF) for all exports of SBT landed as domestic product then exported, and for all re-exports of imported SBT. Any REEF must also be accompanied by a copy of the associated CMF and copies of any previously issued REEFs for the SBT being exported</li> </ul>
<p>iii. Transfers of SBT into and between farms under the jurisdiction of a Member shall be documented on the Farm Stocking Form and Farm Transfer Form as applicable.</p>	<ul style="list-style-type: none"> <li>iii. a Farm Transfer Form (FTF) for all transfers of SBT between authorised farms within the Member’s jurisdiction;</li> </ul>
<p>iv. CCSBT CDS documents must be uniquely numbered.</p>	<ul style="list-style-type: none"> <li>c. all entities with CDS certification obligations have certification requirements, including:</li> </ul>
<p>v. An appropriate authority should complete the Certification section of a Catch Tagging Form.</p>	<ul style="list-style-type: none"> <li>i. that the certifier for the Catch Tagging Form (CTF) should be the Vessel Master or other appropriate authority for any wild harvested SBT, and the Farm Operator or other appropriate authority for any farmed SBT;</li> <li>d. all entities involved in towing and farming SBT have procedures to: <ul style="list-style-type: none"> <li>i. record the following items about the catch from each catching vessel: <ul style="list-style-type: none"> <li>a) the daily mortality of SBT during catching and towing, and</li> <li>b) the quantity (number and weight in kilograms) of SBT transferred to each farm</li> </ul> </li> <li>ii. use these records to complete the Farm Stocking Form at the end of each fishing season and before the SBT are recorded on a CMF;</li> </ul> </li> </ul>

3.1 Catch Documentation System	
A. Obligations (general)	Minimum performance requirements
	<ul style="list-style-type: none"> <li>e. compliance with certification procedures is verified.</li> <li>2. Any use of specific exemptions to CDS documentation (allowed for under obligation 3.1 A (ii) for recreational catch) must be:               <ul style="list-style-type: none"> <li>a. explicitly allowed and this decision advised to the Executive Secretary; and</li> <li>b. have associated documented risk-management strategies to ensure that associated mortalities are accounted for and that recreational catches do not enter the market.</li> </ul> </li> <li>3. Operating system and processes established and implemented to ensure all CDS documents are uniquely numbered, and completed fully and in accordance with the document's instructions;</li> </ul>
<p>vi. Members/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.</p>	<ul style="list-style-type: none"> <li>1. Operating systems and processes established and implemented to ensure that at all times only carrier vessels authorised on the CCSBT Record of Carrier Vessels for the transshipment date are permitted to receive at-sea transshipments from the Member's LSTLVs.</li> <li>2. Rules established and implemented to prohibit:               <ul style="list-style-type: none"> <li>a. the landing, transshipment, import, export or re-export of SBT caught or transhipped by non-authorised fishing/carrier vessels;</li> <li>b. the transfer of SBT to, between or harvested from farms which were not authorised to farm SBT on the date(s) of the transfers/ harvests.</li> </ul> </li> </ul>

<b>3.1 Catch Documentation System</b>	
<b>B. Obligations (modification to CDS documents )</b>	<b>Minimum performance requirements</b>
vii. Only minimal modifications, such as the addition of translations, may be made to the approved forms <sup>3</sup> . No information field may be omitted from the standard form, except where the field is not applicable.	<ol style="list-style-type: none"> <li>1. The Executive Secretary shall, in consultation with Members, determine whether proposed modifications are minimal or significant with respect to this obligation.</li> <li>2. Modified documents remain compatible with approved forms to ensure data series remain continuous and so they can be uploaded by the Secretariat.</li> <li>3. Modified documents are provided to the Executive Secretary in electronic format at least 4 weeks prior to the use of such documents and with proposed modifications clearly highlighted.</li> </ol>
viii. Any documentation modified, as described above <sup>4</sup> , shall be provided to the Executive Secretary for distribution to other Members/OSECs.	
ix. 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.	

<b>3.1 Catch Documentation System</b>	
<b>C. Obligations (Tagging )</b>	<b>Minimum performance requirements</b>
x. Members shall require that an SBT tag be attached to each whole SBT at the time of kill except in the three circumstances described at paragraph “3.1 C xv” below.	<ol style="list-style-type: none"> <li>1. Operating systems and processes established and implemented to ensure that CCSBT Catch Tagging Program requirements are met, including:               <ol style="list-style-type: none"> <li>a. ensuring all SBT tags meet the minimum specifications in paragraph 3 of Appendix 2 of the <a href="#">CDS Resolution</a>;</li> <li>b. recording the distribution of SBT tags to:                   <ol style="list-style-type: none"> <li>i. entities authorised to fish for, or farm, SBT, and</li> </ol> </li> </ol> </li> </ol>
xi. A Catch Tagging Form shall be filled in as soon as practicable after	

<sup>3</sup>However the Catch Tagging Form may be amended to include additional information at the discretion of the Member.

<sup>4</sup>With the exception of additions to the Catch Tagging Form.

3.1 Catch Documentation System	
C. Obligations (Tagging )	Minimum performance requirements
<p>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.</p> <p>xii. Catch Tagging Form(s) must have been completed for all SBT on the Catch Monitoring Form.</p>	<p>ii. where applicable, entities which received tags to cover exceptional circumstances outlined in “3.1 C xv” and “xvi”;</p> <p>c. requiring a valid tag to be attached to each SBT brought on board a fishing vessel and killed (including SBT caught as incidental bycatch) or landed and killed from a farm (unless the special circumstances in “3.1C xv” apply);</p> <p>d. requiring tags to be attached to each fish as soon as practicable after the time of kill;</p> <p>e. requiring details for each fish to be recorded as soon as practicable after the time of kill including month, area, method of capture, as well as weight and length measurements carried out before the SBT is frozen.;</p>
<p>xiii. A tagging programme shall meet the minimum procedural and information standards set out in Appendix 2 of the CDS resolution<sup>5</sup>.</p>	<p>1. Operating systems and processes established and implemented to:</p> <p>a. meet procedural and information standards set out in Appendix 2 of the <a href="#">CDS Resolution</a>;</p> <p>b. identify any unauthorised use of SBT tags;</p> <p>c. identify any use of duplicate tag numbers;</p> <p>d. identify any whole SBT landed, transhipped, exported, imported or re-exported without a tag (except in the circumstance set out in obligations “3.1C xv and xvi”;</p> <p>e. ensure that tags are retained on whole SBT to at least the first point of sale<sup>6</sup> for landings of domestic product;</p> <p>f. ensure a risk management strategy (including random or risk-based sampling) is in place to minimise the opportunity of</p>
<p>xiv. Members shall prohibit unauthorised use of SBT tags.</p>	
<p>xv. Members/OSECs shall not permit whole SBT to be landed as domestic product, transhipped, exported, imported or re-exported without a tag, except that:</p> <p>a) in the case of farming operations, the SBT may be landed without a tag provided a tag is attached within 30 hours of kill;</p> <p>b) in exceptional circumstances, where a vessel on the CCSBT Record of Authorised Vessels does not have</p>	

<sup>5</sup>This includes minimum standards for the tag and requirements for tag related information.

<sup>6</sup>Tags should be retained on whole SBT as long as possible. In cases where the catching and processing are conducted by the same operator (or entity), the tags should be retained as long as the SBT remains whole. This is because, in this case, the first point of sale occurs later in a processed form.

<b>3.1 Catch Documentation System</b>	
<b>C. Obligations (Tagging )</b>	<b>Minimum performance requirements</b>
<p>sufficient tags on board the vessel, the tag may be attached at landing;</p> <p>c) 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.</p>	<p>illegal SBT being marketed.</p> <p>2. Operating systems and processes established and implemented to:</p> <p>a. monitor compliance by operators with control measures in 1. a-f above;</p> <p>b. impose sanctions on operators where non-compliance is detected;</p> <p>c. report any cases of whole SBT being landed without tags (due to exceptional circumstances in “3.1Cxv” and “xvi”) to the Executive Secretary, and minimise their occurrence in future.</p>
<p>xvi. 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.</p>	
<p>xvii. Members shall report any exceptional circumstances referred to in “3.1Cxv(b)”, “xv(c)” or “xvi” of this measure 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 “3.1Cxvi” of this measure, the old (where known) and new tag number(s).</p>	
<p>xviii. 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.</p>	

<b>3.1 Catch Documentation System</b>	
<b>D. Obligations (Validation )</b>	<b>Minimum performance requirements</b>
<p>xix. The authority to validate CDS documents may be delegated to an authorised person by an official of the relevant State/fishing entity. Members/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.</p>	<p>1. Operating systems and processes established and implemented to:</p> <p>a. authorise validators to validate Farm Stocking, Catch Monitoring and Re-Export/Export after Landing of Domestic Product Forms;</p> <p>b. demonstrate that all persons with authority to validate CDS</p>

### 3.1 Catch Documentation System

D. Obligations (Validation )	Minimum performance requirements
<p>xx. Members/ OSECs shall provide to the Executive Secretary information on validation (including type of validation, name of the organisation 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/OSECs shall inform the Executive Secretary of any changes in a timely fashion.</p>	<p>documents:</p> <ul style="list-style-type: none"> <li>i. are government officials or other individuals who have been duly delegated authority to validate</li> <li>ii. are aware of their responsibilities, including inspection, monitoring and reporting requirements</li> <li>iii. are aware of penalties applicable should the authority be mis-used</li> </ul> <ul style="list-style-type: none"> <li>c. appropriate individuals certify each CDS form type by each signing and dating the required fields;</li> <li>d. the same individual does not both certify and validate information on the same CDS form</li> <li>e. inform the Executive Secretary of:               <ul style="list-style-type: none"> <li>i. the details for all validators (including the information specified in obligation “3.1D xx”) and keep this information up to date</li> <li>ii. any individuals removed from the list of validators no later than the end of the quarter in which the removal occurred;</li> </ul> </li> <li>f. ensure that no individual conducts validations               <ul style="list-style-type: none"> <li>i. prior to the Executive Secretary being fully informed of his/her current validation details, or</li> <li>ii. after that individual’s authority to validate has been removed.</li> </ul> </li> </ul> <p><del>iii. — or SBT that is not physically inspected by the authority at least once before the first point of sale.</del></p> <p>2. Operating systems and processes established and implemented to monitor performance (compliance and effectiveness) of validators.</p>
<p>xxi. The CCSBT CDS documentation must be validated (or signed in the case of transhipments at sea) as applicable by:</p> <ul style="list-style-type: none"> <li>• for landings of domestic product, an official of the flag 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; and</li> <li>• for all SBT transhipments subject to CCSBT Resolution on Establishing a Program for Transhipment by Large-Scale Fishing Vessels, the observer required by that resolution; and</li> <li>• for all export of SBT, an official of the exporting Member; and</li> <li>• for all re-export of SBT, an official of the re-exporting Member/OSEC.</li> </ul>	

3.1 Catch Documentation System	
D. Obligations (Validation )	Minimum performance requirements
xxii. 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 it has undergone processing such as filleting or loining and the SBT is no longer whole).	<ol style="list-style-type: none"> <li>1. Operating systems and processes to ensure:               <ol style="list-style-type: none"> <li>a. CDS forms are only validated:                   <ol style="list-style-type: none"> <li>i. where all of the SBT listed on the form are tagged (except in cases where tags are no longer required due to processing having occurred)</li> <li>ii. in the case of farmed SBT, for SBT harvested from farms on a date that the farm was authorised on the CCSBT record of Authorised Farms</li> <li>iii. in the case of Wild Harvest SBT, for SBT taken by FVs on a date when that FV was authorised by the flag Member;</li> </ol> </li> <li>b. validated documentation accompanies all SBT consignments whether transhipped, landed as domestic product, exported, imported or re-exported;</li> <li>c. no SBT is accepted (for landing of domestic product, export, import or re-export) without validated documentation;</li> <li>d. validation does not occur where:                   <ol style="list-style-type: none"> <li>i. validator authorisation procedures were not correctly followed or</li> <li>ii. any deficiency or discrepancy is found with the CDS form.</li> <li>iii. <del>the SBT concerned is not physically inspected by the authority at least once before the first point of sale.</del></li> </ol> </li> </ol> </li> <li>2. Operating systems and processes established and implemented for a Member to validate SBT product against CDS documents, including:               <ol style="list-style-type: none"> <li>a. requirements to check accuracy of information by ensuring every CDS document is complete, valid and contains no obviously incorrect information by:                   <ol style="list-style-type: none"> <li>i. cross-checking data on the form being validated against:</li> </ol> </li> </ol> </li> </ol>
xxiii. No Member/OSEC 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.	
xxiv. Members/OSECs shall not validate any CCSBT CDS document that is not complete, has obviously incorrect information, or has not been validated as required by this resolution.	
xxv. 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.	



3.1 Catch Documentation System	
D. Obligations (Validation )	Minimum performance requirements
	<ol style="list-style-type: none"> <li>1. data on preceding CDS forms including the Catch Tagging Form</li> <li>2. relevant lists of authorised farms, vessels or carriers</li> <li>3. result of any physical inspection by the authority</li> <li>ii. <del>ensuring that for at least 10% of all CDS forms, the validator inspects and thoroughly checks all SBT product against the associated CDS documents prior to validation</del></li> <li>b. notification of any inconsistencies or inaccuracies to the Member's enforcement authorities.</li> </ol>

3.1 Catch Documentation System	
E. Obligations (Retention and submission of documents )	Minimum performance requirements
xxvi. Members/OSECs shall retain all original CCSBT CDS Documents (or scanned electronic copies of the original documents) received by them. Members/OSECs shall also retain a copy of any CCSBT CDS Documents issued by them	1. Documents and/or scanned electronic copies stored in a secure location for a minimum of three years under conditions that avoid damage to the legibility of the documents or the data files.
xxvii. Copies of these CDS Documents shall be forwarded to the Executive Secretary on a quarterly basis.	<ol style="list-style-type: none"> <li>1. Copies of all completed CDS documents issued by catching Members or received by importing or receiving Members, sent to Executive Secretary in accordance with the following timeframes: <ol style="list-style-type: none"> <li>a. documents issued or received in Jan-Mar - due 30 June</li> <li>b. documents issued or received in Apr-Jun - due 30 September</li> <li>c. documents issued or received in Jul-Sep - due 31 December</li> <li>d. documents issued or received Oct-Dec - due 31 March.</li> </ol> </li> <li>2. Catch Tagging Form information shall be provided to the Executive Secretary using the electronic Data Provision Form developed by the Secretariat and in accordance with the Data Provision Form's instructions.</li> </ol>
xxviii. Completed Catch Tagging Forms shall be provided to the flag Members which shall provide the information in the Catch Tagging Form to the Executive Secretary in an electronic format. All other forms shall be forwarded to the Executive Secretary either as a copy of the original form or in electronic format containing all the information in the forms.	

<b>3.1 Catch Documentation System</b>	
<b>F. Obligations (Verification of CDS documentation)</b>	<b>Minimum performance requirements</b>
<p>xxix. Each 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.</p>	<ol style="list-style-type: none"> <li>1. Operating systems and processes established and implemented to:               <ol style="list-style-type: none"> <li>a. assign unambiguous responsibility to individuals or institutions for implementing verification procedures; and</li> <li>b. Ensure no verification procedure<sup>7</sup> is carried out for a CDS document by an individual who has validated or certified the same CDS document.</li> </ol> </li> <li>2. Operating systems and processes established and implemented for verification, including:               <ol style="list-style-type: none"> <li>a. selecting and inspecting, where appropriate, a targeted sample of vessels and export, import and market establishments based on risk. The intent of these inspections should be to provide confidence that the provisions of the CDS are being complied with;</li> <li>b. reviewing and analysing information from CDS documents at least once every 6 months, including:                   <ol style="list-style-type: none"> <li>i. checking the completeness of data on CDS forms and cross-checking the consistency of the data on CDS forms received with other sources of information</li> <li>ii. cross-checking data from the Executive Secretary's CDS six-monthly report</li> <li>iii. analysing any discrepancies;</li> </ol> </li> <li>c. investigating any irregularities suspected or detected;</li> <li>d. taking action to resolve any irregularities;</li> <li>e. notifying the Executive Secretary and relevant Members/OSECs, of any consignments of SBT whose CDS</li> </ol> </li> </ol>
<p>xxx. Each 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 shall cross-check the six monthly reports provided by the Executive Secretary using information available to it.</p>	
<p>xxxi. Each Member/OSEC shall, as soon as practicable, identify to the Executive Secretary and relevant Members/OSECs, any consignments of SBT where there are:</p> <ul style="list-style-type: none"> <li>• doubts about the information contained in any associated CDS documentation; or</li> <li>• incomplete, missing or unvalidated CCSBT CDS documentation.</li> </ul>	

<sup>7</sup>Noting that verification is defined on page 3 of this document together with a list of processes that may form part of verification.

<b>3.1 Catch Documentation System</b>	
<b>F. Obligations (Verification of CDS documentation)</b>	<b>Minimum performance requirements</b>
	<p>documentation is considered doubtful, or incomplete or unvalidated;</p> <p>f. notifying the Executive Secretary of any investigation into serious irregularities, in order to present these in an annual summary report to the Compliance Committee. Notifications should include reporting:</p> <ul style="list-style-type: none"> <li>i. the commencement of an investigation if doing so will not impede that investigation</li> <li>ii. progress, within 6 months of starting the investigation if doing so will not impede that investigation and</li> <li>iii. the final outcome within 3 months of completing the investigation.</li> </ul> <p>3. Ensure that no SBT is accepted (for landing of domestic product, export, import or re-export) without validated documentation attached.</p>
xxxii. Each 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 “3.1Fxxx” and “3.1Fxxxi” of this measure, and notify the Executive Secretary of the outcome of any such action for inclusion in its report to the Commission	
xxxiii. Members/OSECs shall cooperate to ensure that CDS documents are not forged and/or do not contain misinformation.	
xxxiv. Where necessary, in support of catch verification procedures, Members/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.	

## 5. Roles and responsibilities under this Policy

<i>Who</i>	<i>Responsibility to:</i>
Commission	<ul style="list-style-type: none"><li>• Approve policy</li><li>• Approve performance requirements</li></ul>
Compliance Committee	<ul style="list-style-type: none"><li>• Recommend performance requirements (updates to Appendix 1)</li><li>• Monitor Member compliance through review of annual reports</li><li>• Review and recommend changes to this policy</li></ul>
Members	<ul style="list-style-type: none"><li>• Develop and implement rules, operating systems and processes</li><li>• Report on progress and effectiveness</li></ul>
Secretariat	<ul style="list-style-type: none"><li>• Develop reporting template</li><li>• Place this policy and annual reports on website</li></ul>

## 6. Policy review

This Policy is to be reviewed every three years from the date of approval of the Policy. Performance requirements are to be reviewed every three years from the date on which they were agreed.

A Member may request a review of one or more of the minimum performance requirements at any time. The request, setting out the reason for the review, must be submitted to the annual meeting of the Compliance Committee. The request must be sent to the Executive Secretary for circulation to Members at least 4 weeks before the Compliance Committee annual meeting.

## 7. Approval

This policy was approved by the Commission:

\_\_\_\_\_

Chair, Commission

\_\_\_\_\_

Date

Review date: \_\_\_\_\_ (unless reviewed earlier)