

Commission for the Conservation of
Southern Bluefin Tuna



みなみまぐろ保存委員会

Report of The Fourth Meeting of the Compliance Committee Working Group

**5-7 April 2016
Canberra, Australia**

The Fourth Meeting of the Compliance Committee Working Group

5-7 April 2016

Canberra, Australia

Agenda Item 1. Opening of meeting

1.1. Welcome

1. The meeting was opened by the Chair of the Compliance Committee (CC), Mr Frank Meere, who welcomed participants and thanked Australia for its hospitality.
2. A special welcome was provided to South Africa for attending as a Member of the CCSBT for the first time and to the European Union for attending its second meeting as a Member of the Extended Commission.
3. Members introduced their delegations to the meeting. The list of participants is shown at **Attachment 1**.

1.2. Adoption of agenda

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

1.3. Meeting arrangements

6. The Chair described the administrative arrangements for the meeting.

Agenda Item 2. Development of a Revised Catch Documentation Scheme (CDS) Resolution for the CCSBT

7. The Chair outlined the relevant background to this agenda item. Opening statements were provided by Australia, Japan and New Zealand.
8. Japan, Australia and the Secretariat provided brief summaries of the CDS revision proposals that were provided in papers CCSBT-CCWG/1604/05, CCSBT-CCWG/1604/06 and CCSBT-CCWG/1604/04 respectively.
9. The Secretariat's proposal was used as the basis for detailed discussions, with reference being made to important aspects of Australia's and Japan's proposals when necessary.

CDS Certificates

10. Extensive discussions were held on the revised forms (now named certificates) and their associated instructions. Five types of certificates from the Secretariat's paper (CCSBT-CCWG/1604/04) were discussed, these being:
 - Farm Stocking Certificate (FSC), with two options being considered (options "1" and "2");

- Farm Transfer Certificate (FTC);
 - Catch Tagging Certificate (CTC);
 - Catch Harvest Certificate (CHC), which has subsequently be modified into a Combined Catch/Harvest and Export Certificate (CHEC); and
 - Export Certificate (ExC).
11. The CCWG has developed revised certificates and instructions based on the above certificates. These are provided at **Attachment 4**. The two main certificates, the FSC and CHEC have not been agreed and require considerably more discussion between Members before an agreed set of certificates is likely to be achieved. The following paragraphs provide a high level outline of the status of the different certificates.
 12. Option “2” for the Farm Stocking Certificate (FSC) was Japan’s preference for the FSC, but this option was rejected by Australia and is therefore not presented in **Attachment 4**. FSC Option “1” was preferred by Australia, but this option was neither accepted nor rejected by Japan. Australia did not agree with a proposal that FSCs should be attached to CHECs or ExCs. Moreover, Japan, based on their own proposal in CCSBT-CCWG/1604/05, requested the FSC to be incorporated as a section of the CHEC, not just as an attachment to the CHEC. These issues need to be resolved before further progress can be made with the FSC.
 13. The Farm Transfer Certificate (FTC), its instructions and the Catch Tagging Certificate (CTC) at **Attachment 4** have all been agreed by CCWG participants. The CTC’s instructions are also close to agreement. Finalisation of the CHEC should allow the CTC’s instructions to be agreed and finalised quickly.
 14. The CCWG created the CHEC by adding parts of the Export Certificate (ExC) to the end of Catch Harvest Certificate (CHC). Some Members considered this change necessary to allow certain types of exports¹ to occur without requiring two certificates (a CHC and a ExC) to be completed for every combined offloading and export event. The way in which the CHC and ExC have been combined in the CHEC has retained the linear flow of information as well as the requirement that landed weights are validated by the Flag Member. These items were considered important as a Flag Member responsibility and to prevent introduction of loopholes in the system that could result in landed weights remaining unverified.
 15. However, the requirement to validate landed weights on the CHEC causes significant difficulties for Korea, particularly for transshipments at sea that are exported directly to Japan. Korea is currently not able to delegate its validation role to a non-government entity. Considerable cost, such as storage costs in bonded areas and delays in collecting payment, would be incurred during the period of validating CDS certificates by the authority in Korea and sending those certificates back and forth to Japan. Consequently, Korea is currently unable to accept the CHEC. All Members have been requested to give intersessional consideration to this matter and to provide suggested alternatives to the Secretariat as soon as possible.

¹ These being exports of the same quantity of product with the same product type as in the description of fish in section 3 of the CHEC.

16. Due to uncertainty remaining regarding the final design of the CHEC, instructions for this certificate have not yet been developed.
17. The ExC and its instructions have yet to be finalised and agreed. The main outstanding issue is the requirement for only one preceding CHEC or ExC document to be associated with each ExC. Both Japan and Korea are currently unable to achieve this requirement. Possible proposed solutions include: removing this requirement and accepting that as a consequence, the Secretariat will not be able to check for over-utilised CDS documents; and providing an exemption to this requirement for a specified period of time to provide the opportunity for systems to be developed that would enable this requirement to be achieved. Finalisation of the CHEC should allow other unfinalised aspects of the ExC's instructions to be agreed and finalised quickly.

Text of the CDS Resolution

18. The draft revised text of the CDS Resolution is provided at **Attachment 5**. Paragraphs that are still under revision are highlighted and surrounded by square brackets within **Attachment 5**.
19. Most of the paragraphs that are not finalised are paragraphs that refer to either to the FSC or CHC. In most cases, these paragraphs should not be difficult to finalise once the final format and nature of the FSC and CHEC are known. The other non-finalised paragraphs relate to: timeframes for providing modified certificates to the Secretariat for placement on the CCSBT website; whether delegated validation should be restricted to people without an interest in the fishery; the issue mentioned above for Korea in relation to validation of landed weights; and transitional implementation of the revised CDS needing to be aligned with fishing seasons.
20. Appendix 2 for the revised draft CDS Resolution is provided at **Attachment 6**. This appendix, which provides requirements in relation to CCSBT CDS tags, has been agreed by the CCWG.
21. The final appendix of the CDS Resolution (Appendix 3), concerning the content of the Executive Secretary's six monthly and annual reports, was not considered by the CCWG. This is because the specification of these reports is highly dependent on the nature of the information collected in the certificates.

Agenda Item 3. Other business

22. The Secretariat reported on the progress of the project investigating the presence of SBT in China's market. The project is being conducted by TRAFFIC and CSIRO. To date, TRAFFIC has collected the following: 200 sashimi tuna samples from restaurants in Beijing and Shanghai; and Trade data from FAO Fishstat, ComTrade, some CCSBT Members, China, Hong Kong and CCSBT. The next step is to send the sashimi samples to CSIRO for DNA and biochemical analysis and to analyse the trade data. Some delays are being experienced in relation to exporting the samples.

23. The Secretariat reported on progress on the 2016 Quality Assurance Reviews (QARs) for New Zealand and Korea. Site visits have already occurred in New Zealand with a further visit scheduled for May. A planning call has been held with Korea and the site visit is anticipated to commence on 6 May. The review of Korea is slightly behind schedule, but the QAR team is working to ensure the work is completed on time.
24. Japan reported that, following an inquiry from the CCSBT Secretariat, it was discovered that some fresh SBT were mixed with Bigeye tuna that were imported from South Africa in 2014 and 2015. Japan explained that investigations on this matter by the competent authorities were underway. Japan also stated that it will report on this issue to the next CCSBT Compliance Committee to the extent possible.

Agenda Item 4. Conclusion

4.1. Adoption of meeting report

25. The report was adopted.

4.2. Close of meeting

26. The meeting closed at 10:40 am on 7 April 2016.

List of Attachments

Attachment

1. List of Participants
2. Agenda
3. List of Documents
4. Draft CDS Resolution – Appendix 1 (Catch Documentation Scheme Certificates)
5. Draft CDS Resolution – Text
6. Draft CDS Resolution – Appendix 2

List of Participants
The Fourth Meeting of the Compliance Committee Working Group
(CDS Review Workshop)

| First name | Last name | Title | Position | Organisation | Postal address | Tel | Fax | Email |
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| Kaori | ASAKI | Ms |

CCSBT SECRETARIAT

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Agenda
Fourth Meeting of the Compliance Committee Working Group
(CDS Review Workshop)
5-7 April 2016
Canberra, Australia

1. Opening of meeting
 - 1.1. Welcome
 - 1.2. Adoption of Agenda
 - 1.3. Meeting Arrangements
2. Development of a Revised Catch Documentation Scheme (CDS) Resolution for the CCSBT
3. Other business
4. Conclusion
 - 4.1. Adoption of meeting report
 - 4.2. Close of meeting

List of Documents
The Fourth meeting of the Compliance Committee Working Group
(CDS Review Workshop)

(CCSBT-CCWG/1604/)

1. Provisional Agenda
2. List of Participants
3. List of Documents
4. (Secretariat) Draft Revision of the CCSBT's Catch Documentation Scheme (CDS) Resolution (CCWG agenda item 2)
5. (Japan) Japan's Proposal on the revision of the CCSBT's Catch Documentation Scheme (CDS) Resolution (CCWG agenda item 2)
6. (Australia) Australia's Proposal on the revision of the CCSBT's Catch Documentation Scheme (CDS) Resolution (CCWG agenda item 2)

(CCSBT- CCWG/1604/BGD)

1. (Japan) Comparison of CCSBT with ICCAT on the Catch Document Scheme (CDS) for Farming (*Previously CCSBT-CC/1510/Info 05*) (CCWG agenda item 2)

(CCSBT- CCWG/1604/Rep)

1. Report of the Twenty Second Annual Meeting of the Commission (October 2015)
2. Report of the Tenth Meeting of the Compliance Committee (October 2015)
3. Report of the Twenty First Annual Meeting of the Commission (October 2014)
4. Report of the Ninth Meeting of the Compliance Committee (October 2014)
5. Report of the Third Meeting of the Compliance Committee Working Group (April 2014)
6. Report of the Eighth Meeting of the Compliance Committee (October 2013)
7. Report of the Second Meeting of the Compliance Committee Working Group (May 2013)

Draft CDS Resolution - Appendix 1

Catch Documentation Scheme Certificates

CATCHING VESSEL SECTION

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

TOWING SECTION

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

Description of Mortalities

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

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

FARM TRANSFER SECTION

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

VALIDATION SECTION

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

| | | |
|------|-----------|------|
| Name | Signature | Date |
| | | |

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

| | | |
|----------------|-----------|---------------|
| Name and Title | Signature | OFFICIAL SEAL |
| | | |
| | Date | |

FARM STOCKING CERTIFICATE

INSTRUCTION SHEET

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

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

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

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

All sections of this Certificate must be completed.

CERTIFICATE HEADER

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

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

CATCHING VESSEL SECTION

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

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

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

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

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

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

TOWING SECTION

NOTE: One row shall describe one Towing Vessel.

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

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

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

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

Description of Mortalities

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

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

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

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

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

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

FARM TRANSFER SECTION

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

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

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

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

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

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

VALIDATION SECTION

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

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

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



Commission for the
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Southern Bluefin Tuna

FARM TRANSFER CERTIFICATE

Catch Documentation Scheme

v1.0

Certificate Number

FT -

1. Transferring Section

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

2. Towing Section

| Name of Towing Vessel | Flag State Registration Number | Flag State / Fishing Entity | Date of Tow |
|------------------------------|--------------------------------|-----------------------------|-------------|
| | | | |
| Estimated Weight (kg) of SBT | Estimated Number of SBT | | |
| | | | |

3. Receiving Section

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

4. Certification Section

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

| Name | Signature | Date |
|------|-----------|------|
| | | |

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

| Name | Signature | Date |
|------|-----------|------|
| | | |

FARM TRANSFER CERTIFICATE

INSTRUCTION SHEET

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

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

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

CERTIFICATE HEADER

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

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

TRANSFERRING SECTION

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

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

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

TOWING SECTION

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

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

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

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

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

RECEIVING SECTION

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

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

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

CERTIFICATION SECTION

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

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



Commission for the
Conservation of
Southern Bluefin Tuna

COMBINED CATCH / HARVEST AND EXPORT CERTIFICATE

Catch Documentation Scheme

Catch /Harvest Certificate No. v1.0

CC-

1. Catch Tagging Certificate Numbers

2. Details of Catching Vessel or Harvesting Farm

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

3. Description of Catch / Harvest

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

4. Offloading Details

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

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

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

| Name | Signature | Fishing Company/Organisation | Date of Signature |
|------|-----------|------------------------------|-------------------|
| | | | |

6. Measured and Verified Landed Weights by Authority

☐ Landed product types and weights are the same as detailed in Section 3 above

Or

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

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

7. Catch / Harvest Certificate Validation by Authority

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

| Name | Signature | Date of Signature |
|------|-----------|-------------------|
| | | |

OFFICIAL
SEAL

8. Export Details

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

9. Certification by Exporter

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

10. Export Certificate Validation by Authority

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

IMPORT SECTION

11. Point of import

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

12. Certification by Importer

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



Commission for the
Conservation of
Southern Bluefin Tuna

EXPORT CERTIFICATE

Catch Documentation Scheme

Export Certificate Number v1.0

EX -

EXPORT SECTION

1. Export Details

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

2. Preceding Certificate Details

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

3. Export Product Details

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

Or

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

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

4. Certification by Exporter

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

5. Export Certificate Validation by Authority

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

IMPORT SECTION

6. Point of import

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

7. Certification by Importer

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

Commonly used Product Types

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

EXPORT CERTIFICATE

INSTRUCTION SHEET

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

[[Each ExC must be accompanied by a copy of its Preceding Catch/ Harvest or Export Certificates and any Certificates attached to the Preceding Certificates (including Farm Stocking and Transfer Certificates).]]

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

[[Events Requiring the Completion of an ExC

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

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

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

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

CERTIFICATE HEADER

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

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

EXPORT SECTION

1. Export Details

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

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

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

Point of Export

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

If exported from a point on land then:

City: Enter the city of export.

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

2. Preceding Certificate

Certificate Number of the Immediately Preceding Certificate:

[[Enter the unique Preceding Certificate¹ number (either a Catch/ Harvest or Export Certificate number).]]

3. Export Product Details

Tick the appropriate box to specify whether either:

- i) All the SBT from the Preceding Certificate¹ number are being exported without any change to the quantity, product type, or net weight of the SBT product, or
- ii) The SBT from the Preceding Certificate¹ is being exported with changes to the quantity, product type or net weight of the SBT product.

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

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

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

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

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

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

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

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

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

Enter the number of SBT that remain whole² for this export. Do not provide the number of loins, fillets, *etc* in this field.

4. Certification by Exporter

Certification by Exporter: The exporter³ must provide his/her name, signature, date (dd/mm/yyyy), and the exporting company/ organisation name to certify the information provided in relation to the export shipment (*i.e.* that the Certificate correctly records what is being exported). If exporters do not have an exporter company name, then they should write their own name in the Company/ Organisation field.

5. Export Certificate Validation by Authority

Validation by Authority: Enter the name of the official⁴ signing the document, together with the signature of the official, date (dd/mm/yyyy) and official seal.

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

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

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

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

IMPORT SECTION

6. Point of Import

City: Enter the city of import.

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

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

7. Certification by Importer

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

SBT Product Code Type Table

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

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

☐ Wild Harvest \longleftrightarrow Or \longrightarrow ☐ Farmed (tick only one)

Certificate Number of Associated Catch / Harvest Certificate

CATCH SECTION

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

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

Tag Information

[illegible]

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

| Name | Signature | Date | Title |
|------|-----------|------|-------|
| | | | |

CATCH TAGGING CERTIFICATE

INSTRUCTION SHEET

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

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

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

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

CERTIFICATE HEADER

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

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

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

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

CATCH SECTION

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

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

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

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

Tag Information

The Tagging information for each SBT must be recorded.

NOTE: One row shall describe one tagged SBT.

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

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

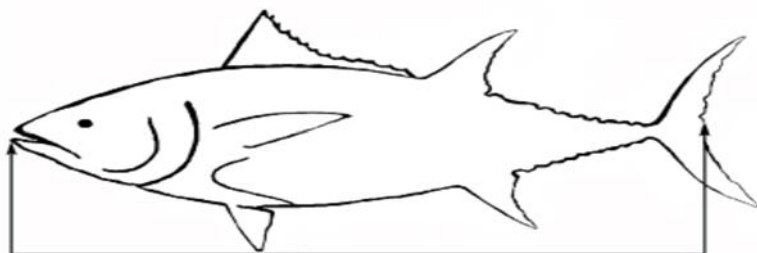
| CODE | NAME | DESCRIPTION |
|------|----------------------------------|--|
| RD | Round | SBT without any processing |
| GGH | Gilled and Gutted - Head Removed | Processed with gills, gut and head removed |
| GGO | Gilled and Gutted - Tail on | Processed with gills and gut removed. Operculae (gill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

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

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

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

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



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

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

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

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

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

Certification and Validation

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

Draft CDS Resolution - Text

Resolution on the Implementation of a CCSBT Catch Documentation Scheme

Resolution on the Implementation of a CCSBT Catch Documentation Scheme

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

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

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

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

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

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

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

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

1. General Provisions and Application

1.1 Throughout this Resolution the terms “documentation”, “Documents” and “Certificates” refer to either:

- paper documentation, Documents and Certificates, or
- Electronic Catch Tagging Certificates used domestically by Members or CNMs in replacement of paper based Catch Tagging Certificates, or
- Documents and Certificates that exist electronically and that were generated by a web-based CCSBT eCDS.

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

1.2 Throughout this Resolution, the term “offloading” is used to describe the **initial** physical off(un)-loading of SBT product(s) from a farm (*i.e.* harvesting) or a fishing vessel, irrespective of whether the offloading results in a landing in port. Therefore, landings of domestic product¹, or landings into cold-storage facilities or at an export destination, transshipments and harvesting SBT from farms, are all types of offloading in terms of this Resolution.

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

- 1.3 All Members and CNMs shall implement the CCSBT CDS for Southern Bluefin Tuna (SBT) to document the movement of all SBT as outlined in this Resolution. The CCSBT CDS incorporates CCSBT CDS documentation and tagging of SBT.
- 1.4 [[For all offloadings of SBT and/or transshipments, landings of domestic product¹, exports, imports and re-exports under the jurisdiction of a Member or CNM or Other State/Fishing Entity Cooperating in the CDS (OSEC²), all SBT shall be accompanied by a paper Document described in section 3 of this Resolution. There is no waiver of this requirement. However, the exportation/import of fish parts other than the meat³ (*i.e.* head, eyes, roe, guts, tails) may be allowed without the Document.]]
- 1.5 Transfers of SBT into and between farms under the jurisdiction of a Member or CNM shall be documented on the Farm Stocking CertificateForm and Farm Transfer CertificateForm as applicable.]]
- 1.6 Members or CNMs that prohibit the sale of fish caught by recreational fishers may exempt their recreational fisheries from the requirements of the CCSBT CDS.
- 1.7 The Commission shall request the cooperation of appropriate authorities of States other than Members and CNMs of the Extended Commission that are involved in catching, landing, transferring and/or farming of SBT in the implementation of this Resolution.
- 1.8 Members, CNMs and OSECs shall not permit the offloading, landing as domestic product, transshipment, import, export and/or re-export of SBT caught by vessels not authorised to catch SBT and (if SBT farming is conducted under their jurisdiction) the transfer of SBT to or between, and harvest of SBT from, farms not authorised to farm SBT.
- 1.9 Members, CNMs and OSECs shall not permit whole⁴ SBT to be offloaded, landed as domestic product, transhipped, exported, imported or re-exported without a tag, except that:
 - 1.9.1 in the case of farming operations, the SBT may be offloaded without a tag provided a tag is attached within 30 hours of kill;
 - 1.9.2 in exceptional circumstances, where a vessel on the CCSBT Record of Authorised Vessels does not have sufficient tags on board the vessel, the tag may be attached at offloading;
 - 1.9.3 in exceptional circumstances, where a vessel catches SBT as unexpected bycatch and has no or insufficient tags on board, the tag may be attached at offloading.

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

³ Any meat separated from fish parts is considered to be meat in this context.

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

- 1.10 In exceptional circumstances, where a tag becomes accidentally detached/broken and cannot be reattached, or is broken and its number cannot be read, then a replacement tag shall be attached as soon as possible, and no later than the time of offloading.
- 1.11 Members and CNMs shall report any exceptional circumstances referred to in 1.9.2, 1.9.3 or 1.10 to the Executive Secretary within 7 days of the offloading. The report shall provide details of the exceptional circumstances, the number of SBT tagged and for 1.10, the old (where known) and new tag number(s).
- 1.12 Members and CNMs shall require that tags be retained on whole⁴ SBT to at least the first point of sale for landings of domestic product, and shall encourage the retention of tags on whole fish thereafter.

2. Registers Required

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

3. Documents and Information Required

- 3.1 The CCSBT CDS Documents are :

- 3.1.1 [[Farm Stocking Certificate (FSC)Form – records information on the catch, towing and any associated mortalities of SBT during the farm stocking processand farming of SBT]]
- 3.1.2 Farm Transfer Certificate (FTC) – records information on the transfers of SBT between farms
- 3.1.3 [[Catch/Harvest Certificate (CHC)Monitoring Form – records information on the catch/harvest, offloading, landing, and transshipment, export, and import of all SBT regardless of whether farmed or not, including any unexpected (by)catch]]
- 3.1.4 Catch Tagging Certificate (CTC) – records information on individual SBT tagged as part of the CDS
- 3.1.5 [[Re-export or Export Certificate (ExC)after Landing of Domestic Product Form – records information on SBT already trackrecorded on atthe Catch/Harvest Certificate or ExCMonitoring Form to the initial point of landing of domestic product or import that is, either in full or part, then exported or re-exported.]]

- 3.2 The information to be contained in the CCSBT CDS documentation referred to in 3.1, along with associated instruction sheets, is included in Appendix 1.

3.3 Once approved CDS Documents are adopted, only the following changes, may be made to produce a Member-specific version⁵:

- minimal modifications, such as the addition of translations or formatting;
- [\[\[for the Combined Catch/Harvest and Export Certificate:](#)
 - Removal of the Transshipment sub-section if that Member does not conduct transshipments;
 - Removal of the Export and Import Sections if that Member will not use the Combined Catch/Harvest and Export Certificate for exporting SBT.[\]\]](#)

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

3.4 [\[\[Any CDS documentation modified, as described in 3.3, shall be provided to the Executive Secretary \[\\[\\[for placement on the CCSBT website and for\\]\\]\]\(#\) distribution to other Members, CNMs, and Non-Members known to be involved in the landing, transshipment, import, export, or re-export of SBT. **\[\[NOTE: Timeframe may need to be defined\]\]**](#)

3.5 Significant amendments to CDS Documents and their content may be made only with the agreement of the Commission at its annual meeting based on recommendations from the CCSBT Compliance Committee.

3.6 CCSBT CDS Documents must be uniquely numbered.

4. Amendment or Cancellation of CDS Documents

4.1 If a CDS Certificate is amended, copies of any amended Certificates must be submitted to the Executive Secretary by both the issuer and the receiver of the Certificate as part of their quarterly CDS submissions. Furthermore:

- 4.1.1 amendments to non-importer sections may only be made by the issuing Member/CNM, and amendments to importer sections may only be made by the importing Member/CNM; and
- 4.1.2 any amended Certificates must be re-certified and potentially re-validated⁶ (by issuer/ importer as applicable).

4.2 CDS Certificates may be cancelled by the issuing Member/CNM providing that if Certificates are cancelled after being validated:

- a) a replacement Certificate is issued, certified and validated (as applicable) by the issuing Member/CNM, and
- b) where the SBT are being re-/exported, replacement Certificates shall be certified by the importing Member/CNM; and

- 4.2.1 a list of cancelled Certificates, together with the Certificate number of any associated replacement Certificates shall be submitted to the Executive Secretary by the issuing Member/CNM as part of its quarterly CDS

⁵ [With the exception of additions to the Catch Tagging Certificate.](#)

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

submission; and

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

5. Tagging

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

- 5.1.1 If the SBT is to be processed to a non-whole⁴ state immediately after kill and before offloading, a tag does not need to be attached to the SBT, but a tag number must be allocated to that SBT so that the tag number and details of that SBT can be recorded on a Catch Tagging Form;
- 5.1.2 in the case of farming operations, the tag may be attached within 30 hours of kill;
- 5.1.3 in exceptional circumstances, where a vessel on the CCSBT Record of Authorised Vessels does not have sufficient tags on board, the tag may be attached at offloading;
- 5.1.4 in exceptional circumstances, where a vessel catches SBT as unexpected bycatch and has no, or insufficient, tags on board, the tag may be attached at offloading.

- 5.2 As outlined at 3.1.4, a Catch Tagging Certificate records relevant tagging information for individual SBT. The Catch Tagging Certificate shall be filled in as soon as practicable after the time of kill. Length and weight measurements shall be conducted before the SBT is frozen. Where measurements cannot be accurately made on board the vessel, they may be made at the time of offloading, provided the measurements and the associated Catch Tagging Certificate are filled in before any further transfer of the SBT.

- 5.3 Completed Catch Tagging Certificates shall be provided to the Flag Members and CNMs which shall provide the information in the Catch Tagging Certificate to the Executive Secretary in an electronic format on a quarterly basis.

5.35.4 [[A copy of a completed Catch Tagging Certificate shall be attached to the relevant Catch/ Harvest Certificate.]]

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

- 5.55.6 Members and CNMs shall prohibit the unauthorised use of SBT tags.

6. Validation

- 6.1 The CCSBT CDS documentation must be validated as applicable:

- 6.1.1 [[for Farm Stocking Certificates, by an official of the Flag Member or CNM that holds the national quota allocation against which the SBT were taken;]]

- 6.1.2 ~~[[for Catch/ Harvest Certificates landings of domestic product, by an official of the Flag Member or CNM of the catching/harvesting vessel or, when the fishing vessel is operating under a charter arrangement, by a competent authority or institution of the chartering Member or CNM; and]]~~
- 6.1.3 for all exports of SBT, by an official of the exporting Member or CNM; and
- 6.1.4 for all re-exports of SBT, by an official of the re-exporting Member, CNM, or OSEC.
- 6.2 The authority to validate CDS Documents may be delegated to an authorised person by an official of the relevant State/Fishing Entity ~~[[only when such person does not have a substantial interest in SBT fisheries and its products.]]~~ Members, CNMs and OSECs who utilise delegated person/s shall submit a certified copy of such delegation/s to the Executive Secretary. The individual who certifies a CCSBT CDS Document shall not be the same person who validates the Document.
- 6.3 Members, CNMs and OSECs shall provide to the Executive Secretary information on validation (including type of validation, name of the organisation which validates the Documents, name and signature of officials who validate the Documents, sample impression of stamp or seal, and a list of all persons holding delegated authority to validate CCSBT CDS documentation prior to those officials and persons exercising the authority). Members, CNMs and OSECs shall inform the Executive Secretary of any changes no later than 15 days from the date the change(s) occur(s).
- 6.4 The Executive Secretary will maintain the information specified in 6.3, promptly publish an updated history of validation authorities on the private area of the CCSBT web site, and provide access to this history to all Members, CNMs and OSECs.
- 6.5 Members, CNMs and OSECs shall not validate any CCSBT CDS documentation referred to in 3.1 that is not complete, has obviously incorrect information, or has not been validated as required by this Resolution.
- 6.6 ~~[[Members, CNMsooperating Non-Members and OSECs shall not validate any Catch Harvest Certificate (CHC) unless they have viewedseen sufficient evidence to confirm the veracity of the 'Measured and Verified Landed Weights' recorded on the CHC.]]~~
- 6.7 No Member or CNM or OSEC shall accept any SBT for offloading, transshipment, landing of domestic product, export, import, or re-export where any or all required Documents do not accompany the relevant consignment of SBT, where required fields of information required on the Certificate are not completed, or where the Certificate has not been validated as required by this Resolution.
- 6.8 Full or partial consignments of untagged whole SBT must not be validated or accepted for offloading, transshipment, landing of domestic product, export (including export after landing of domestic product), import or re-export.

- 6.9 Members and CNMs shall undertake an appropriate level of audit, including inspections of vessels, offloadings, and where possible markets, to the extent necessary to validate the information contained in the CDS documentation.
- 6.10 Members and CNMs shall include in their annual review of SBT fisheries, details on the level of coverage and type of audit undertaken, in accordance with 6.9, and the level of compliance.

7. Exchange of Information and Confidentiality of Data

- 7.1 Members, CNMs and OSECs shall retain all original CCSBT CDS Documents (or scanned electronic copies of the original Documents) received by them for a minimum of 3 years after the most recent signed date on the Document. Members, CNMs and OSECs shall also retain a copy of any CCSBT CDS Documents (or scanned electronic copies of the original Documents) issued by them for a minimum of 3 years after the most recent issuing State/Entity signed date on the Document. Copies of these CDS Documents except Catch Tagging Certificates⁷ and those CD Documents not already submitted to the Executive Secretary via a web-based eCDS system, shall be forwarded⁸ to the Executive Secretary on a quarterly basis.

A list of any Documents (including the Document number, Document type and intended export destination – if any) that were cancelled each month shall also be forwarded⁸ to the Executive Secretary on a quarterly basis.

- 7.2 The Executive Secretary shall compile the raw data from CDS documentation into an electronic database. The Executive Secretary shall ensure the confidentiality of the raw data in its database and release to any State/Fishing Entity only the raw data relating to the CCSBT CDS Documents it validated and any associated pre-requisite Documents that it is required to receive under this Resolution. If a State/Fishing Entity requests CCSBT CDS Documents relating to another State/Fishing Entity, the Executive Secretary may release those data only with the latter's agreement.
- 7.3 The Executive Secretary shall report to the Extended Commission on and circulate to all Members and CNMs the data collected by the CCSBT CDS each year by 1 June for the period of 1 January - 31 December of the preceding year and by 1 December for the period of 1 January - 30 June of the current year. The information to be contained in the reports is specified in **Appendix 3**. The Executive Secretary shall provide an electronic copy of the report only to a designated authority of each Member and CNM.

⁷ Requirements to provide information in the Catch Tagging Certificate are set out in 5.3.

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

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

o Catch related details of:

- o Flag State/Fishing Entity;
- o Harvest year;
- o Product destination (including landings of domestic product);
- o Gear code;
- ~~o~~ Verified landed Net weight⁹;
- o Estimated whole weight (calculated by applying a conversion factor to the verified net weight);

o Initial export details (excluding re-exports) of:

- o Flag State/ Fishing Entity;
- o Destination State/ Fishing Entity¹⁰;
- o Net weight exported;
- o Copies of all modified CDS form Documents provided in accordance with paragraph 3.4.]]

7.5 On request by the Scientific Committee, Compliance Committee, or other subsidiary body of the Commission, the Executive Secretary shall, with the approval of the Commission, provide to that body data collected by the CCSBT CDS more frequently or at a greater level of detail than specified in 7.3.

7.6 The Executive Secretary shall analyse the data provided in 7.1 and notify the relevant Member(s) or CNM(s) of any identified discrepancies.

8. Verification of CDS Documentation

8.1 Each Member and CNM shall ensure that its competent authorities, or other authorised individual or institution, take steps to identify each consignment of SBT landed as domestic product in, imported into or exported or re-exported from its territory and examine the validated CCSBT CDS Documents for each consignment of SBT. These competent authorities, or authorised individuals or institutions, may also examine the content of the consignment to verify the information contained in the CCSBT CDS Document and in related Documents and, where necessary, shall carry out verifications with the operators concerned.

8.2 Each Member and CNM shall review information, and investigate and resolve any irregularities identified in relation to their information in the CDS reports, including any discrepancies identified during the comparison of data from the Executive Secretary. Among other matters, Members and CNMs shall cross-check the report provided by the Executive Secretary under 7.3 using information available to it.

⁹ [[Calculated by adjusting the estimated net weight in section 3 of the CHC with the verified weights at section 6 of the CHC.]]

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

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

9. Access to and Security of Information

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

10. Implementation and Review

- 10.1 ~~[[The current revision of this Resolution will be effective from enter into force on 1 January 2018¹¹. The existing CDS Resolution applies until this time.]]~~
[[NOTE: Consider transitional period aligned with fishing seasons.]]
- 10.2 The Compliance Committee will review the operation of this Resolution on an annual basis to identify any implementation issues, strengths, and weaknesses, and to recommend options to improve this Resolution and its supporting procedures at the Extended Commission meeting. This review will include any concerns associated with the operation of the CDS Documents, and the operation of an eCDS (compared to a paper-based system) if one has already been introduced, breakage or loss of tags and the extent of the use of

¹¹ ~~Japan may use its current tagging system until the end of its 2009-10 fishing season (31 March 2010).~~

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

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

Draft CDS Resolution – Appendix 2

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

Appendix 2

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

General requirements of an SBT tagging system

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

Specifications for SBT tags

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

General requirements for tag related information

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

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