



## Progress Update on the CCSBT's Trial eCDS Project

### Introduction

This paper provides an update on the progress of the development of a trial electronic Catch Documentation Scheme (eCDS). The indicative costs of developing a trial eCDS using the TUFMAN 2 platform were presented to Members at the First Meeting of the Technical Compliance Working Group (TCWG) in paper CCSBT-TCWG/1910/05. This was discussed further at CC 13 and referred to the Extended Commission (EC). At the Twenty-Sixth Annual Meeting of the Commission (CCSBT 26), Members supported developing a trial eCDS based on the current CDS Resolution. An eCDS Working Group was formed in early 2021 to assist the Secretariat with decisions concerning the development of the trial eCDS, with a two-day online meeting held in April 2021 and a second, one-day, meeting in October 2021.

A draft revised CDS resolution to facilitate introduction of the eCDS was prepared by the Secretariat and presented to the Seventeenth Meeting of the Compliance Committee (CC 17). The meeting noted that the draft resolution was close to being finalised and would be considered at CC 18.

There are four sections to this paper:

- A. Current status of the trial eCDS software.
- B. Outstanding functionality and issues.
- C. Proposed workplan and budget.
- D. Recommendations

### (A) Current Status of the eCDS

Development of the trial eCDS has essentially been completed with work now focussing on refinement and adding final features. It is currently hosted on a test server and functional for all five CDS forms:

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

Features implemented for the eCDS include:

- Error checking on all forms as agreed at the informal TCWG meeting in October 2021;
- Bulk loading of CTF data from an Excel file;
- Ability for validators to override certain errors and warnings on a document;
- Print to pdf for CMF and REEF documents;
- Translation for the interface in both English and Japanese; and
- Series of introductory videos in English and Japanese.

The eCDS has been tested in 2023 by the Secretariat and five Members, who have provided feedback to the Secretariat (Australia, New Zealand, Japan, Korea, and Taiwan). All Members that have tested the system have reported being satisfied with the design and overall functionality. Most of the feedback has been related to bugs and user issues, most of which have been resolved, but some process issues have been raised that require discussion with Members.

## **(B) Outstanding Functionality and Issues**

While the eCDS is fully functional and almost ready to go-live, there are still some features to be added and issues to resolve, some of which require input from Members. A full list of these is in provided in **Attachment A**<sup>1</sup>.

Remaining work includes the following:

- Translations for languages other than English and Japanese;
- Further testing to confirm functionality / error checks and eliminate bugs;
- Development of a user manual suitable for industry in both English and Japanese;
- Testing by industry;
- Testing by Member eCDS Administrators (for Members to manage their own industry and government users); and
- Implement cross-checking of CMF Transshipment information with transshipment data received from carrier vessels and other RFMOs.

There are a number of issues that still require discussion / input from Members and these are explained in detail at **Attachment A**.

If these issues cannot be resolved during this meeting, then a meeting of the eCDS working group will need to be arranged to discuss outstanding issues.

The customised CDS forms are provided in **Attachment B**. There is one REEF and four CMFs for the following situations:

- CMF 1 - with transshipment that is an export;
- CMF 2 - with transshipment that is a landing of domestic product;
- CMF 3 - with no transshipment that is an export; and
- CMF 4 - with no transshipment that is a landing of domestic product.

The main changes to these forms are:

- Unused sections have been removed;
- Signature boxes have been removed for certifiers since these are signed electronically in the eCDS; and
- Extra lines have been added for domestic buyers.

Note that the forms are not a final product and the format may change to make better use of space.

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<sup>1</sup> Members raised many issues and questions during the trial eCDS testing period. Of these, items already accommodated are not included in **Attachment A**.

## Preparation of a revised CDS Resolution

The Secretariat developed a draft revision of the CDS Resolution to facilitate the eCDS and circulated this to the eCDS Working Group in March 2022. A second version of the draft resolution, incorporating Members comments, was circulated to the Working Group in May 2022. The Secretariat offered to receive additional comments from Members on the second draft, but no comments were received.

A “clean” version of the text of the draft revised CDS Resolution is provided at **Attachment C**<sup>2</sup>. All differences from the original CDS Resolution are highlighted in yellow. **Attachment D** provides some minor modifications to Appendix 3 of the CDS Resolution. The main change to the Appendix was the removal of the Secretariat’s reconciliation reports as these reports will become redundant within the eCDS. This draft was presented to Members at CC 17, where it was noted that the draft resolution was close to being finalised and would be considered at CC 18.

Members are requested to reconsider the draft revised CDS Resolution and recommend whether to adopt it effective from 1 January 2024. The Secretariat understands that an effective date of 1 January 2024 would mean that any Member can voluntarily start to use the eCDS (instead of the paper CDS) from 1 January 2024 onwards.

In addition, the Secretariat notes that the revised CDS Resolution references an, “.... *agreed date for full implementation*”, of the CCSBT’s eCDS (paragraph 1.1). The Secretariat understands this to be the date from which all Members are required to stop using the paper CDS and switch to only using the eCDS (*i.e.* use of the eCDS would become mandatory), except for cases where extraordinary circumstances prevent eCDS use. The meeting is requested to consider and potentially recommend an “agreed date for full implementation” of the CCSBT eCDS.

## Implementation Considerations

The following need to be considered with respect to implementation of the eCDS:

- **Industry training and support** – The Secretariat does not have the resources to train and provide support for industry users. The Secretariat has created a series of introductory videos in English and Japanese that are a useful resource, but Members will have to arrange their own training and support structure for their industry as is currently the case for the existing paper-based system.
- **Partial vs Full Implementation** – Partial implementation is recommended to provide Members greater flexibility in implementation but will cause some difficulties in the short-term and also constrain the ability of the Secretariat to conduct some analyses.
- **Technical Considerations** – The eCDS is almost ready on a technical level for implementation, with just a few bugs and issues to resolve, so is not a limiting factor.

## (C) Proposed Workplan and Budget

The following is an indicative schedule of the work remaining:

2023 (final quarter):

- Continuation of Secretariat testing.
- Rigorous testing by Members (potentially including field testing<sup>3</sup>).
- Field testing<sup>3</sup> of the eCDS by Members (to include vessels, exporters, importers).

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<sup>2</sup> A tracked-changes version of the draft revised eCDS Resolution was included in the email sent to the eCDS Working Group and can be provided to Members by request to the Secretariat.

<sup>3</sup> Field testing of the Trial eCDS is not a substitute for using the paper CDS (*i.e.* paper CDS forms still need to be completed).

- Modifications to the system as required.
- Development completed.

2024:

- Partial implementation of the eCDS, including exporters, carrier vessels, and importers. During this implementation phase, exporters, carrier vessels and importers may be dealing with both electronic and paper based CDS forms.
- Modifications to the system as required.

2025:

- Full implementation of the eCDS?
- Maintenance of the system.

### **Budget**

The development of the eCDS continues to be a relatively inexpensive project. At the end of 2023, it is expected that the total expenditure on the project (excluding Secretariat staff time) will be ~\$173,000. The approximate expected expenditure for future years is:

- 2024: \$42,000 (partial implementation and further modifications as required); and
- 2025: \$25,000 (full implementation and maintenance).

### **(D) Recommendations**

The Compliance Committee is invited to review, comment, and make necessary recommendations to EC on:

- The issues raised and listed in **Attachment A**;
- The draft revision of the CDS Resolution at **Attachments C and D** to facilitate the eCDS;
- The proposed workplan; and
- The proposed budget.

In addition, the Compliance Committee is requested to decide whether to recommend adoption of the attached draft revised CDS Resolution effective from 1 January 2024. This will be the date from which Members can voluntarily start to use the eCDS.

The Compliance Committee should also consider and potentially recommend an “agreed date for full implementation” (referred to in paragraph 1.1 of the draft revised CDS Resolution) of the CCSBT eCDS. This would be the date from which the eCDS becomes mandatory and must be used by all Members.

**Prepared by the Secretariat**

Raised by	Issue	Description	Recommended action
Sec	Revision to CDS Resolution to accommodate an eCDS	A draft revised CDS resolution to facilitate the eCDS was prepared by the Secretariat and presented to CC 17. The meeting noted that the draft resolution was close to being finalised and would be considered at CC 18.	<a href="#">Members to consider the draft revised CDS Resolution</a>
Sec, Members	Implementation plan	Develop a plan with timeline for implementation of the eCDS	<a href="#">Members to discuss</a>
Sec	Validators can have multiple current validation periods (rare)	Some Members have multiple validation seals (by company or by region) and a validator can have more than one current validation authorisation. This is complicated to implement and more complicated for eCDS users.	Only allow a single current authorisation period for a validator. This would mean: <ul style="list-style-type: none"> <li>* Not having specific seals for each company</li> <li>* Not having specific seals for each region</li> </ul> OR ending the authorisation of one region before issuing another.  <a href="#">Need confirmation from Members that this is acceptable</a>
Sec	CMF pdfs – Customise for eCDS and the data on the form?	Only show sections that have data (i.e. according to the options selected), there are four combinations: <ul style="list-style-type: none"> <li>* No TS / Export</li> <li>* No TS / Landing of Domestic product</li> <li>* TS / Export</li> <li>* TS / Landing of domestic product</li> </ul>	PDFs have been created.  <a href="#">Need confirmation from Members that these are acceptable</a>
Sec	REEF pdf	Has been modified to include data on the eCDS version of a REEF	<a href="#">Needs approval from Members</a>
AU, KR	'Other' species	The eCDS does not allow for the addition of a description and specific weight conversion factor for the 'Other' processing code.	To simplify the interface, the Secretariat's plan is to include all processing codes needed so that 'Other' would be unnecessary or used very rarely.  <a href="#">Need confirmation from Members that this is acceptable</a>
AU	Importer / Domestic buyer information	It has been suggested that import information could be entered by the exporter and domestic buyer information by the catch/harvest user. The importer/domestic buyer could edit/certify this information, but in some cases that may not happen if the importer is from a Non-Member country.	<a href="#">Need to discuss with Members</a>
AU,JP	Finalisation of CDS documents	Finalisation of a document means that: <ul style="list-style-type: none"> <li>* It should be locked and not able to be edited (unless in exceptional circumstances where the Secretariat can assist)</li> <li>* Data from the document can be used by the Secretariat for CDS reports</li> </ul> Some questions to consider: <ul style="list-style-type: none"> <li>* When this should happen</li> <li>* Is importer / domestic buyer information necessary?</li> <li>* What difference allowed between Final destination and catch section?</li> </ul>	<a href="#">Needs in-depth discussion with Members and definition of the rules for finalising documents</a>
AU	Visibility for Validator	Currently the Validator can see all documents they have previously validated	Proposal is to remove this, so Validators can only view documents they have the document number and access code for (or the link).  <a href="#">Needs discussion with Members</a>
JP	CMF - numbers of fish added to final destination section?	The current CMF does not have the number of fish in the final destination section. If this number is recorded in this section, it would be helpful to check SBTs after importing – is it possible to add it?	<a href="#">This will require approval from Members.</a> Revision to the CDS resolution may not be necessary for the eCDS since the Resolution refers only to forms of the eCDS.
JP	CMF numbers	Japan would like the CMF number to include the vessel number (already implemented) and would like to be able to create a CMF with the previous season code (e.g. CMJP22xxx instead of CMJP23xxx)	Could a rule be created to do this automatically, based on the harvest dates and fishing season dates, or some other date?

Sec	How to handle system failure / lack of internet	This issue was mainly a concern for vessels at sea, especially smaller vessels. The planned fallback was to use hard-copy CDS forms but the mechanism for that has not been finalised (e.g. the CMF document number). Is it still an issue now that fishing and carrier vessel masters are not required to certify the transshipment? Is documentation required for a transshipment?	<a href="#">Needs discussion with Members</a>
AU, Sec	Reports	The eCDS platform includes a reporting feature that makes it easy to add reports for retrieval of eCDS data by industry and government users	These can be added at any time so nothing needs to be done immediately. In the short to medium term we need to identify a suite of reports that would be useful for government and industry users.
Sec	eCDS interface translations	The eSBT / eCDS user interface can be translated to any language. Currently English and Japanese have been implemented but other languages can be added if translation for a table of terms is provided to the Secretariat	Members that would like the interface in their native language can request the translation table from the Secretariat.
Sec	User manual	A complete user manual suitable for industry users is yet to be developed	Secretariat to produce English and Japanese versions. Other Members may need to translate if other languages are required.
AU/ID/JP	Electronic interaction with Member's domestic data management systems	It would be nice if eCDS could be linked/synced with Members' domestic systems	This is certainly possible but is for future consideration and not in the scope of the current project
JP	Public use of eCDS data, such as looking up information on a fish being consumed	Can we consider additional ways to utilise data electronically collected through eCDS, e.g. show SBT's catch location information etc., when entering CMF numbers on the CCSBT website (a sort of traceability)?	This is certainly possible but is for future consideration and not in the scope of the current project

 <p><b>Commission for the Conservation of Southern Bluefin Tuna</b></p>	CATCH MONITORING FORM	Document Number	
	Catch Documentation Scheme	CM-EU230694508	



Catch Tagging Form Document Numbers

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

<input checked="" type="checkbox"/> <b>For Wild Fishery</b>	Name of Catching Vessel	Registration Number	Flag State/Fishing Entity
Or	EU Vessel 1A	6945	Italy
<input type="checkbox"/> <b>For Farmed SBT</b>	CCSBT Farm Serial Number	Name of Farm	
	Document Number(s) of associated Farm Stocking (FS) Form(s)		

Description of Fish						
Product: F (Fresh) / FR (Frozen)	Type: RD/GGO/GGT/DRO/DRT/FL	Month of Catch/ Harvest (mm/yy)	Gear Code	CCSBT Statistical Area	Net Weight (kg)	Total Number of whole Fish (including RD/GGO/GGT/DRO/DRT)
FR	GGO	01/23	LL	14	90.00	2

Name and Address of Processing Establishment (if applicable)  
EU Fish

Validation <b>by Authority</b> (not required for exports transhipped at sea): I validate that the above information is complete, true and correct to the best of my knowledge and belief.			
Name and Title	EU Validator1, Validator	Signature	
Date	06 Sep 2023		

**INTERMEDIATE PRODUCT DESTINATION SECTION**



Transshipment			
Transshipment Date	Name of Receiving Vessel	Registration Number	Flag State/Fishing Entity
15 Jan 2023	EU Carrier 2	6949	PT
Master of fishing vessel	Master of receiving vessel	Transshipment observer	
EU Fishing Master	EU Carrier Master	Mr Observer	
Certification of transshipment details			Date
Donald Business			06 Sep 2023

Export	Point of Export*		
City	State or Province	14	State/Fishing Entity

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

Destination (State/Fishing Entity) Japan

Certification <b>by Exporter</b> : I certify that the above information is complete, true and correct to the best of my knowledge and belief.		
Name	Licence No. / Company Name	Date
Donald Business	12345	06 Sep 2023

Validation <b>by Authority</b> : I validate that the above information is complete, true and correct to the best of my knowledge and belief.			
Name and Title	EU Validator1, Validator	Signature	
Date	06 Sep 2023		

**FINAL PRODUCT DESTINATION SECTION**

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

Certification <b>by Importer</b> : I certify that the above information is complete, true and correct to the best of my knowledge and belief.				
Name	Address	Date	Type: RD/GGO/GGT/DRO/DRT/FL/OT	Weight (Kg)
Donald Business	Tokyo fish market	06 Sep 2023	GGO	90





CMF 3 - No transshipment / Export

 <b>Commission for the Conservation of Southern Bluefin Tuna</b>	CATCH MONITORING FORM	Document Number <b>CM-EU230694510</b>	
	Catch Documentation Scheme	eSBT Access Code <b>590234</b>	

Catch Tagging Form Document Numbers

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


<input checked="" type="checkbox"/>	<b>For Wild Fishery</b>	Name of Catching Vessel <b>EU Vessel 1A</b>	Registration Number <b>6945</b>	Flag State/Fishing Entity <b>Italy</b>
Or				
<input type="checkbox"/>	<b>For Farmed SBT</b>	CCSBT Farm Serial Number	Name of Farm	
		Document Number(s) of associated Farm Stocking (FS) Form(s)		

Description of Fish						
Product: F (Fresh) / FR (Frozen)	Type: RD/GGO/GGT/DRO/DRT/FL	Month of Catch/Harvest (mm/yy)	Gear Code	CCSBT Statistical Area	Net Weight (kg)	Total Number of whole Fish (including RD/GGO/GGT/DRO/DRT)
FR	GGO	02/23	LL	14	129.00	2

Name and Address of Processing Establishment (if applicable)

EU Fish

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

Name and Title <b>EU Validator1, Validator</b>	Signature 	
Date <b>06 Sep 2023</b>		

• **INTERMEDIATE PRODUCT DESTINATION SECTION**

Export	Point of Export*			
City <b>Cape Town</b>	State or Province	State/Fishing Entity	<b>South Africa</b>	



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

Destination (State/Fishing Entity)	<b>Japan</b>
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Certification **by Exporter**: I certify that the above information is complete, true and correct to the best of my knowledge and belief.

Name <b>Donald Business</b>	Licence No. / Company Name <b>12345</b>	Date <b>06 Sep 2023</b>
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Validation **by Authority**: I validate that the above information is complete, true and correct to the best of my knowledge and belief.

Name and Title <b>EU Validator1, Validator</b>	Signature 	
Date <b>06 Sep 2023</b>		

• **FINAL PRODUCT DESTINATION SECTION**

Import	Final Point of Import			
City <b>Tokyo</b>	State or Province	State/Fishing Entity	<b>Japan</b>	

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

Name <b>Donald Business</b>	Address <b>Tokyo fish market</b>	Date <b>06 Sep 2023</b>	Type: RD/GGO/GGT/DRO/DRT/FL/OT <b>GGO</b>	Weight (Kg) <b>129</b>
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 <b>Commission for the Conservation of Southern Bluefin Tuna</b>	<b>RE-EXPORT/EXPORT AFTER LANDING OF DOMESTIC PRODUCT FORM</b> Catch Documentation Scheme	Document Number <b>RE-EU2300003</b>	
		eSBT Access Code <b>235728</b>	

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

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

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

Form Number of Preceding Document (Catch Monitoring Form, or Re-Export/Export After Landing of Domestic Product Form)	CMEU230694505 EU Vessel 1A
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**EXPORT SECTION**

Exporting State/Fishing Entity	Point of Export		
	City	State or Province	State/Fishing Entity
European Union	Cape Town		South Africa

Name and Address of Processing Establishment (if applicable)
Cape town fish processors

Catch Tagging Form Document Numbers (if applicable)
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**Description of Fish Being Exported**


Product: F (Fresh) / FR (Frozen)	Type: RD/GGO/ GGT/DRO/DRT/FL	Weight (kg)	Total Number of whole Fish (including RD/GGO/GGT/DRO/DRT)
FR	GGO	200.00	4

<b>Destination</b> (State/Fishing Entity)
Japan

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

Name	Date	Licence No. / Company Name
EU Exporter1	31 Mar 2023	12345

**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	
EU Validator1,	<i>Grind</i>	
Date	04 Apr 2023	

**IMPORT SECTION**

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

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

Name	Address	Date
Japan Importer1	Tokyo fish market	06 Sep 2023

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

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

(revised at the **Thirtieth** Annual meeting: **12 October 2023**)

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

*Noting* the need for Members and Cooperating Non-Members to provide for the tracking and validation of legitimate product flow from catch to the point of first sale on domestic or export markets;

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

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

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

### 1. General Provisions and Application

1.1 Commencing on the agreed date for full implementation<sup>1</sup> of the CCSBT's electronic Catch Documentation Scheme (eCDS), all CDS documents shall be completed electronically within the CCSBT's eCDS except for circumstances<sup>2</sup> in which the paper forms described in Appendix 1 need to be used. The following applies under the eCDS:

1.1.1 The structure and content of documents in the eCDS differ slightly from those in Appendix 1 of this Resolution. When using the eCDS, the data required in each field contained within the documents of the system, is deemed to be the information that must be provided.

1.1.2 For landings of domestic product and exports to Members, Cooperating Non-Members and OSECs<sup>3</sup>, Catch Monitoring Forms (CMFs) and Re-Export/Export after landing of Domestic Product Forms (REEFs) within the eCDS shall be finalised<sup>4</sup> by the receiving Member within 90 days of the final certification of that form. Other document submission

<sup>1</sup> The agreed date for full implementation will be decided and announced at an annual meeting of the Extended Commission.

<sup>2</sup> Such circumstances include where the SBT has been caught prior to the full implementation of the eCDS, trade between Members and non-Members without authorisation to enter eCDS information, and where technical problems prescribed in the eCDS User Manual prevent access to the eCDS.

<sup>3</sup> The term ‘Other State/Fishing Entity Cooperating in the CDS’ is abbreviated to ‘OSEC’ within this Resolution and means a State/Fishing Entity that has expressed its commitment, in writing, to cooperate with this Resolution.

<sup>4</sup> Finalisation is a process in the eCDS that is similar to submitting a paper form to the Secretariat. The finalisation process is described in the User Manual. Once a form has been “finalised”, no further changes can be made to that form without involving the Secretariat.

timeframes specified within this Resolution do not apply to documents entered within the eCDS system

- 1.1.3 Where this Resolution requires a document to accompany the SBT, this requirement shall be replaced by confirmation through the eCDS, unless a circumstance requiring the use of paper forms, described in footnote 2, arises.
- 1.1.4 Where this Resolution requires copies to be kept of a CDS document or submission of CDS documents to the Secretariat, any document entered onto the eCDS will be considered to have met this requirement.
- 1.1.5 Physical signatures are not required within the eCDS. Instead, a choice (e.g. a confirmation tick) made by the logged-in user in the eCDS is considered to be the equivalent of a signature.
- 1.1.6 Where the paper forms described in Appendix 1 are used in a circumstance described in footnote 2, the Secretariat will facilitate the conversion of this information into the eCDS once reported by Members in accordance with User Manual.
- 1.2 All Members and Cooperating Non-Members shall implement the CCSBT CDS for southern bluefin tuna (SBT) to document the movement of all SBT as outlined in this resolution. The CCSBT CDS incorporates CCSBT CDS documentation and tagging of SBT.
- 1.3 For transshipments, landings of domestic product<sup>5</sup>, exports, imports and re-exports under the jurisdiction of a Member or Cooperating Non-Member or OSEC, all SBT shall be accompanied by a document described in section 3 of this resolution. There is no waiver of this requirement. However, the exportation/import of fish parts other than the meat<sup>6</sup> (*i.e.* head, eyes, roe, guts, tails and fins) may be allowed without the document.
- 1.4 Transfers of SBT into and between farms under the jurisdiction of a Member or Cooperating Non-Member shall be documented on the Farm Stocking Form and Farm Transfer Form as applicable.
- 1.5 Members or Cooperating Non-Members that prohibit the sale of fish caught by recreational fishers may exempt their recreational fisheries from the requirements of the CCSBT CDS.
- 1.6 The Commission shall request the cooperation of appropriate authorities of States other than Members and Cooperating Non-Members of the Extended Commission that are involved in catching, landing, transferring and/or farming of SBT in the implementation of this resolution.
- 1.7 Members, Cooperating Non-Members and OSECs shall not permit the landing as domestic product, transshipment, import, export and/or re-export of SBT caught by vessels not authorised to catch SBT and (if SBT farming is conducted under their jurisdiction) the transfer of SBT to or between, and harvest of SBT from, farms not authorised to farm SBT.

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<sup>5</sup> The term 'landing of domestic product' means a landing of SBT by a CCSBT-authorized fishing/carrier vessel into the territory of a Member or Cooperating Non-Member whose National Allocation the SBT was attributed against and which issued the CDS documents the SBT are recorded on.

<sup>6</sup> Any meat separated from fish parts is considered to be meat in this context.

- 1.8 Members, Cooperating Non-Members and OSECs shall not permit whole SBT to be landed as domestic product, transhipped, exported, imported or re-exported without a tag, except that:
  - 1.8.1 in the case of farming operations, the SBT may be landed without a tag provided a tag is attached within 30 hours of kill;
  - 1.8.2 in exceptional circumstances, where a vessel on the CCSBT Record of Authorised Vessels does not have sufficient tags on board the vessel, the tag may be attached at landing;
  - 1.8.3 in exceptional circumstances, where a vessel catches SBT as unexpected bycatch and has no or insufficient tags on board, the tag may be attached at landing.
- 1.9 In exceptional circumstances, where a tag becomes accidentally detached and cannot be reattached, a replacement tag shall be attached as soon as possible and no later than the time of landing, transshipment or export.
- 1.10 Members and Cooperating Non-Members shall report any exceptional circumstances referred to in 1.8.2, 1.8.3 or 1.9 annually in their National reports to the Compliance Committee (CC)/ Extended Commission (EC). The Member's National report shall provide details of the exceptional circumstances, the number of SBT tagged and for 1.9, the old (where known) and new tag number(s).
- 1.11 Members and Cooperating Non-Members shall require that tags be retained on whole SBT to at least the first point of sale for landings of domestic product, and shall encourage the retention of tags on whole fish thereafter.

## **2. Registers Required**

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

### 3. Documents and Information Required

- 3.1 The CCSBT CDS Documents are :
  - 3.1.1 Farm Stocking Form – records information on the catch, towing and farming of SBT
  - 3.1.2 Farm Transfer Form – records information on the transfers of SBT between farms
  - 3.1.3 Catch Monitoring Form – records information on the catch, landing, transshipment, export, and import of all SBT regardless of whether farmed or not, including unexpected catch
  - 3.1.4 Catch Tagging Form – records information on individual fish tagged as part of the CDS
  - 3.1.5 Re-export or Export after Landing of Domestic Product Form – records information on SBT already tracked on the Catch Monitoring Form to the initial point of landing of domestic product or import that is, either in full or part, exported or re-exported.
- 3.2 The information to be contained in the CCSBT CDS documentation referred to in 3.1, along with associated instruction sheets, is in Appendix 1 A – D.
- 3.3 Once approved forms are adopted, only minimal modifications, such as the addition of translations, may be made<sup>7</sup>. No information field may be omitted from the standard form, except where the field is not applicable.
- 3.4 Any documentation modified, as described in 3.3<sup>8</sup>, shall be provided to the Executive Secretary for distribution to other Members, Cooperating Non-Members, as well as Non-Members known to be involved in the landing, transshipment, import, export, or re-export of SBT.
- 3.5 Significant amendments to the forms and form content may be made only with the agreement of the Commission at its annual meeting based on recommendations from the CCSBT Compliance Committee.
- 3.6 CCSBT CDS documents must be uniquely numbered.

### 4. Tagging

- 4.1 Members and Cooperating Non-Members shall require that an SBT tag be attached to each whole SBT at the time of kill except:
  - 4.1.1 in the case of farming operations, the tag may be attached within 30 hours of kill;
  - 4.1.2 in exceptional circumstances, where a vessel on the CCSBT Record of Authorised Vessels does not have sufficient tags on board, the tag may be attached at landing;

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<sup>7</sup> However the Catch Tagging Form may be amended to include additional information at the discretion of the Member or Cooperating Non-Member.

<sup>8</sup> With the exception of additions to the Catch Tagging Form.

- 4.1.3 in exceptional circumstances, where a vessel catches SBT as unexpected bycatch and has no, or insufficient, tags on board, the tag may be attached at landing.
- 4.2 As outlined at 3.1.4, a Catch Tagging Form records relevant tagging information for individual SBT. The Catch Tagging Form shall be filled in as soon as practicable after the time of kill. Length and weight measurements shall be conducted before the SBT is frozen. Where measurements cannot be accurately done on board the vessel, they may be made at the time of landing or transshipment, provided the measurements and the associated Catch Tagging Form are filled in before any further transfer of the SBT.
- 4.3 Completed Catch Tagging Forms shall be provided to the flag Members and Cooperating Non-Members which shall provide the information in the Catch Tagging Form to the Executive Secretary in an electronic format on a quarterly basis. **Once the eCDS has been fully implemented, the electronic format required for Catch Tagging Forms is that of the eCDS.**
- 4.4 A tagging programme shall meet the minimum procedural and information standards set out in Appendix 2.
- 4.5 Members and Cooperating Non-Members shall prohibit the unauthorised use of SBT tags.

## 5. Validation

- 5.1 The CCSBT CDS documentation must be validated (or signed in the case of transshipments at sea) as applicable by:
- 5.1.1 for landings of domestic product, an official of the flag Member or Cooperating Non-Member of the catching vessel or, when the fishing vessel is operating under a charter arrangement, by a competent authority or institution of the chartering Member or Cooperating Non-Member; and
- 5.1.2 for all SBT transshipments subject to CCSBT *Resolution on Establishing a Program for Transshipment by Large-Scale Fishing Vessels*, the observer required by that resolution; and
- 5.1.3 for all export of SBT, an official of the exporting Member or Cooperating Non-Member; and
- 5.1.4 for all re-export of SBT, an official of the re-exporting Member, Cooperating Non-Member, or OSEC.
- 5.2 The authority to validate CDS documents may be delegated to an authorised person by an official of the relevant State/fishing entity. Members, Cooperating Non-Members and OSECs who utilise delegated person/s shall submit a certified copy of such delegation/s to the Executive Secretary. The individual who certifies a CCSBT CDS Document shall not be the same person who validates the Document.
- 5.3 Members, Cooperating Non-Members and OSECs shall provide to the Executive Secretary information on validation (including type of validation, name of the organization which validates the documents, title and name and signature of officials who validate the documents, sample impression of stamp



or seal, and a list of all persons holding delegated authority to validate CCSBT CDS documentation prior to those officials and persons exercising the authority). Members, Cooperating Non-Members and OSECs shall inform the Executive Secretary of any changes in a timely fashion.

- 5.4 The Executive Secretary will maintain and update the information specified in 5.3 and provide it to all Members, Cooperating Non-Members and OSECs and promptly circulate any changes.
- 5.5 Members, Cooperating Non-Members and OSECs shall not validate any CCSBT CDS documentation referred to in 3.1 that is not complete, has obviously incorrect information, or has not been validated as required by this resolution.
- 5.6 No Member or Cooperating Non-Member or OSEC shall accept any SBT for transshipment, landing of domestic product, export, import, or re-export where any or all required documents do not accompany the relevant consignment of SBT, where fields of information required on the form are not completed, or where the form has not been validated as required by this resolution.
- 5.7 Full or partial consignments of untagged whole SBT must not be validated or accepted for transshipment, landing of domestic product, export (including export after landing of domestic product), import or re-export (except where the tag is no longer required to be attached to the SBT because further processing has occurred, as outlined at Appendix 2).
- 5.8 Members and Cooperating Non-Members shall undertake an appropriate level of audit, including inspections of vessels, landings, and where possible markets, to the extent necessary to validate the information contained in the CDS documentation.
- 5.9 Members and Cooperating Non-Members shall include in their annual review of SBT fisheries, details on the level of coverage and type of audit undertaken, in accordance with 5.8, and the level of compliance.

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

- 6.1 Members, Cooperating Non-Members 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 form. Members, Cooperating Non-Members and OSECs shall also retain a copy of any CCSBT CDS Documents issued by them for a minimum of 3 years after the most recent issuing state/entity signed date on the form. Copies of these CDS Documents (except the Catch Tagging Form<sup>9</sup>) shall be forwarded<sup>10</sup> to the Executive Secretary on a quarterly basis.
- 6.2 The Executive Secretary shall compile the raw data from CDS documentation into an electronic database. The Executive Secretary shall ensure the confidentiality of the raw data in its database and release to any State/fishing entity only the raw data relating to the CCSBT CDS Documents it validated. If

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<sup>9</sup> Requirements to provide information in the Catch Tagging Form are set out in 4.3.

<sup>10</sup> Either as a copy of the original form or in electronic format containing all the information in the forms.

a State/fishing entity requests CCSBT CDS Documents relating to another State/fishing entity, the Executive Secretary may release those data only with the latter's agreement.

- 6.3 The Executive Secretary shall report to the Extended Commission on and circulate to all Members and Cooperating Non-Members the data collected by the CCSBT CDS each year by 1 June for the period of 1 January - 31 December of the preceding year and by 1 December for the period of 1 January - 30 June of the current year. The information to be contained in the reports is specified in **Appendix 3**. The Executive Secretary shall provide an electronic copy of the report only to a designated authority of each Member and Cooperating Non-Member.
- 6.4 The Executive Secretary will post on the public area of the CCSBT web site a subset of the report comprising:
- Flag State/fishing entity;
  - Harvest year;
  - Product destination (including landings of domestic product);
  - Gear code;
  - Net weight;
  - Estimated whole weight (calculated by applying a conversion factor to the net weight);
  - Copies of all modified CDS forms provided in accordance with paragraph 3.4.
- 6.5 On request by the Scientific Committee, Compliance Committee, or other subsidiary body of the Commission, the Executive Secretary shall, with the approval of the Commission, provide to that body data collected by the CCSBT CDS more frequently or at a greater level of detail than specified in 6.3.
- 6.6 The Executive Secretary shall analyse the data provided in 6.1 and notify the relevant Member(s) or Cooperating Non-Member(s) of any identified discrepancies.

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

- 7.1 Each Member and Cooperating Non-Member shall ensure that its competent authorities, or other authorised individual or institution, take steps to identify each consignment of SBT landed as domestic product in, imported into or exported or re-exported from its territory and examine the validated CCSBT CDS Documents for each consignment of SBT. These competent authorities, or authorised individuals or institutions, may also examine the content of the consignment to verify the information contained in the CCSBT CDS Document and in related documents and, where necessary, shall carry out verifications with the operators concerned.
- 7.2 Each Member and Cooperating Non-Member shall review information, and investigate and resolve any irregularities identified in relation to their information in the CDS reports, including any discrepancies identified during the comparison of data from the Executive Secretary. Among other matters, Members and Cooperating Non-Members shall cross-check the report

provided by the Executive Secretary under 6.3 using information available to it.

- 7.3 Each Member, Cooperating Non-Member and OSEC shall, as soon as practicable, identify to the Executive Secretary and relevant Members, Cooperating Non-Members and OSECs, any consignments of SBT where there are:
  - 7.3.1 doubts about the information contained in any associated CDS documentation; or
  - 7.3.2 incomplete, missing or unvalidated CCSBT CDS documentation.
- 7.4 Each Member and Cooperating Non-Member shall co-operate and take all necessary steps with relevant authorities, and within domestic law, to review, investigate and resolve any concerns identified in 7.1 and 7.2, and notify the Executive Secretary of the outcome of any such action for inclusion in its report to the Commission.
- 7.5 The Compliance Committee will consider the summary information compiled by the Executive Secretary in 6.3 and 6.4, including any irregularities and anomalies identified and the outcome of any investigations notified under 7.3.
- 7.6 The Commission, may, on the recommendation of the Compliance Committee, consider any action as may be required in relation to the findings and outcomes of any verification investigation. Such action may be, but is not limited to, a review of this or other relevant compliance measures.
- 7.7 Members, Cooperating Non-members and OSECs shall cooperate to ensure that CDS documents are not forged and/or do not contain misinformation.

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

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

## **9. Implementation and Review**

- 9.1 This resolution entered into force on 1 January 2010. From that date, it replaced the CCSBT Southern Bluefin Tuna Statistical Document Programme adopted by CCSBT on 1 June 2000.
- 9.2 The Compliance Committee will review this resolution regularly 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. Reviews will include any concerns associated with the breakage or loss of tags and the extent of the use of exemptions in 1.9

and 1.10 as reported by Members and Cooperating Non-Members to the Executive Secretary.

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

## Appendix 3

### Content of the Executive Secretary's Six Monthly/Annual Reports to the Extended Commission

The reports in this Appendix are only to be provided to a designated authority of each Member.

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

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

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

#### **Production Reports**

Two production reports are to be produced.

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

This report uses data from the CMF together with mortalities from the FSF to estimate the quota year catch of each Member and Cooperating Member. This should only be conducted for completed quota years and where sufficient CDS data is available. Processed weights from the CDS should be converted to whole weights using conversion factors supplied by each Member if available and the “best” alternative conversion factor where the Member has not provided a conversion factor to use. All conversion factor values used in the report should be listed. The report should also provide the reported quota year catch from the Member/Cooperating Non-Member (if that is available) for comparative purposes.

- Flag State/Fishing Entity;
- Quota year<sup>1</sup>;
- Total estimated whole weight of SBT by fishing gear from the CDS;
- Total whole weight of SBT by fishing gear as reported by the Member (if available); and

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

- Comments<sup>2</sup>.

(2) Detailed production summary report

This report is similar to the Annex 2 report from the TIS. It uses data from CMF and CTF to provide the following information:

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

**REEF Reports**

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

(1) Detailed REEF summary report

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

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

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<sup>2</sup> Comments may be required to provide additional information for interpreting the figures, for example, to indicate that a Member's report includes catches (such as recreational catch) that is not covered by the CDS, or that the CDS data may not be fully up to date for the most recent year etc.

<sup>3</sup> This is the exporting State/Fishing Entity on the REEF form in question, not from preceding REEF forms or the CMF.

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

(2) REEF discrepancy report

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

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

**Tagging Reports:**

One tagging report is to be produced.

(1) Tag summary report

This report uses data from both the CTF and CMF to provide the following information

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

**Transshipment Reports**

Two transshipment reports are to be produced.

(1) Transshipment summary report

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

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

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

(2) Transshipment discrepancy report

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

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

**Farm Reports**

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

(1) Farm summary report

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

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



(2) Farm discrepancy report

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

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

Reconciliation Reports

~~CDS documentation will be sent to the Secretariat on a quarterly basis from multiple sources. The same document may be sent to the Secretariat at different times. For example, when SBT are exported or transhipped, and again when the same SBT are imported or landed as domestic product. The reconciliation reports should be designed to provide aggregate information concerning the number and types of documents that are expected, but that have yet to be received from each State/Fishing Entity. These reports should also identify if any discrepancies occur between the figures in the forms from the different sources. The Secretariat should design and produce these reports after the CDS has been in operation for 12 months.~~