



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 CC13 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.

There are two sections to this paper:

- A. Progress on high level outstanding issues with the eCDS, including (1) validation; (2) the need for a user manual suitable for industry in both English and Japanese; and (3) a revised CDS Resolution to enable the move to an eCDS.
- B. Progress with the eCDS technical development.

(A) Progress on high level outstanding issues

The second meeting of the Technical Compliance Working Group (TCWG) agreed to a proposal by Japan to establish a Working Group to progress outstanding matters, including: (1) the remaining issues, especially related to validators; (2) the need to develop a user manual suitable for industry in both English and Japanese; and (3) to prepare a revised CDS Resolution to enable the move to an eCDS.

Incomplete progress has been made on each of these matters as described below

1. Remaining issues, especially related to validators

One of the main areas that remains to be resolved with a revised CDS is the issue of delegation of validation. CC16 requested that both Australia and New Zealand provide written information to Japan on the appointment of validators, the role of validators within management arrangements, the legal basis for their appointment and penalties should verification or audits reveal discrepancies. This information was provided to Japan by both Australia and New Zealand.

The Secretariat has been advised that Japan has been considering the information domestically and will report the outcome of these discussions to the Compliance Committee.

2. User manual suitable for industry in both English and Japanese

The Secretariat has developed a [user manual for the eSBT system](#). Sections of this manual, particularly for creating an account, logging in, passwords and the home screen are the same for the eCDS (which is a subsystem of eSBT). The eCDS is still being tested and some parts of the eCDS might be simplified (see section B of this paper on progress with the eCDS technical development), so it is still too early to develop the complete user manual for the eCDS. This work should be completed during 2023.

3. Preparation of a revised eCDS 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 such comments were received. Further changes may be required to the CDS Resolution in relation to validation and catch tagging forms etc., but it is not possible to draft such changes until further progress between Members has been made on those issues.

A “clean” version of the text of the draft revised CDS Resolution is provided at **Attachment A**¹. All differences from the original CDS Resolution are highlighted in yellow. **Attachment B** 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.

(B) Progress with the eCDS technical development

1. Summary of Progress

Table 1 shows the components of the system to be developed together with the progress achieved. The system has essentially been completed and is undergoing testing by the Secretariat. The testing by the Secretariat has taken longer than anticipated due to a number of factors. The eCDS is a complex system with many users and many scenarios and combinations to test, which is extremely time consuming. The Secretariat has also been busy with other work and has found it hard to devote enough time to testing, and has been impacted by COVID-19 which has added delays. As a result, the timeline proposed last year that had field testing scheduled for the second half of 2022 and was expected to be tight, cannot be met. A revised workplan is listed below.

At the time of writing the developer has worked on the eCDS for a total of 1090 hours, with 363 hours remaining from the budget for the remainder of 2022.

Table 1: Development progress of the eCDS

Component Description	Progress
Online form development: <ul style="list-style-type: none">• Catch monitoring form (CMF)• Re-export/export after landing of domestic product (REEF)• Farm stocking form (FSF)• Farm transfer form (FTF)	Completed – Undergoing testing
Form validation / certification	Completed – Undergoing testing
Form data quality checks	Completed – Undergoing testing
User access rules	Completed – Undergoing testing
Printable forms (CMF, REEF)	Completed
User delegation	Completed – Undergoing testing

2. Proposed Simplification of the CDS

During testing by the Secretariat, the complexity of the CDS in terms of the number of users and flow of the documents has made testing time consuming and difficult. During testing, the Secretariat became aware that use of the current eCDS could be difficult in practice. This was known to some extent before development started and it was why the Secretariat had originally proposed a streamlined and more eCDS friendly CDS in 2016. However, this was not agreed by Members. Substantial changes to the CDS may not be feasible at this stage of

¹ 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.

development, but the Secretariat believes that a few simple changes will greatly enhance the usability of the eCDS.

Currently the eCDS is very complicated with:

- Many users and different types of users;
- Many sections on the CMF that need different visibility and edit-access restrictions based on the logged-in type of user; and
- Many certifications on the CMF, which require different users.

The extreme case would be as follows, for a CMF that is transhipped at sea and exported:

- Fishing Vessel (FV) Representative logs in and fills in the catch information;
- FV Master (or delegate) logs in and certifies transshipment;
- Carrier Vessel (CV) Master logs in and certifies transshipment;
- Observer logs in to signify presence during transshipment;
- Catch/Harvest Validator logs in and validates (optional for high seas transshipment);
- Exporter logs in and fills in export information;
- Export validator logs in and validates export; and
- Importer logs in and enters import information.

It is proposed to reduce the number of certifiers by removing certification of transshipments, i.e., remove:

- Certification by Master of FV;
- Certification by Master of CV; and
- Signature of observer.

The extreme example above is then reduced to the following:

- FV Master or FV Representative logs in and fills in the catch info and transshipment details;
- Catch/Harvest Validator logs in and validates (optional for high seas transshipment);
- Exporter logs in and fills in export info;
- Export validator logs in and validates export; and
- Importer logs in and enters import information.

This change reduces the number of users and different types of users significantly, but has minimal impact on the integrity of the CMF because details of the transshipment, such as the receiving vessel and observer, can be cross-checked against transshipment information received by the Secretariat. Furthermore, the three users removed by this amendment are the three who would have most difficulty accessing the eCDS.

Applying this change to the eCDS would be a simple task for the developer and is not expected to add to the cost of development.

3. Proposed Workplan

The following is an indicative schedule of the work remaining:

2022 (second half):

- Rigorous testing by the Secretariat.
- Modifications to the system as required, including simplification if agreed.

2023 (first half):

- Continuation of Secretariat testing.

- Rigorous testing by Members (potentially including field testing²).
- Field testing² of the eCDS by Members (to include vessels, exporters, importers).
- Modifications to the system as required.

2023 (second half)

- Members decide whether to implement the Trial eCDS as the CCSBT's eCDS.
 - Adopt the modified CDS Resolution that allows for an eCDS.
- Development completed.

2024:

- Implementation of the eCDS with a subset of the fleet, including exporters, carrier vessels and importers (other vessels would continue with the paper based CDS). 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.

4. Budget

The development of the eCDS continues to be a relatively inexpensive project. At the end of 2022, it is expected that the total expenditure on the project (excluding Secretariat staff time) will be ~\$139,000, which is \$11,000 less than the \$150,000 originally approved for this project. The approximate expected expenditure for future years is:

2023: \$40,000 (final testing and modifications);

2024: \$20,000 (partial implementation and further modifications as required); and

2025: \$15,000 (full implementation and maintenance).

Recommendations

The Compliance Committee is invited to review and comment on:

- The draft revision of the CDS Resolution at **Attachments A and B** to facilitate the eCDS;
- The proposed workplan;
- The proposed budget; and
- The proposal for simplifying the eCDS and, if agreed, recommend that the CDS resolution be modified to remove transshipment certification requirements.

Prepared by the Secretariat

² 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).

Resolution on the Implementation of a CCSBT Catch Documentation Scheme

(revised at the Twenty-Ninth Annual meeting: 14 October 2022)

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 implementation¹ of the CCSBT's electronic Catch Documentation Scheme (eCDS), all CDS documents shall be completed electronically within the CCSBT's eCDS except for circumstances² 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 OSECs³, Catch Monitoring Forms (CMFs) and Re-Export/Export after landing of Domestic Product Forms (REEFs) within the eCDS shall be finalised⁴ by the receiving Member within 90 days of the final certification of that form. Other document submission

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

² 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.

³ 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.

⁴ 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 product⁵, 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 meat⁶ (*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.

⁵ 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.

⁶ 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 made⁷. 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 3.3⁸, 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;

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

⁸ 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 Form⁹) shall be forwarded¹⁰ 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

⁹ Requirements to provide information in the Catch Tagging Form are set out in 4.3.

¹⁰ 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

~~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 year¹;
- 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

¹ 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.

- Comments².

(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 Entity³;
- Point of export;
- Year and month of export⁴
- 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.

² 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.

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

⁴ 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 utilised⁵” 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.

⁵ 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) Transhipment discrepancy report

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

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