Background Paper #2 for the eCDS Working Group: Error checking in the eCDS (Revision 1[1])

Contents

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[1] This paper was provided to the eCDS Working Group on 12 July 2021 with a request that feedback be provided by 20 August 2021. Very little feedback was received. However, two footnotes (in addition to this footnote) have been added to the paper in response to the comments that were received. These additions are tracked within the paper.

Introduction

In 2019, CCSBT 26 agreed that *"a trial eCDS should be developed based on the current 2014 CDS and its operational practices"*. As a result, some foundation work for the trial eCDS was conducted during 2020. In October 2020, CC15 requested that the Secretariat continue its eCDS development work, with Members' cooperation and feedback to be sought through an online working group.

The Secretariat has based its development of the trial eCDS on the agreement of CCSBT 26.

An eCDS working group met on 7-8 April 2021 to discuss features and processes, such as user accounts that are required in an eCDS, but do not exist in a paper based CDS. The meeting considered a background paper prepared by the Secretariat which presented issues such as: User roles and delegation of roles; Creation and activation of eCDS accounts; Access to and visibility of eCDS information; Certification, validation and finalisation of forms; and other matters including some proposed changes for CMFs and REEFs. The meeting was also given a demonstration of how CMF data is entered into the eCDS.

The present paper summarises feedback received following the above eCDS working group meeting and then focuses on error checking within the eCDS, including the extent to which validation can proceed when "errors" are detected on a form by the eCDS.

This paper assumes that the reader has a good understanding of the CCSBT's paper based CDS and is also familiar with the background paper that the Secretariat submitted to the first eCDS working group meeting.

For the purpose of this document, Members includes Cooperating Non-Members, OSECs[2] and equivalent entities (for example the USA is informally cooperating with the CDS and may wish to utilise the eCDS). Non-Cooperating Non-Members (NCNMs) excludes Members as defined above for the purposes of this document.

Feedback from the April 2021 eCDS Working Group Meeting

The 7-8 April 2021 eCDS working group meeting generally supported the approach taken by the Secretariat as described in the Secretariat's background paper for the meeting. However, participants of the working group commented that they could not formally endorse any of the proposals until they had a chance to try and test the eCDS themselves. It was agreed that the Secretariat would try to provide Members with access to a prototype eCDS for trial purposes prior to the October 2021 Compliance Committee meeting. The Secretariat emphasised that the prototype to be provided to Members would not be a complete eCDS and would only be provided to enable Members to obtain a "feel" for how the system will work.

Some Members provided feedback to the Secretariat either during or after the eCDS working group meeting. This included the following suggestions and comments (*the Secretariat's responses to these suggestions are provided in italics*):
- What constitutes an error in the eCDS and what errors can be over-ridden by a validator?
  - *This is discussed within this paper.*

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[2] Other States/Fishing Entities Cooperating with the CDS.

- The more data checking that can be conducted by the eCDS at the time of data entry the better. This will lead to better quality data and reduce the time required for later follow-ups.
  - *The Secretariat plans to implement as much real-time data checking as possible. The proposed data checks are listed in this paper.*
- It will be necessary to allow catch tagging information to be uploaded into the eCDS from spreadsheets and to also allow direct entry of tagging information into the eCDS.
  - *The Secretariat is implementing this suggestion.*
- Errors arising from duplicated tag numbers should not prevent saving, validation or finalisation of CDS forms. This is because the error could be due to an incorrect tag number having been entered on an existing form. Instead, a notification should be provided to both parties that input the potential error.
  - *The Secretariat plans to implement the first part of this suggestion. Further consideration needs to be given to the notification part of this suggestion.*
- Consideration should be given to providing importers with two options for certifying imports: One option is full certification if the documentation is fully completed and correct; and the other option is conditional certification if the documentation requires a correction. It was also suggested that the exporter and Secretariat should be notified of this error through the eCDS system, and that the exporter should be requested to correct the problem.
  - *The Secretariat has not yet included this suggestion in its development plans. Further advice on the desirability of this feature is required from exporters. This would then be followed by technical consideration of the best way to implement this feature.*
- Members would like the ability to download their data (CMF, REEF, CTF) from the eCDS into spreadsheets so that Members can maintain copies of all CDS data for their own records and conduct further analysis and cross checking of these data as necessary.
  - *The Secretariat plans to implement this suggestion to allow a Member to conduct bulk downloading of its data.*
- To provide easy access to forms for other people, it would be useful for the eCDS to have a "Send link button" which would send an email containing a link to the form to a desired eCDS user.
  - *The Secretariat plans to implement this suggestion or something equivalent to this suggestion.*
- Clarity should be provided regarding who has responsibility for following up forms containing errors (the Member or the Secretariat).
  - *Under the eCDS, the follow-up of errors is the responsibility of the relevant Member. However, it is envisaged that the Secretariat would provide reports to the Compliance Committee on unresolved problems in Members' data. Furthermore, in the early years of the eCDS, it is envisaged that the Secretariat would conduct general monitoring and advise relevant Members when noticeable numbers of problems are occurring with their data.*
- Clarity should be provided on the requirement for storing CDS documents that have been entered via the eCDS.
  - *When fully implemented, the original CDS document would be the document on the eCDS system and Members should not be required to store any other copies. This may need to be clarified with a minor amendment to the CDS Resolution. However, during the initial release of an eCDS system, it's likely that CDS documents might still be submitted to the Secretariat by some*

> *Members and potentially entered into the eCDS by the Secretariat. Additionally, there may be exceptional circumstances where a CDS form needs to be submitted, for example in the event of any system failures or problems accessing the eCDS. If copies of forms were submitted, they would be the original copies and need to be retained by Members in line with the CDS document retention policy.*

- The requirement for Members to forward copies of CDS documents to the Executive Secretary on a quarterly basis should be removed for documents created in the eCDS.
  - *The Secretariat agrees with this suggestion. The Secretariat will have access to documents created in the eCDS, so the requirement to forward such CDS documents to the Executive Secretary will be obsolete. This may need to be clarified with a minor amendment to the CDS Resolution.*

- The eCDS should prevent the current problem of missing forms (e.g. when only the exporter or importer sends a form to the Secretariat).
  - *The Secretariat agrees that these types of errors should no longer occur with the eCDS.*

- One Member suggested that the eCDS should store the signature of certifiers on the system.
  - *In the eCDS, the user's email address (which is unique) and account details (including password) replace the need for signatures of certifiers. Uploading about 400 signatures of certifiers each year would be a significant burden for Members and does not seem to be necessary. Validator signatures (and seals) are being uploaded because submission of this information is a prescribed requirement of the CDS Resolution. Nevertheless, this requirement could potentially be removed in the future.*

- It was asked if it was envisaged that there would be a 24/7 eCDS helpline for fishers and companies.
  - *The Secretariat does not envisage such a helpline. A 24/7 helpline would be very expensive to operate and to be effective, it would need to be available in the languages of all active Members. Furthermore, it is likely that some questions (and most problems) reported to the helpline would be beyond the ability of phone operators to answer and could require the expertise of system developers who will not be available outside of business hours. It is envisaged that fishers/companies would use paper forms in cases where they cannot resolve a problem with the eCDS in a timely manner. Furthermore, manuals and training sessions will need to be developed for the eCDS.*

The eCDS Error Checking and Warning Processes

Within this document, references to "errors" in relation to CDS forms include missing information, incorrect information, and invalid information[3]. Errors detected by the eCDS system need to be fixed by the relevant user. In most cases, errors need to be corrected prior to validation, but in some cases, these can be corrected after validation.

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[3] Invalid information includes issues such as vessels that are not authorised to fish for SBT on the catch/harvest date specified in the CDS form.

The eCDS system will also check for unusual values that are not necessarily errors. Warnings will be displayed for these types of potential problems. The user should check the data associated with such warnings but does not need to make any corrections if the entered information is correct.

Most error and warning checks within the eCDS are conducted during or immediately after the entry of data for a form:
- The checking that is conducted during data entry are single field checks (such as invalid dates, invalid codes, impossible weights etc.). It is not possible to save a CDS form that has errors at the single field level. These errors must be fixed before saving.
- The checking that is conducted after data entry i.e. on 'Saving', includes missing data, multi-field and multi-form cross-checks. Forms with these types of errors can be saved without fixing the errors, but it will not be possible to validate a form with some of these types of errors.

Errors and warnings identified by single field checks are notified to the user during data entry by being displayed in a yellow box on the right-hand side of the data entry screen. The "Save" and "Save & exit" buttons are disabled while such errors remain.

Errors and warnings (including missing data) from multi-field and multi-form cross-checks are displayed in a blue box on the right-hand side of the data entry screen. However, these errors are only seen after saving the data. For this reason, it is usually recommended that users click on "Save" instead of "Save & exit" when the user has completed their part of a form.

Users can also identify which forms contain errors and which forms are incomplete from a variety of windows within the eCDS as follows:
- The "Home" screen (which appears after a user logs on to the eCDS) shows a list of forms for the relevant user that are "in progress", together with a summary of the problems with those forms.
- The screens that show lists of specific types of CDS forms[4] contain a column with an icon showing the status of each form:

    o   Forms with a red thumbs down contain error(s);

    o   Forms with a green thumbs up are ok;

    o   Forms with an orange pointing hand require action such as validation; and

    o   Forms with an orange thumbs down contain errors overridden by a validator that still need correction.

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[4] These are the screens which appear after a user selects the desired form type (CMF/CTF, REEF, FSF, FTF) from the "CDS" menu.

Proposed Data Checks and Validation Override

The Secretariat is proposing a series of checks for data in the eCDS. Most of these checks are derived from the Secretariat's current CDS database for paper CDS forms, but there are some differences.

Attachments A-E contain all the Secretariat's proposed error and warning checks for CMFs, CTFs, REEF, FSFs and FTFs respectively in the eCDS. Importantly, these attachments also indicate which errors a validator may override so that the SBT can continue along the supply chain. Please note the following points relating to these attachments:

- Text shown in blue type is for checks that are conducted when the data for the relevant form is saved. These types of checks cannot be conducted reliably until all relevant data for a section of the form has been entered. Checks shown in black type are conducted as soon as data entry has been completed for a single field.
- The text for some fields refers to "User Types". These are the same User Types as those provided in the "User Roles and Delegation of Roles" section of the Secretariat's Background Paper for the 7 & 8 April 2021 eCDS Working Group. For easy referral, the relevant part of this section is repeated at **Attachment F** of this paper.
- The column "Error / Warning" contains one of two values (E or W).
  - "E" means 'error' and indicates that the problem will usually require correction.
  - "W" is a 'warning' to the user about an unusual value. Apart from checking the value and correcting it if appropriate, the user does not need to take any action in relation to warnings.
- The column "Validation Override Allowed" contains one of four values (n/a, No, Yes, Interim).
  - "n/a" means that validation override is not applicable because the check is only for a warning (not an error), or because this is a check for an entry that occurs after validation (such as import details).
  - "No" means that a form cannot be validated with this error and that the error must be corrected before validation will be allowed.
  - "Interim" means the form can be validated with this error if necessary[5]. However, the relevant Member is required to correct this error as soon as practicable after validation and the validator will be required to provide an explanation for the error together with a date by when the correction will be made. Whenever the "Interim" status is suggested for Validation Override in the Attachments, a footnote is provided to clarify the reasoning behind assigning this status.
  - "Yes" means that the form can be validated with this error and no follow up is required by the Member.

When comparing the checks in **Attachments A-E** against the paper CDS forms, it might seem that some obvious checks are missing (such as dates not being in the future). The absence of such checks is often because the eCDS automatically inserts this information so there is no need to check.

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[5] For example, if immediate validation is required to allow the product to be traded and the error cannot be corrected in a timely manner.

Members are requested to examine the checks in **Attachments A-E** and identify any checks that might cause unnecessary problems, any checks that are missing, and whether the proposed validation override status for different fields is appropriate.

Attachment A – CMF Checks

Please refer to the "*Proposed Data Checks and Validation Override*" section of the main body of this paper for an explanation of this table. See **Attachment F** for details of user types.

Field *(or collection of fields)*	Check to be conducted	Error / Warning	Validation Override Allowed
Catch / Harvest Section			
Vessel Name[6]	For wild fishery only • Must be present • Must be on the list of authorised vessels (past or present)	E	No
	For wild fishery only • Must be an authorised vessel for the months in which fishing occurred	E	Interim[7]
Farm Name[8]	For farmed SBT only • Must be present • Must be a currently authorised farm	E	No
Processor name	If applicable • Should be present	W	n/a
Processor address	Only if processor name is provided • The address must be provided	E	Interim[9]
Product	• Must be present • Must be either "F" or "FR"	E	No
Type	• Must be present • Must be in the list of current product types	E	No
Harvest month	• Must be present • Must be no more than 3 years in the past and not be in the future.	E	No
Gear code	• Must be present • Must be in the list of gear codes • Must be "FARM" if the CMF is for a FARM. Must not be "FARM" if the CMF is for the wild fishery	E	No
	• Should normally be "LL" for the wild fishery	W	n/a
Statistical area	• Must be present • Must be in the range of 1-15 • Must not be "3" unless the catch Member is Australia	E	No

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[6] The vessel registration number and Flag State/Fishing entity will be obtained from the list of authorised vessels.

[7] The interim status has been suggested because this is likely to be due to a Member administrative error (noting that another check ensures that the vessel is already on the list of authorised vessels – just not current).

[8] The CCSBT Farm Serial Number will be obtained from the list of authorised farms.

[9] The interim status has been suggested because this is not a crucial information.

	• Should normally be:
	   o 1, 2, 13 for Indonesia
	   o 3 for farms
	   o 2, 3, 4, 7, 8 for Australia
	   o 4, 5 for New Zealand
	   o 9, 14, 15 for South Africa
	• Should not normally be 11, or 12.
		W	n/a

Weight	• Must be present • Must be a number greater than zero	E	No
Number	If the product type is for whole fish: • Number must be present and be at least "1" Otherwise, if the product type is for fish parts: • Number must be empty	E	No
Weight/Number	If product type is for whole fish: • Average weight in each fish description row must be between 1 and 300kg	E	No
	If product type is for whole fish: • Average weight in each fish description should normally be between 9 and 150kg	W	n/a
Description of Fish sub-section	• There must be at least one line of fish details	E	No
Validation (catch/harvest)	If present (it is not required for transhipments at sea) • Must be a currently authorised validator If the CMF is not for an export transhipped at sea: • Validation by authority must be provided	E	No
Transhipment Section (these checks only apply if a transhipment is being conducted)			
FV Master Certification	• Must be present • Must be a user with a User Type of "1" or a delegate of a user of that type	E	No
Receiving Vessel (CV) Name	• Must be present • Must be on the list of authorised carrier vessels (past or present)	E	No
	• Must be an authorised carrier vessel on the date of transhipment	E	Interim[7]
CV Master Certification	• Must be present • Must be a user with a User Type of 1, 2, 5, 11, or a delegate of a user of type 1 or 5	E	Interim[10]

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[10] This Interim status is only intended as a short-term measure when the eCDS first goes live in case the process for registering this type of user has some teething problems.

Observer signature	Only for transhipment at sea • Must be present[11] • Must have a User Type of "6" or a delegate of a user of that type	E	Interim[10]
Export Section (these checks only apply if the SBT is being exported)			
Statistical area	For at-sea transhipments only • Must be present • Must be in the range of 1-15 • Must not be "3" unless the catch Member is Australia	E	No
	For at-sea transhipments only • Should Not normally be 3, 4, 5, 6, 7, 9, 10, 12	W	n/a
Point of Export	For transhipments in-port and non-transhipping exports only • Must be present • Must be in the list of export points	E	Interim[12]
	For catches/harvests by AU, ID, JP, KR, NZ, ZA • Point of Export should normally be from the Member's territory.	W	n/a
Destination	• Must be present • Must be in the list of destinations • Must not be the same as the State/Fishing Entity for the point of export	E	Interim[12]
Exporter Certification	• Must be present • Must be a user with a User Type of "7"	E	No
	• Exporter License No./Company should normally be provided	W	n/a
Validation (export)	• Must be a currently authorised validator • Must not be the same as the person who provided the export certification	E	No
Landing of Domestic Product Section (these checks only apply if the SBT are being landed domestically)			
Type	• Must be present • Must be in the list of current product types	E	n/a

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[11] A method of specifying force majeure will be developed for situations where force majeure prevents an observer being present.

[12] This Interim status is only intended as a short-term measure when the eCDS first goes live until we are confident that the relevant lists of information (points of exports, destinations) contain all possible cases.

Weight	• Must be present • Must be a number greater than zero • The sum converted total whole weights must be within +/-10% of the sum total of the converted whole weights in the Description of Fish Section	E	n/a
	• The sum converted total whole weights should be within +/-5% of the sum total of the converted whole weights in the Description of Fish Section	W	n/a
Certification by Initial Receiver	• Must be present • Must be a user with a User Type of "8" • Not permitted to certify unless the Type and Weight for the domestic landing are provided	E	n/a

Import Section (these checks only apply if the SBT have been exported)			
Point of Import	• Must be present • Must be in the list of import points	E	n/a
	• This should be the same Country/Fishing Entity as the Destination for the export	W	n/a
Type	• Must be present • Must be in the list of product types	E	n/a
Weight	• Must be present • Must be a number greater than zero • The sum converted[13] total whole weights must be within +/-10% of the sum total of the converted whole weights in the Description of Fish Section	E	n/a
	• The sum converted total whole weights must be within +/-5% of the sum total of the converted whole weights in the Description of Fish Section	W	n/a
Certification by Importer	• Must be present • Must be a user with a User Type of "9" • Not permitted to certify unless the Final Point of Import, Type and Weight for the Import are provided	E	n/a

For farm CMFs only: Cross-checks against FSFs			
General	• At least one FSF must be linked to this CMF	E	Interim[14]

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[13] The converted total weight is the net weight multiplied by the conversion factor for the product type.

[14] The Interim status is because this form type will not always be linked to a CMF at the time of validation.

Farm Name	• The CMF Farm name must be listed in the Farm Transfer Section of each FSF linked to this CMF	E	Interim[14]
Cross-checks against CTFs			
General	• If 'whole' product types are recorded on the CMF, then at least one CTF must be linked to this CMF	E	Interim[14]
Weight	For SBT on the CMF that have a whole product type: • The converted total whole weight of SBT on the CTF must be within +/- 10% of the total converted whole weight of the CMF Description of Fish section	E	Interim[14]
	For SBT on the CMF that have a whole product type: • The converted total whole weight of SBT on the CTF should be within +/- 5% of the total converted whole weight of the CMF Description of Fish section	W	n/a
Number	• The total number of whole fish on the CMF and the total number of associated fish on linked CTFs must be the same	E	Interim[14]

CMF Process Rules
- User types which can enter data (including certify and validate) in different parts of a CMF are shown at **Attachment F**.
- Once a CMF has been finalised, further changes can only be made by the Secretariat.
- Once a CMF has been certified at the final product destination, the earlier parts of the CMF form will be locked from any further changes unless the final destination certification is removed. This certification can only be removed by an Importer or Initial Receiver of the relevant Member.
- Any changes to data (including certifications) in the Catch/Harvest or Intermediate Product Destination of the form will, with two exceptions, result in the removal of any certifications or validations in the form that are after these data. This will result in a requirement for re-certification and re-validation. Users will be warned of this if they try to change data for which certifications/validations have been given. The exceptions are certifications by the master of the receiving vessel and the signature of the observer, which will not be affected by changes to the data.

Attachment B – CTF Checks

Please refer to the "*Proposed Data Checks and Validation Override*" section of the main body of this paper for an explanation of this table. See **Attachment F** for details of user types.

Field *(or collection of fields)*	Check to be conducted	Error / Warning	Validation Override Allowed
Tag Number	• Must be present • Must be a unique tag number amongst all the CTFs for this particular CMF • Must not be a tag number in the list of lost/discarded/broken tags reported to the Secretariat	E	No
	• Must be a unique tag number amongst all the CTFs for other CMFs (i.e. not including the CTFs for this CMF)	E	Interim[15]
Type	• Must be present • Must be in the list of current product types	E	No
Weight	• Must be present • Must be a number between 1 and 350kg	E	No
	• Should normally a number between 9 and 150kg	W	n/a
Fork Length	• Must be present • Must be a number between 10 and 300cm	E	No
	• Should normally be a number between 20 and 200cm	W	n/a
Gear code	• Must be present • Must be in the list of gear codes • Must be "FARM" if the CMF is for a FARM. Must not be "FARM" if the CMF is for the wild fishery	E	No
	• Should normally be "LL" for the wild fishery	W	n/a
Statistical area	• Must be present • Must be in the range of 1-15 • Must not be "3" unless the catch Member is Australia	E	No
	• Should normally be "3" for farms • Should not normally be 11, 12, or 13.	W	n/a
Month of Harvest	• Must be present • Must be no more than 3 years in the past and not be in the future.	E	No
Certification	• Must be present • Must be a user with a User Type of 1, 2, 3, or 11 or a delegate of a user of Type 1	E	No

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[15] If the tag number duplicates that from a different CMF, it may be the other CMF that is in error. Consequently, this error could take substantial time to correct.

Attachment C – REEF Checks

Please refer to the "*Proposed Data Checks and Validation Override*" section of the main body of this paper for an explanation of this table. See **Attachment F** for details of user types.

Field *(or collection of fields)*	Check to be conducted	Error / Warning	Validation Override Allowed
Form Heading			
Export Type	• Choice must be made between a Re-Export or an Export after Landing of Domestic Product	E	No
Full/Partial Shipment	• Choice must be made between a Full shipment and a Partial shipment	E	No
Preceding Documents			
Lists of Preceding Documents	• There must be at least one valid line in the list of preceding CMF documents or the list of preceding REEF documents	E	No
CMF Document Number	• If present, the document number must be for a CMF that has been certified by the initial receiver of domestic product or the importer	E	No
CMF Access Key	• If a CMF document number is present, the correct Access Key for this document must be present	E	No
REEF Document Number	• If present, the document number must be for a REEF that has been certified by the initial receiver of domestic product or the importer	E	No
REEF Access Key	• If a REEF document number is present, the correct Access Key for this document must be present	E	No
Export Section			
Exporting State / Fishing Entity	• Must be present • Must be a Member, CNM, or OSEC	E	No
	• If the exporting State is Australia or Indonesia, it is expected that all preceding documents (CMFs or REEFs) should be from Australia or Indonesia respectively.	W	n/a
Point of Export (city)	• Must be present • Must be in the list of export points	E	Interim[16]
	For AU, ID, JP, KR, NZ, ZA • Point of Export should be from the Member's territory.	W	n/a
Processor name	If applicable • Should be present	W	n/a
Processor address	If applicable and only if processor name is provided • The address must be provided	E	Interim[17]

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[16] This Interim status is only intended as a short-term measure when the eCDS first goes live until we are confident that the relevant lists of information (points of exports, destinations) contain all possible cases.
[17] The interim status has been suggested because this is not a crucial information.

Description of fish being exported	There must be at least one line of fish details	E	No
Product	• Must be present • Must be either "F" or "FR"	E	No
Type	• Must be present • Must be in the list of current product types	E	No
Weight	• Must be present • Must be a real number greater than zero	E	No
Number	If the product type is for whole fish (i.e RD,GGH,GGO,GGT,DRO,DRT): • Number must be present and be at least "1" Otherwise, if the product type is for fish parts: • Number must be empty	E	No
Weight/Number	If product type is for whole fish (i.e RD,GGH,GGO,GGT,DRO,DRT): • Average weight in each fish description row must be between 1 and 300kg	E	No
	If product type is for whole fish (i.e RD,GGH,GGO,GGT,DRO,DRT): • Average weight in each fish description should normally be between 9 and 150kg	W	n/a
Destination	• Must be present • Must be in the list of destinations • Must not be the same as the State/Fishing Entity for the point of export	E	Interim[16]
Exporter Certification	• Must be present • Must be a user with a User Type of "7"	E	No
	• Exporter License No./Company should normally be provided	W	n/a
Validation (export)	• Must be a currently authorised validator • Must not be the same as the person who provided the export certification	E	No
Import Section			
Point of Import	• Must be present • Must be in the list of import points	E	n/a
	• This should be the same Country/Fishing Entity as the Destination for the export	W	n/a
Certification by Importer	• Must be present • Must be a user with a User Type of "9" • Not permitted to certify unless the Final Point of Import is provided	E	n/a
Checks against previous documents			
General	• The total weight of fish being exported must not exceed the total weight of fish from all preceding documents • The total number of fish being exported must not exceed the total number of fish from all preceding documents	E	No

	• The converted whole weight of fish being exported should not exceed the converted whole weight of fish from all preceding documents	W	n/a

Attachment D – FSF Checks

Please refer to the "*Proposed Data Checks and Validation Override*" section of the main body of this paper for an explanation of this table. See **Attachment F** for details of user types.

Field *(or collection of fields)*	Check to be conducted	Error / Warning	Validation Override Allowed
Catching Vessel Section			
First fishing date	• Must be present • Must be no more than 1 year in the past and not be in the future	E	No
Last fishing date	• Must be present • Must be no more than 1 year in the past and not be in the future • Must be greater than or equal to the first fishing date • Must be no more than 100 days after the first fishing date	E	No
Catching vessel[18]	• Must be present • Must be on the list of authorised vessels (past or present)	E	No
	• Must be an authorised vessel for the period in which fishing occurred	E	Interim[19]
Statistical area of catch	• Must be present • Must be in the range of 1-15	E	No
	• Should normally be "3" for farms	W	n/a
Towing Section			
Date tow commenced	• Must be present • Must be no more than 1 year in the past and not be in the future. • Must be greater than or equal to the first fishing date	E	No
Tow vessel name[20]	• Must be present • Must be on the list of authorised vessels (past or present)	E	No
	• Must be an authorised vessel on the date that towing commenced	E	Interim[19]
Towing details sub-section	• There must be at least one line of towing details (date tow commenced and tow vessel)	E	No
Number of tow cages	• Must be present • Must be an integer greater than or equal to 1 and less than or equal to 25	E	No

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[18] The vessel registration number and Flag State/Fishing entity will be obtained from the list of authorised vessels.

[19] The interim status has been suggested because this is likely to be due to a Member administrative error (noting that another check ensures that the vessel is already on the list of authorised vessels – just not current).

[20] The vessel registration number and Flag State/Fishing entity will be obtained from the list of authorised vessels.

First tow date	• Must be present • Must be no more than 1 year in the past and not be in the future • Must be greater than or equal to the first fishing date	E	No
Last tow date	• Must be present • Must be no more than 1 year in the past and not be in the future • Must be greater than or equal to the first tow date • Must be no more than 120 days after the first tow date	E	No
Number of mortalities	• Must be present • Must be a real number greater than or equal to 0 and less than or equal to 500	E	No
	• Should be a real number less than or equal to 200	W	n/a
Weight of mortalities	• Must be present • Must be a real number greater than or equal to 0 and less than or equal to 10,000 kg	E	No
	• Should be a real number less than or equal to 3,000 kg	E	No
Farm Transfer Section			
Farm Name[21]	• Must be present • Must be an authorised farm within the period from first to last farm transfer	E	No
First transfer date	• Must be present • Must be no more than 1 year in the past and not be in the future • Must be greater than or equal to the last of the dates the tows commenced	E	No
Last transfer date	• Must be present • Must be no more than 1 year in the past and not be in the future • Must be greater than or equal to the first transfer date • Must be no more than 100 days after the first transfer date	E	No

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[21] The CCSBT Farm Serial Number will be obtained from the list of authorised farms.

Average weight of fish (kg)	• Must be present • Must be a real number between 1 and 100kg	E	No
	• Should be a real number from 10 to 25kg	W	n/a
Method of weight estimation	• Must be present • Must be a valid weight estimation method. At present, these are 40FS, 100FS, SV	E	No
Total weight (kg)	• Must be present • Must be a number greater than zero	E	No
Number of fish	• Must be present • Must be an integer greater than zero	E	No
Total weight / Number	• Must equal the average weight entered to within 0.5 kg	E	No
Farm transfer details sub-section	• There must be at least one farm transfer record	E	No
Certification Section			
Certification by Quota holder	• Must be present • Must be a user with a User Type of "3"	E	No
Validation Section			
Validation	• Must be present • Must be a currently authorised validator • Must not be the same as the person who provided the Certification by Quota Holder	E	No

Attachment E – FTF Checks

Please refer to the "*Proposed Data Checks and Validation Override*" section of the main body of this paper for an explanation of this table. See **Attachment F** for details of user types.

Field *(or collection of fields)*	Check to be conducted	Error / Warning	Validation Override Allowed
Transferring Section			
Transferring farm[22]	• Must be present • Must be an authorised farm as of the date of tow	E	No
Towing Section			
Date of tow	• Must be present • Must be no more than 6 months in the past and not be in the future	E	No
Towing vessel [23]	• Must be present • Must be on the list of authorised vessels (past or present)	E	No
	• Must be an authorised vessel on the date of towing	E	Interim[24]
Estimated weight of fish	• Must be present • Must be a real number greater than zero	E	No
Estimated number of fish	• Must be present • Must be an integer greater than zero	E	No
Estimated weight / Estimated number	• Must be present • Must be a real number between 1 and 350kg	E	No
	• Should be a real number from 9 to 50kg	W	n/a
Certification: Transferring farm			
Certification by transferring farm	• Must be present • Must be a user with a User Type of "3"	E	No
Receiving Section			
Receiving farm[25]	• Must be present • Must be an authorised farm as of the date of tow • Must not be the same as the transferring farm	E	No
Certification: Receiving farm			
Certification by receiving farm	• Must be present • Must be a user with a User Type of "3" • Must not be the same user as the certification by the transferring farm	E	No

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[22] The CCSBT Farm Serial Number will be obtained from the list of authorised farms.

[23] The vessel registration number and Flag State/Fishing entity will be obtained from the list of authorised vessels.

[24] The interim status has been suggested because this is likely to be due to a Member administrative error (noting that another check ensures that the vessel is already on the list of authorised vessels – just not current).

[25] The CCSBT Farm Serial Number will be obtained from the list of authorised farms.

Attachment F – User Roles and Delegation of Roles
*(Taken from the "User Roles and Delegation of Roles" section of the
Secretariat's Background Paper for the 7 & 8 April 2021 eCDS Working Group meeting)*

There will be many different types of users with the eCDS. The different types of users that the Secretariat believes need to be defined and catered for within the eCDS are shown in Table 1.

Table 1: *Types of users within the eCDS. See the text following this table for explanations of User Types that may be held concurrently as well as User Types that may be delegated.*

Primary User Type	User Types that may be held concurrently[26]	Can Delegate Role?
1. Fishing vessel master	-	Yes
2. Fishing vessel representative[27]	4, 7, 8	-
3. Farm operator	4, 7, 8	-
4. Authorised Validator	2, 3, 7, 8, 11[28]	-
5. Receiving vessel master	-	Yes
6. Transhipment observer	-	Yes
7. Exporter	2, 3, 4, 8	-
8. Initial Receiver (of domestic product)	2, 3, 4, 7	-
9. Importer	-	-
10. Unspecified[29]	-	-
11. Member Official[30]	4	-
12. Secretariat	-	-

Each type of user has a different role within the eCDS. For example, a Validator can only complete the validation fields of a form and an Exporter can only complete the export fields. However, it is possible for a single user to be assigned multiple user types at once. Table 1 lists each primary User Type in the left-hand column and the User Types that person can be concurrently in the centre column based on what the Secretariat believes may be current practice.

Members are invited to suggest changes to the allowable user types for each user. These allowable concurrent user types will be enforced within the eCDS. It should be noted that if a user has multiple user types, such users will not necessarily be allowed to use multiple roles within a single form. For example, the eCDS would not allow a single user to act as both the Exporter and Validator of a single form even if that person has both roles.

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[26] A dash ("-") in this column indicates that the associated user type cannot be held concurrently with other user types. For example, Exporters (row 7) can also be Fishing vessel representatives, Farm operators and Authorised validators, while Importers (row 9) cannot be any other User Type.

[27] This includes any fishing companies, agents, fishing associations etc. that complete CDS forms for fishing vessels.

[28] Japan has advised that, as stated in the 2020 Compliance Committee meeting (see para 126 of the CC report), the issue of delegation of validation needs to be resolved. Therefore, at this stage Japan reserves its position on this point.

[29] Unspecified users have no access to the eCDS unless they have been delegated a role from the one of the three user types that can delegate their role (Fishing vessel masters, Receiving vessel masters and Transhipment observers).

[30] Member Officials can have different levels of access as defined by a Member administrator. A Member administrator can perform any function of a Member Official.

Attachment G shows the different fields of information that each type of user can complete on FSF[31], CMF[32], REEF[33] and CTF[34] forms. Within this attachment, "**Auto**" indicates fields that will be automatically filled-in by the eCDS to simplify form completion.

The intent of the eCDS is that all forms will be completed electronically, which will require an active internet connection. This will not always be possible for vessels at sea, so the Secretariat proposes that the eCDS allow certain users to "Delegate" their role. Role delegation would be allowed for Fishing vessel masters, Receiving vessel masters and Registered observers as indicated in Table 1.

Delegation of roles would be actioned within the eCDS by the user (e.g. the Fishing vessel master) that wishes to delegate their role. The delegating user would select the user(s) that it wishes to delegate to from users that have already been registered in the eCDS. The delegated user might be a representative of the relevant fishing company, or a family member etc. A delegated user can enter information and certify information in the eCDS on behalf of the person who delegated that role. The eCDS will record who entered/certified the information AND who the information was entered on behalf of. This is considered better than a person sharing their account details because delegation of roles will be a transparent process and there is no risk of the account being shared with others without permission.

It should be noted that delegation of roles requires those who can delegate (Fishing vessel masters, Receiving vessel masters and Transhipment observers) to setup their delegations before they are at sea potentially without an internet connection.

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[31] CDS Farm Stocking Form.
[32] CDS Catch Monitoring Form.
[33] CDS Re-Export/Export after Landing of Domestic Product Form.
[34] CDS Catch Tagging Form.

Attachment G – Form Data fields and User Types
*(Taken from "Attachment A" of the Secretariat's Background Paper
for the 7 & 8 April 2021 eCDS Working Group meeting)*

This attachment contains the main CDS Forms (FSF, CMF, REEF and CTF), and shows which types of users can enter or edit data in each field.

An Asterix ("*") next to a user type indicates that a delegated person of that user may enter/edit data in that field (including providing a certification).

"**Auto**" in a field indicates that the eCDS will automatically fill-in that field

Commission for the Conservation of Southern Bluefin Tuna

FARM STOCKING FORM

Catch Documentation Scheme

Document Number

FS -   Auto

• CATCHING VESSEL SECTION

Name of Catching Vessel	Registration Number	Flag State/Fishing Entity
Farm operator (FO) or Member Official (MO)	Auto	Auto

Date Range of Fishing		CCSBT Statistical Area of Fishing
First	Last	
<<<<<<<<<<<<<<<<<<<<<<<<<<<<< FO or MO >>>>>>>>>>>>>>>>>>>>>>>>>>>>>>>	

• TOWING SECTION

Name of Towing Vessel	Registration Number	Flag State/Fishing Entity	Date Tow Commenced
FO or MO	Auto	Auto	FO or MO

Description of Mortalities during Towing

Number of tow cages	Date Range		Number of Mortalities or	Weight of Mortalities (kg)
	First Tow	Last Tow		
<<<<<<<<<<<<<<<<<<<<<<<<<<<<< FO or MO >>>>>>>>>>>>>>>>>>>>>>>>>>>>				

• FARM TRANSFER SECTION

Name of SBT Farm	Date Range of Transfers		Average Weight of Fish (kg)	Method of Weight Estimation	Total Weight (kg)	Number of Fish
	First	Last				
<<<<<<<<<<<<<<<<<<<<<<<<<<<< FO or MO >>>>>>>>>>>>>>>>>>>>>>>>>>>>>						

• VALIDATION SECTION

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

Name	Signature	Date
FO	Auto	Auto

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	
Authorised validator	Auto	
	Date	Auto

Auto

OFFICIAL SEAL

CATCH MONITORING FORM
Catch Documentation Scheme

Document Number

CM - Auto

Catch Tagging Form Document Numbers	Fishing vessel master* (FVM), Fishing vessel representative (FVR), Farm Operator (FO) or Member Official (MO)

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

☐ For Wild Fishery	Name of Catching Vessel	Registration Number	Flag State/Fishing Entity
	FVM*, FVR or MO	Auto	Auto

Or

☐ For Farmed SBT	CCSBT Farm Serial Number	Name of Farm
	FO or MO	Auto
	Document Number(s) of associated Farm Stocking (FS) Form(s)	
	FO or MO	

Description of Fish

Product: F (Fresh) / FR (Frozen)	Type: RD/GGO/GGT/DRO/DRT/FL/OT*	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)
<<<<<<<<<<<<<<<<<<<<<<<<<<<<< FVM*, FVR, FO or MO >>>>>>>>>>>>>>>>>>>>>>>>>>>>						

* For Other (OT): Describe the Type of Product	FVM*, FVR, FO or MO	* For Other (OT): Specify Conversion Factor	FVM*, FVR, FO or MO

Name of Processing Establishment (if applicable)	Address of Processing Establishment (if applicable)
FVM*, FVR, FO or MO	FVM*, FVR, FO or MO

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.

Auto

Name and Title	Authorised validator	Signature	Auto
		Date	Auto

OFFICIAL SEAL

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

And / Or

☐ Transhipment	Certification by Master of Fishing Vessel: I certify that the catch/harvest information is complete, true and correct to the best of my knowledge and belief.			
Name	FVM*	Date	Auto	Signature	Auto

Name of Receiving Vessel	Registration Number	Flag State/Fishing Entity
FVM*, FVR, RVM* or MO	Auto	Auto

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

Name	Receiving vessel master* (RVM)	Date	Auto	Signature	Auto

Signature of Observer (only for transhipment at sea):

Name	Transhipment observer*	Date	Auto	Signature	Auto

☐ Export	Point of Export*				Destination (State/Fishing Entity)
City	Exporter or MO	State or Province	Auto	State/Fishing Entity	Auto

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

Exporter or MO

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

Name	Licence No. / Company Name	Date	Signature
Exporter	Auto	Auto	Auto

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

Auto

Name and Title	Authorised validator	Signature	Auto
		Date	Auto

OFFICIAL SEAL

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

Or

☐ Landing of Domestic Product for Domestic sale.	Certification of ~~Domestic Sale~~: I certify that the above information is complete, true and correct to the best of my knowledge and belief. Landing of Domestic Product				
Name	Address	Date	Signature	Type: RD/GGO/GGT/DRO/DRT/FL/OT	Weight (kg)
Initial receiver	Auto	Auto	Auto	<<<<< Initial receiver >>>>>	

☐ Import	Final Point of Import			
City	Importer	State or Province	Auto	State/Fishing Entity	Auto

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

Name	Address	Date	Signature	Type: RD/GGO/GGT/DRO/DRT/FL/OT	Weight (Kg)
Importer	Auto	Auto	Auto	<<<<<<< Importer >>>>>>	

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RE-EXPORT/EXPORT AFTER LANDING OF DOMESTIC PRODUCT FORM
Catch Documentation Scheme

Document Number

RE - _Auto_

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

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

Exporter or **Member Official (MO)**

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

Form Numbers of Preceding Documents (Catch Monitoring Form, or Re-Export/Export After Landing of Domestic Product Form)	Exporter or MO

• EXPORT SECTION

Exporting State/Fishing Entity	Point of Export		
	City	State or Province	State/Fishing Entity
<<<<<<<<<<< Exporter or MO	Exporter or MO	Auto	Auto

Name of Processing Establishment (if applicable)	Address of Processing Establishment (if applicable)
Exporter or MO	Auto

Catch Tagging Form Document Numbers (if applicable)

Description of Fish from previous CDS Document

Flag State/Fishing Entity	Date of previous Import/Landing		

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

Changes to this form (in red) are described in "5. Changes for REEFs" in the "Other matters" section of the main body of this paper.

* For Other (OT): Describe the type of product	

Description of Fish being Exported

Product: F (Fresh) / FR (Frozen)	Type: RD/GGO/GGT/DRO/DRT/FL/OT*	Weight (kg)	Total Number of whole Fish (including RD/GGO/GGT/DRO/DRT)
<<<<<<<<<<< Exporter or MO >>>>>>>>>>			

* For Other (OT): Describe the type of product	Exporter or MO

Destination (State/Fishing Entity)

Exporter or MO

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

Name	Signature	Date	Licence No. / Company Name
Exporter	Auto	Auto	Auto

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	
Authorised validator	Auto	
	Date	Auto

Auto

OFFICIAL SEAL

• IMPORT SECTION

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

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

Name	Address	Signature	Date
Importer	Auto	Auto	Auto

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.

CATCH TAGGING FORM

Commission for the Conservation of Southern Bluefin Tuna

Catch Documentation Scheme

Document Number

T - *Auto*

☐ Wild Harvest ⟵ Or ⟶ ☐ Farmed (tick only one)

Document Number of Associated Catch Monitoring Form	

Fishing vessel master* (FVM), Fishing vessel representative (FVR), Farm Operator (FO), or Member Official (MO)

• CATCH SECTION

Name of Fishing Vessel (or Farm)	Vessel Registration Number (or CCSBT Farm Serial Number)	Flag State/Fishing Entity
FVM*, FVR, FO or MO	*Auto*	*Auto*

Information on Other form(s) of Capture (eg. Trap)
FVM*, FVR, FO or MO

Tag Information

CCSBT Tag Number	Type: RD/GGO/ GGT/DRO/ DRT	Weight (kg)	Fork Length (cm)	Gear Code (if applicable)	CCSBT Statistical Area of Catch (if applicable)	Month of Harvest (mm/yy)
<<<<<<<<<<<<<<<<<<<<<< FVM*, FVR, FO or MO >>>>>>>>>>>>>>>>>>>>>>						

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

Name	Signature	Date	Title
FVM*, FVR, FO or MO	*Auto*	*Auto*	*Auto*