

**REPORT OF THE JOINT TUNA RFMO WORKING GROUP ON TRADE
AND CATCH DOCUMENTATION SCHEMES**
(Raleigh, North Carolina, USA - July 22 to 23, 2007)

1. Opening of the Meeting

Dr. Bill Hogarth (USA), Chair of ICCAT, welcomed everyone to Raleigh, North Carolina, and opened the meeting.

The List of Participants is attached as **Appendix 1**.

2. Election of Chair

The Chair of the Joint Tuna RFMO Summit, Mr. Masanori Miyahara (Japan), was elected Chair of the technical Working Group.

3. Appointment of Rapporteur

Ms. Kelly Denit (USA) was appointed Rapporteur.

4. Adoption of the agenda and meeting arrangements

The Agenda was adopted and is attached as **Appendix 2**.

5. Review of current trade and/or catch documentation schemes currently in place in RFMOs

The Secretariats for the International Commission for the Conservation of Atlantic Tunas (ICCAT), Inter-American Tropical Tuna Commission (IATTC), Commission for the Conservation of Southern Bluefin Tuna (CCSBT), and the Western and Central Pacific Fisheries Commission (WCPFC), each presented an overview of the trade and/or catch documentation schemes that their RFMO has in place. The papers that were presented are attached as **Appendices 3, 4 and 5**. The Indian Ocean Tuna Commission (IOTC) was not able to attend this meeting therefore, the Chair of the meeting provided an overview of IOTC statistical document programs (SDPs). Currently the SDP for bigeye is implemented in ICCAT, IATTC, and IOTC whereas that for swordfish is implemented only in ICCAT.

The Parties discussed the challenges and benefits of the current programs. It was noted that traceability from catch to market was a key area for improvement. Concern was expressed regarding the SDPs and the lack of coverage for domestically landed product. Parties acknowledged that the objectives of the SDPs when they were designed were different from how the programs are being used now. It was brought to the attention of the Working Group that ICCAT has already launched a process for the review of the three SDPs under its purview.

Many Parties expressed concern about the slow pace at which improvements to SDPs in RFMOs are being pursued. Parties noted the moves by ICCAT and CCSBT toward catch documentation schemes (CDS) for bluefin tuna. FFA noted that it had resisted the introduction of a statistical document program into the WCPFC but was supportive of the implementation of a catch documentation scheme.

Parties also expressed concern regarding the current verification processes. It was noted that it was, in the current programs, very difficult to identify the actual level of catches and the respective catch areas and to have real-time data exchange between Parties regarding the verification of certain shipments. Dealing with fraudulent documents and improving efficiency in the systems were also noted as key concerns. Gaps in the coverage of the current SDPs were noted, particularly the lack of coverage of swordfish by all RFMOs where it is fished, the lack of any program in the WCPFC area and the lack of coverage of fresh bigeye tuna and purse seine bigeye catch.

6. Proposals for harmonization and improvement of current programs

The Food and Agriculture Organization (FAO) presented a document based on reports from two of its previous meetings on the harmonization of catch and trade documentation schemes (see attached **Appendix 6**). The FAO representative noted the shift of primary interest in SDPs towards traceability of fish and fishery products and emphasized the importance of holistic network approaches in its implementation.

Parties expressed general agreement that the SDPs had major shortcomings and that movement to catch documentation schemes that covered product from catch to market was needed. Suggestions included movement to a CDS for all species covered by the various RFMOs, particularly bluefin tuna. Increased efficiency in communication for verifying documentation and resolving disputes via electronic means was also discussed as a way to move the RFMOs forward. The report of ICCAT's 2nd meeting of the working group to improve statistical document programs was also discussed. The United States presented an information document regarding the outcomes from this ICCAT meeting that they deemed relevant to the discussion of this working group (see attached **Appendix 7**).

Centralized data exchange was noted as an important element in improving current programs, though concern was expressed regarding the increased financial and human resource requirements for such programs. Centralizing data exchange was also acknowledged as a way to harmonize the programs across the tuna RFMOs and electronic systems were noted as potentially being more efficient. The Parties also stated the need to connect trade and/or catch tracking programs with other monitoring, control and surveillance (MCS) measures, including unique vessel identifiers.

7. Possible recommendations to RFMOs

Japan presented its proposal for a possible harmonized statistical document for bigeye covering all the Oceans. There was a general discussion on the merits and demerits of the proposal. Based on these discussions, modifications were made to Japan's proposal and the revised document is attached for consideration by RFMOs (see attached **Appendix 8**).

Canada, the European Community and the United States presented a proposal on recommendations to refer to the RFMOs, including objectives for trade tracking programs and ideas for best practices. The working group modified the document and the revised version is attached for consideration by RFMOs (see attached **Appendix 9**).

El Salvador, Mexico, Guatemala, and Panama presented a proposal on how to track purse seine catches from vessel to market. The document was revised based on the discussion and is attached for consideration by RFMOs (see attached **Appendix 10**).

8. Future work, including possible development of catch documentation including tagging systems

Parties agreed that there was a need to move toward a CDS in tuna RFMOs, particularly for bluefin tuna. However, Parties expressed different views regarding which other species need to be covered by a CDS and how quickly the transition should occur. Some Parties stated that all species should move to a CDS as quickly as possible. Others noted that CDS would be an ultimate goal, but in the meantime, improvements and harmonization of the current SDPs should be pursued. There was some concern expressed regarding the resource implications for CDSs for developing states, though it was stated that capacity building assistance could help. Parties also briefly discussed using the AIDCP program as a model for how to link catch to trade.

Some Parties who use tagging programs described those programs for the working group. It was noted that tagging, especially of bluefin, can be an important component of any CDS, where effective and feasible. Parties did state that tagging may not be appropriate for all species, but this should be further analyzed.

Australia presented a proposal they have submitted to the CCSBT for a CDS and tagging program for bluefin (see attached **Appendix 11**). The proposal has three main components: 1) a catch documentation scheme, 2) tagging requirement and 3) general requirements including enforcement aspects and movement to an electronic system.

9. Other matters

No other matters were discussed.

10. Adoption of the report

The report of the meeting was adopted by consensus.

11. Adjournment

The Chair thanked the Parties for their hard work over the past two days. In addition, he thanked the interpreters and the ICCAT Secretariat for their help throughout the meeting.

The Parties thanked the Chair for his efforts during the meeting.

The meeting was adjourned.

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Appendix 2

AGENDA

1. Opening of the meeting
2. Election of Chair
3. Appointment of Rapporteur
4. Adoption of the Agenda and meeting arrangements
5. Review of current trade and/or catch documentation schemes currently in place in RFMOs
6. Proposals for harmonization and improvement of current programs
7. Possible recommendations to RFMOs
8. Future work, including possible development of catch documentation including tagging system
9. Other matters
10. Adoption of the Report
11. Adjournment

ICCAT STATISTICAL DOCUMENT PROGRAMS

ICCAT Secretariat

1. Introduction

The ICCAT Statistical Document Programs (SDP) constitute a trade tracking scheme, rather than a catch documentation scheme. The original aim of the SDP was to improve the quality of information on bluefin tuna catches, in particular of the non-Contracting Parties' vessels that were not reported to ICCAT. Since then, these instruments have been extended to bigeye tuna and swordfish and have become supporting instruments for the general measures of control and compliance.

The first statistical documentation scheme for bluefin tuna of the Atlantic (BTSD), was adopted in 1992 for frozen products (Recommendation 92-01), and extended to fresh products in 1993 (Recommendation 93-03). In 2001, similar programs were adopted for swordfish (SWOSD) and bigeye tuna (BETSD) (Recommendations 01-21 and 01-22). Between 1993 and 2003, several instruments were adopted on specific points, but there has been no general modification of the basic structure of the programs.

The ICCAT system requires exporters to submit the trade documents for shipments harvested in any ocean, not only the Atlantic, although less information is required if the catches are taken outside the ICCAT Convention area.

2. Implementation

The implementation of the SDPs includes:

- 1) Requiring, unless specifically exempted by the relevant ICCAT management measures (see below), the importation of all bluefin tuna, all swordfish and frozen bigeye tuna to be accompanied by a validated Statistical Document which meets the requirements specified in the ICCAT measures. Re-exported fish and fish products should be accompanied by a validated Re-export Certificate, together with a copy of the Statistical Document which accompanied the original shipment.
- 2) Provision to the Executive Secretary of sample forms of statistical documents and re-export certificates, and information on authorities authorized to validate such documents. The authorities of the importing countries should verify the seals, and signatures if applicable, available on a password protected web site at ICCAT.
- 3) Compilation of import and export data collected under the Program.
- 4) Presentation, in the ICCAT format, of bi-annual reports of data collected by importing CPCs. Such data may be in aggregated form, as data are not required to be submitted at individual document level.
- 5) Comparison of export data with the bi-annual reports received and reporting of the results to the Commission.

The attached chart shows the flow of information within the Programs.

3. Exemptions

Certain exemptions are specified in the ICCAT management measures, as follows:

Bluefin tuna

Each Bluefin Tuna Statistical Document shall be validated by a government official unless all bluefin tuna available for sale:

- a) are tagged by the exporting state or entity;
- b) are recorded in an ICCAT-accepted logbook; or
- c) are recorded in an ICCAT-accepted information retrieval system.

In the case of (b) and (c), validation by an institution accredited by the government is required.

Bigeye tuna

Bigeye tuna caught by purse seiners and pole and line (bait) vessels and destined principally for the canneries in the Convention area are not subject to this statistical document requirement.

The Bigeye Tuna Statistical Document Program currently applies only to frozen bigeye.

All species

Statistical documents for bluefin tuna [bigeye tuna and swordfish] caught by fishing vessels flying the flag of a Member State of the European Community may be validated by the competent authorities of the Member State whose flag the vessel flies or by those of a different Member State where the products are landed, provided the corresponding quantities of bluefin tuna are exported outside the Community from the territory of the Member State of landing. [Rec. 98-12; Rec. 01-21 and Rec. 01-22].

ICCAT Recommendations and Resolutions

The following is a list of ICCAT Recommendations and Resolutions relating directly to the ICCAT Statistical Document Programs. Copies of the Statistical Documents, Re-Export Certificates extracted from these measures are attached.

List of ICCAT Recommendations and Resolutions relating to the SDPs

| | | |
|---------|-----|--|
| 2006-16 | Rec | Recommendation by ICCAT on an Electronic Statistical Document Pilot Program |
| 2006-15 | Rec | Recommendation by ICCAT on Additional Measures for Compliance of the ICCAT Conservation and Management Measures |
| 2003-19 | Rec | Recommendation by ICCAT concerning the amendment of the forms of the ICCAT bluefin/bigeye/swordfish statistical documents |
| 2001-23 | Res | Supplemental Resolution by ICCAT concerning the ICCAT Bigeye Tuna Statistical Document Program |
| 2001-22 | Rec | Recommendation by ICCAT establishing a Swordfish Statistical Document Program |
| 2001-21 | Rec | Recommendation by ICCAT concerning the ICCAT Bigeye Tuna Statistical Document Program |
| 2000-22 | Rec | Recommendation by ICCAT on establishing Statistical Document Programs for swordfish, bigeye tuna, and other species managed by ICCAT |
| 1998-12 | Rec | Recommendation by ICCAT on validation of the Bluefin Tuna Statistical Document by the European Community |
| 1997-04 | Rec | Recommendation by ICCAT concerning the implementation of the ICCAT Bluefin Tuna Statistical Document Program on re-export |
| 1996-10 | Rec | Recommendation by ICCAT on the validation of Bluefin Statistical Documents between ICCAT Contracting Parties which are members of the European Community |
| 1994-05 | Res | Resolution by ICCAT concerning the effective implementation of the ICCAT Bluefin Tuna Statistical Document Program |
| 1994-04 | Res | Resolution by ICCAT on interpretation and application of the ICCAT Bluefin Tuna Statistical Document Program |
| 1993-03 | Rec | Recommendation by ICCAT concerning the implementation of the ICCAT Bluefin Tuna Statistical Document Program on fresh products |
| 1993-02 | Res | Resolution by ICCAT concerning validation by a government official of the Bluefin Tuna Statistical Document |
| 1992-01 | Rec | Recommendation by ICCAT concerning the ICCAT Bluefin Tuna Statistical Document Program |

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|--|--|------------------------|----------------------------------|---------------------------|------------------------|--|
| DOCUMENT NUMBER | ICCAT BLUEFIN TUNA STATISTICAL DOCUMENT | | | | | |
| | <input type="checkbox"/> Capture | | <input type="checkbox"/> Farmed | | | |
| EXPORT SECTION: | | | | | | |
| 1. FLAG COUNTRY/ENTITY/FISHING ENTITY | | | | | | |
| 2. DESCRIPTION OF VESSEL (if applicable) | | | | | | |
| Vessel Name | Registration Number | LOA (m) | ICCAT Record No. (if applicable) | | | |
| 3. TRAPS OR FARMS (if applicable) | | | | | | |
| Name and Address | | | | | | |
| 4. POINT OF EXPORT (City, State/Province, Country/Entity/Fishing Entity) | | | | | | |
| 5. DESCRIPTION OF FISH | | | | | | |
| Product Type ^a | Time of Harvest | Gear Code ^b | Area of Catch ^c | Net Weight | Tag Number | |
| <i>F/FR RD/GG/DR/FL/OT</i> | <i>(mm/yy)</i> | | | <i>(kg)</i> | <i>(if applicable)</i> | |
| | | | | | | |
| | | | | | | |
| ^a F=Fresh, FR=Frozen, RD=Round, GG=Gilled & Guttled, DR=Dressed, FL=Fillet, OT=Others (Describe the type of product:) ^b When the Gear Code is OT, describe the type of gear:) ^c Ocean area (e.g., east/west Atlantic, Mediterranean, Pacific) | | | | | | |
| 6. EXPORTER CERTIFICATION: | | | | | | |
| I certify that the above information is complete, true and correct to the best of my knowledge and belief. | | | | | | |
| Name | Address | Signature | Date | License # (if applicable) | | |
| 7. GOVERNMENT VALIDATION: | | | | | | |
| I validate that the above information is complete, true and correct to the best of my knowledge and belief. | | | | | | |
| | | | Total weight of the shipment: | | kg | |
| Name & Title | | Signature | Date | Government Seal | | |
| IMPORT SECTION | | | | | | |
| 8. IMPORTER CERTIFICATION: | | | | | | |
| I certify that the above information is complete, true and correct to the best of my knowledge and belief. | | | | | | |
| Importer Certification (Intermediate Country/Entity/Fishing Entity) | | | | | | |
| Name | Address | Signature | Date | License # (if applicable) | | |
| Importer Certification (Intermediate Country/Entity/Fishing Entity) | | | | | | |
| Name | Address | Signature | Date | License # (if applicable) | | |
| Importer Certification (Final Destination of Shipment) | | | | | | |
| Name | Address | Signature | Date | License # (if applicable) | | |
| Final Point of Import: City | | State/Province | Country/Entity/Fishing Entity | | | |

FTSD Form: 2003

NOTE: IF A LANGUAGE OTHER THAN ENGLISH IS USED IN COMPLETING THIS FORM, PLEASE ADD THE ENGLISH TRANSLATION ON THIS DOCUMENT.

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|---|---|--|-------------------------------|----------------------------------|
| DOCUMENT NUMBER | ICCAT BLUEFIN TUNA RE-EXPORT CERTIFICATE | | | |
| RE-EXPORT SECTION: | | | | |
| 1. RE-EXPORTING COUNTRY/ENTITY/FISHING ENTITY | | | | |
| 2. POINT OF RE-EXPORT | | | | |
| 3. FARMS (if applicable) | | | | |
| 4. DESCRIPTION OF IMPORTED FISH | | | | |
| Product Type <i>F/FR RD/GG/DR/FL/OT</i> | Net Weight <i>(kg)</i> | Flag Country/ Entity/Fishing Entity | Date of import | |
| | | | | |
| | | | | |
| | | | | |
| 5. DESCRIPTION OF FISH FOR RE-EXPORT | | | | |
| Product Type <i>F/FR RD/GG/DR/FL/OT</i> | Net Weight <i>(kg)</i> | | | <input type="checkbox"/> Farmed |
| | | | | <input type="checkbox"/> Farmed |
| | | | | <input type="checkbox"/> Farmed |
| F=Fresh, FR=Frozen, RD=Round, GG=Gilled & Guttled, DR=Dressed, FL=Fillet, OT=Others (Describe the type of product:) | | | | |
| 6. EXPORTER CERTIFICATION: I certify that the above information is complete, true and correct to the best of my knowledge and belief. | | | | |
| Name | Address | Signature | Date | License # (if applicable) |
| | | | | |
| 7. GOVERNMENT VALIDATION: I validate that the above information is complete, true and correct to the best of my knowledge and belief. | | | | |
| | | | Total weight of the shipment: | kg |
| Name & Title | Signature | Date | Government Seal | |
| | | | | |
| IMPORT SECTION | | | | |
| 8. IMPORTER CERTIFICATION: I certify that the above information is complete, true and correct to the best of my knowledge and belief. | | | | |
| Importer Certification (Intermediate Country/Entity/Fishing Entity) | | | | |
| Name | Address | Signature | Date | License # (if applicable) |
| | | | | |
| Importer Certification (Intermediate Country/Entity/Fishing Entity) | | | | |
| Name | Address | Signature | Date | License # (if applicable) |
| | | | | |
| Importer Certification (Final Destination of Shipment) | | | | |
| Name | Address | Signature | Date | License # (if applicable) |
| | | | | |
| Final Point of Import: City | State/Province | Country/Entity/Fishing Entity | | |
| | | | | |

BFTSD Re-Export Certificate: 2003

NOTE: IF A LANGUAGE OTHER THAN ENGLISH IS USED IN COMPLETING THIS FORM, PLEASE ADD THE ENGLISH TRANSLATION ON THIS DOCUMENT.

| | | | | |
|--|--|--|--|--------------------------------|
| DOCUMENT NUMBER | | ICCAT BIGEYE TUNA RE-EXPORT CERTIFICATE | | |
| RE-EXPORT SECTION: | | | | |
| 1. RE-EXPORTING COUNTRY / ENTITY / FISHING ENTITY | | | | |
| 2. POINT OF RE-EXPORT | | | | |
| 3. DESCRIPTION OF IMPORTED FISH | | | | |
| | Product Type(*) F/FR RD/GG/DR/FL/OT | Net Weight (Kg) | Flag country/ Entity/Fishing Entity | Date of Import |
| | | | | |
| | | | | |
| | | | | |
| 4. DESCRIPTION OF FISH FOR RE-EXPORT | | | | |
| | Product Type(*) F/FR RD/GG/DR/FL/OT | Net Weight (Kg) | | |
| | | | | |
| | | | | |
| | | | | |
| * F=FRESH, FR=Frozen, RD=Round, GG=Gilled and Guttled, DR=Dressed, FL=Fillet OT=Other(Describe the type of product) | | | | |
| 5. RE-EXPORTER CERTIFICATION: I certify that the above information is complete, true and correct to the best of my knowledge and belief. | | | | |
| Name/Company Name | Address | Signature | Date | License Number (if applicable) |
| 6. GOVERNMENT VALIDATION: I validate that the above information is complete, true and correct to the best of my knowledge and belief. | | | | |
| Name & Title | Signature | Date | Government Seal | |
| IMPORT SECTION: | | | | |
| 7. IMPORTER CERTIFICATION: I certify that the above information is complete, true and correct to the best of my knowledge and belief. | | | | |
| Importer Certification (Intermediate Country / Entity / Fishing Entity) | | | | |
| Name | Address | Signature | Date | License # (if applicable) |
| Importer Certification (Intermediate Country / Entity / Fishing Entity) | | | | |
| Name | Address | Signature | Date | License # (if applicable) |
| Importer Certification (Intermediate Country / Entity / Fishing Entity) | | | | |
| Name | Address | Signature | Date | License # (if applicable) |
| Final Point of Import | | | | |
| City | State/Province | Country / Entity / Fishing Entity | | |

BET Re-Export Certificate: 2001

NOTE: IF A LANGUAGE OTHER THAN ENGLISH IS USED IN COMPLETING THIS FORM. PLEASE ADD THE ENGLISH TRANSLATION ON THIS DOCUMENT.

| | | | | |
|--|---|-------------------------------|--|---------------------------|
| DOCUMENT NUMBER | ICCAT SWORDFISH STATISTICAL DOCUMENT | | | |
| EXPORT SECTION: | | | | |
| 1. FLAG COUNTRY/ENTITY/FISHING ENTITY | | | | |
| 2. DESCRIPTION OF VESSEL (if applicable) | | | | |
| Vessel Name | Registration Number | LOA (m) | ICCAT Record No. (if applicable) | |
| 3. POINT OF EXPORT: | | | | |
| CITY, STATE OR PROVINCE | | COUNTRY/ENTITY/FISHING ENTITY | | |
| 4. AREA OF CATCH (Check one of the following) | | | | |
| (a) North Atlantic | | (b) South Atlantic | | (e) Indian |
| (c) Mediterranean | | (d) Pacific | | |
| * In case of (d) or (e) is checked, the items 5 and 6 below do not need to be filled out. | | | | |
| 5. DESCRIPTION OF FISH | | | | |
| Product Type ^a | Time of Harvest | Gear Code ^b | Net Weight | |
| <i>F/FR RD/GG/DR/FL/OT</i> | <i>(mm/yy)</i> | | <i>(kg)</i> | |
| | | | | |
| | | | | |
| | | | | |
| ^a F=Fresh, FR=Frozen, RD=Round, GG=Gilled & Gutted, DR=Dressed, FL=Fillet, ST=Steak, OT=Others (Describe the type of product: _____) ^a When the Gear Code is OT, describe the type of gear: _____) | | | | |
| 6. EXPORTER CERTIFICATION: For export to countries that have adopted the ICCAT alternative minimum size for swordfish the exporter must certify that the listed Atlantic swordfish are greater than 15 kg(33lb.) or if pieces, the pieces were derived from a swordfish weighing >15kg. | | | | |
| I certify that the above information is complete, true and correct to the best of my knowledge and belief. | | | | |
| Name | Address | Signature | Date | License # (if applicable) |
| 7. GOVERNMENT VALIDATION: | | | | |
| I validate that the above information is complete, true and correct to the best of my knowledge and belief. | | | | |
| Name & Title | Signature | Date | Total weight of the shipment: _____ kg | Government Seal |
| IMPORT SECTION | | | | |
| 8. IMPORTER CERTIFICATION: | | | | |
| I certify that the above information is complete, true and correct to the best of my knowledge and belief. | | | | |
| Importer Certification (Intermediate Country/Entity/Fishing Entity) | | | | |
| Name | Address | Signature | Date | License # (if applicable) |
| Importer Certification (Intermediate Country/Entity/Fishing Entity) | | | | |
| Name | Address | Signature | Date | License # (if applicable) |
| Importer Certification (Final Destination of Shipment) | | | | |
| Name | Address | Signature | Date | License # (if applicable) |
| Final Point of Import: City | State/Province | Country/Entity/Fishing Entity | | |

SWO Form: 2003

NOTE: IF A LANGUAGE OTHER THAN ENGLISH IS USED IN COMPLETING THIS FORM, PLEASE ADD THE ENGLISH TRANSLATION ON THIS DOCUMENT.

| | | | | |
|---|-------------------|--|-----------------------|--------------------------------|
| DOCUMENT NUMBER | | ICCAT SWORDFISH RE-EXPORT CERTIFICATE | | |
| RE-EXPORT SECTION: | | | | |
| 1. RE-EXPORTING COUNTRY/ENTITY/FISHING ENTITY | | | | |
| 2. POINT OF RE-EXPORT | | | | |
| 3. DESCRIPTION OF IMPORTED FISH | | | | |
| Product Type(*) | | Net Weight | Flag country/ | Date |
| F/FR | RD/GG/DR/FL/ST/OT | (Kg) | Entity/Fishing entity | of Import |
| | | | | |
| | | | | |
| 4. DESCRIPTION OF FISH FOR RE-EXPORT | | | | |
| Product Type(*) | | Net Weight | | |
| F/FR | RD/GG/DR/ST/FL/OT | (Kg) | | |
| | | | | |
| | | | | |
| * F=FRESH, FR=Frozen, RD=Round, GG=Gilled and Guttled, DR=Dressed, ST=Steak, FL=Fillet OT=Other(Describe the type of product) | | | | |
| 5. RE-EXPORTER CERTIFICATION: For export to countries/entities or fishing entities that have adopted the ICCAT alternative minimum size for swordfish, the exporter must certify that the listed Atlantic swordfish are greater than 15 kg (33 lb.) or if pieces, the pieces were derived from a swordfish weighing >15 kg. | | | | |
| I certify that above information is complete, true and correct to the best of my knowledge and belief. | | | | |
| Name | Company Name | Address | Signature | Date License # (if applicable) |
| 6. GOVERNMENT VALIDATION: I validate that above information is complete, true and correct to the best of my knowledge and belief. | | | | |
| Name & Title | Organization | Signature | Date | |
| IMPORT SECTION: | | | | |
| 7. IMPORT CERTIFICATION: I certify that above information is complete, true and correct to the best of my knowledge and belief. | | | | |
| Importer Certification (Intermediate Country / Entity / Fishing Entity) | | | | |
| Name | Address | Signature | Date | License #(if applicable) |
| Importer Certification (Intermediate Country / Entity / Fishing Entity) | | | | |
| Name | Address | Signature | Date | License #(if applicable) |
| Importer Certification (Intermediate Country / Entity / Fishing Entity) | | | | |
| Name | Address | Signature | Date | License #(if applicable) |
| Final Point of Import | | | | |
| City | State/Province | Country/Entity/Fishing Entity | | |

SWOSD Re-Export Certificate: 2001

NOTE: IF A LANGUAGE OTHER THAN ENGLISH IS USED IN COMPLETING THIS FORM, PLEASE ADD THE ENGLISH TRANSLATION ON THIS DOCUMENT.

INTER-AMERICAN TROPICAL TUNA COMMISSION
TUNA CATCH AND TRADE DOCUMENTATION SYSTEMS IN THE EASTERN PACIFIC OCEAN

1. The IATTC Bigeye Tuna Statistical Documentation System

Resolution C-03-01 is modeled closely on the ICCAT system for bigeye tuna. The system is obligatory for Contracting Parties, and non-Contracting Parties that import bigeye tuna have been asked to cooperate with the system. The system establishes the following requirements:

1. The system applies to all frozen bigeye tuna, except bigeye taken by purse-seine or pole-and-line and destined principally for canneries. (We understand that the systems of other tuna RFMOs exclude only tuna destined for canneries in their regions).
2. Statistical documents must be validated by an authorized person or institution of the flag or charter state.
3. Re-export certificates must be validated by authorized persons or institutions.
4. Sample documents must be provided to the Director and exchanged.
5. CPCs that import bigeye tuna provide six-monthly reports of data from the documents to the Director; these are circulated to other CPCs.
6. CPCs that export bigeye tuna are required to compare their export data with the reports provided by importing Parties, and report the results to the Commission annually.

The Commission staff distributes all information regarding the system via a secure page on the IATTC website.

Validation documents have been provided by Australia, Belize, China, Chinese Taipei, French Polynesia, Japan, Korea, New Zealand, Vanuatu and Venezuela.

The following import and re-export reports have been provided:

| | 2003 | 2004 | 2005 | 2006 |
|----------------|-----------|------------------------|------------------------|------------------------|
| Japan | Jul – Dec | Jan – Jun Jul – Dec | Jan – Jun Jul – Dec | |
| Korea | | Jan – Jun Jul – Dec | Jan – Jun Jul – Dec | Jan – Jun Jul – Dec |
| Chinese Taipei | Jul – Dec | Jul – Dec | Jan – Jun Jul – Dec | Jan – Jun Jul – Dec |
| United States | | | Jul – Dec | Jan – Jun Jul – Dec |

No export reports have yet been provided.

Addendums 1-5 to Appendix 4 contain sample copies of the various forms.

The Convention area of the Western and Central Pacific Fisheries Commission, established in 2004, overlaps with that of the IATTC, and the WCPFC has adopted its own statistical documentation system. **Addendum 6 to Appendix 4** contains a copy of the Australian Fish Export Statistical Document, which accommodates the overlap area.

2. The AIDCP Tuna Tracking System and Dolphin Safe Tuna System

The AIDCP operates a tuna tracking system, whose primary purpose is to segregate dolphin safe tuna from tuna that is not dolphin safe.

The system provides to the authorities of the unloading state a Tuna Tracking Form (**Addendum 7 to Appendix 4**), completed by the observer on board the vessel and signed by the chief engineer, which details the brine wells of a purse-seine vessel in which the catches from each set are stored, and categorizes the contents of the well as dolphin safe or non-dolphin safe tuna.

The purpose of this system is to enable dolphin safe tuna to be distinguished from non-dolphin safe tuna from the time it is caught to the time it is ready for retail sale. After the catches are unloaded, the national authority of the Party state where the tuna is processed is responsible for the tracking and verification of the dolphin-safe status of all such tuna, and for communicating the information to the Secretariat. The national authority of the unloading state may, at its discretion, issue a dolphin safe certificate (**Addendum 8 to Appendix 4**) for the tuna that has been tracked.

| | | | |
|--|---|-----------------------------------|---|
| DOCUMENT NUMBER | IATTC BIGEYE TUNA STATISTICAL DOCUMENT | | |
| EXPORT SECTION | | | |
| 1.FLAG OF COUNTRY/ENTITY/FISHING ENTITY | | | |
| 2.NAME OF VESSEL AND REGISTRATION NUMBER (when available) | | | |
| 3.TRAPS (if applicable) | | | |
| 4.POINT OF EXPORT (City, State / Province, Country / Entity / Fishing Entity) | | | |
| 5.AREA OF CATCH (check one of the following) (a) EPO(East of 150°W) (b) the rest of Pacific (c) Atlantic (d)Indian * In case of (b), (c) or (d) checked, the item 6 and 7 below do not need to be filled out. | | | |
| 6.DESCRPTION OF FISH | | | |
| Product Type (*1) | | Gear Code(*2) | Net Weight |
| F/FR | D/GG/DR/FL/OT | | (Kg) |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| *1= F=Fresh, FR=Frozen, RD=Round, GG=Gilled and Gutted, DR=Dressed, FL=Fillet OT=Other, describe the type of product *2= When the Gear Code is OT, describe the type of gear, _____. | | | |
| 7.EXPORTER CERTIFICATION <u>I certify that the above information is complete, true, and correct to the best of my knowledge and belief.</u> | | | |
| Name | Company name | Address | Signature Date License Number (if applicable) |
| 8.GOVERNMENT VALIDATION <u>I validate that information listed above is complete, true, and correct to the best of my knowledge and belief.</u> | | | |
| Total weight of the shipment _____ Kg | | Date Government Seal | |
| Name & Title | Signature | Date | Government Seal |
| IMPORT SECTION: | | | |
| IMPORTER CERTIFICATION <u>I certify that the above information is complete, true, and correct to the best of my knowledge and belief.</u> | | | |
| Importer Certification (Intermediate Country / Entity / Fishing Entity) | | | |
| Name | Address | Signature | Date License # (if applicable) |
| Importer Certification (Intermediate Country / Entity / Fishing Entity) | | | |
| Name | Address | Signature | Date License # (if applicable) |
| Final Point of Import | | | |
| City | State/Province | Country / Entity / Fishing Entity | |

NOTE: If a language other than English is used in completing this form. Please add the English translation on this document.

| | | | | |
|---|--|-----------------|--|----------------|
| DOCUMENT NUMBER | IATTC BIGEYE TUNA RE-EXPORT CERTIFICATE | | | |
| RE-EXPORT SECTION: | | | | |
| 1. RE-EXPORTING COUNTRY / ENTITY / FISHING ENTITY | | | | |
| 2. POINT OF RE-EXPORT | | | | |
| 3. DESCRIPTION OF IMPORTED FISH | | | | |
| F/FR | Product Type(*) RD/GG/DR/FL/OT | Net Weight (Kg) | Flag country/ Entity/Fishing Entity | Date of Import |
| | | | | |
| | | | | |
| | | | | |
| 4. DESCRIPTION OF FISH FOR RE-EXPORT | | | | |
| F/FR | Product Type(*) RD/GG/DR/FL/OT | Net Weight (Kg) | | |
| | | | | |
| | | | | |
| | | | | |
| * F=FRESH, FR=Frozen, RD=Round, GG=Gilled and Guttled, DR=Dressed, FL=Fillet OT=Other(Describe the type of product) | | | | |
| 5. RE-EXPORTER CERTIFICATION: <u>I certify that the above information is complete, true and correct to the best of my knowledge and belief.</u> | | | | |
| Name/Company Name Address Signature Date License Number (if applicable) | | | | |
| 6. GOVERNMENT VALIDATION: <u>I validate that the above information is complete, true and correct to the best of my knowledge and belief.</u> | | | | |
| Name & Title Signature Date Government Seal | | | | |
| IMPORT SECTION: | | | | |
| 7. IMPORTER CERTIFICATION: <u>I certify that the above information is complete, true and correct to the best of my knowledge and belief.</u> | | | | |
| Importer Certification (Intermediate Country / Entity / Fishing Entity) | | | | |
| Name Address Signature Date License # (if applicable) | | | | |
| Importer Certification (Intermediate Country / Entity / Fishing Entity) | | | | |
| Name Address Signature Date License # (if applicable) | | | | |
| Importer Certification (Intermediate Country / Entity / Fishing Entity) | | | | |
| Name Address Signature Date License # (if applicable) | | | | |
| Final Point of Import | | | | |
| City _____ State/Province _____ Country / Entity / Fishing Entity | | | | |

NOTE: If a language other than English is used in completing this form. Please add the English translation on this document.

REPORT OF THE IATTC BIGEYE TUNA STATISTICAL DOCUMENT

Period _____ to _____, _____ IMPORT COUNTRY/ENTITY/FISHING ENTITY
 Month Month Year

| Flag Country/Ent ity/Fishing Entity | Area Code | Gear Code | Point of Export | Product Type | | Product Wt.(Kg) |
|--|--------------|--------------|--------------------|--------------|--------------------|--------------------|
| | | | | F/FR | RD/GG/DR/FL/ OT | |
| | | | | | | |

Gear Code **Gear Type**

- BB Baitboat
- GILL Gillnet
- HAND Handline
- HARP Harpoon
- LL Longline
- MWT Mid-water trawl
- PS Purse seine
- RR Rod & reel
- SPHL Sport Handline
- SPOR Sport fisheries unclassified
- SURF Surface fisheries unclassified
- TL Tended line
- TRAP Trap
- TROL Troll
- UNCL Unclassified methods
- OTH Other type (Indicate the type of gear):

Product type

- F Fresh
- FR Frozen
- RD Round
- GG Gilled & gutted
- DR Dressed
- FL Fillet
- OT Other form, describe the type of products in the shipment

Area Code

- EPO Eastern Pacific Ocean
- RPO Rest of Pacific Ocean
- AT Atlantic
- ID Indian Ocean

REPORT OF THE IATTC BIGEYE TUNA RE-EXPORT CERTIFICATE

Period _____ to _____, _____ IMPORT COUNTRY/ENTITY/FISHING ENTITY
 Month Month Year

| Flag Country/Entity/Fishing Entity | Re-export Country/Entity/Fishing Entity | Point of Re-export | Product Type | | Product Wt.(Kg) |
|------------------------------------|---|--------------------|--------------|----------------|-----------------|
| | | | F/FR | RD/GG/DR/FL/OT | |
| | | | | | |

Product type

- F Fresh
- FR Frozen
- RD Round
- GG Gilled & gutted
- DR Dressed
- FL Fillet
- OT Other form, describe the type of products in the shipment

INFORMATION ON VALIDATION OF IATTC STATISTICAL DOCUMENTS

1 Flag

2 Government/Authority Organization(s) accredited to validate Statistical Documents

| Organization Name | Organization Address | Sample Seal |
|-------------------|----------------------|-------------|
| | | |
| | | |
| | | |

NOTE: For each organization, attach a list with the names, titles and addresses of the individuals authorized to validate Documents.

3 Other institutions accredited by the government/authority to validate Statistical Documents

| Organization Name | Organization Address | Sample Seal |
|-------------------|----------------------|-------------|
| | | |
| | | |
| | | |

NOTE: For each organization, attach a list with the names, titles and addresses of the individuals authorized to validate Documents.

Instructions

Contracting Parties, non-Contracting Parties, Entities, Fishing Entities having vessels that harvest species whose international trade must be accompanied by Statistical Documents are requested to submit the information on this sheet to the Director of the IATTC*, and to ensure that any changes to the above are also transmitted to the Secretary on a timely fashion.

*IATTC: 8604 La Jolla Shores Drive, La Jolla CA 92037-1508, USA



AUSTRALIAN FISH EXPORT STATISTICAL DOCUMENT

| | |
|-------------------------|--|
| DOCUMENT NUMBER: | SPECIES NAME: SWORDFISH / BIGEYE TUNA / ATLANTIC BLUEFIN TUNA (Circle specie/s to be exported) |
|-------------------------|--|

| | | | | | | | |
|---|--------------------|--------------------|-------------------|--------------------|--------------------|--------------------|------------------|
| CATCH / LANDING INFORMATION | | | | | | | |
| 1. FLAG COUNTRY OF CAPTURE VESSEL | | | | | | | |
| 2. NAME OF CAPTURE VESSEL(S) and REGISTRATION NUMBER(S) (IOTC Record No. & Length of Vessel where applicable) | | | | | | | |
| 3. POINT OF EXPORT | | City | | State | | Country: AUSTRALIA | |
| 4. AREA OF CATCH | (a) North Atlantic | (b) South Atlantic | (c) Mediterranean | (d) Pacific East * | (e) Pacific West * | (f) Pacific-Box* | (g) Indian Ocean |
| NOTE: If (d), (e) or (f) checked, items 5 and 6 need not be completed. If (g) checked, ONLY complete ITEMS 5 & 6 for frozen bigeye. * The Pacific Ocean is divided into east and west at 150°W, except the 'Pacific Box' that extends from 125° to 130°S and 130°W to 150°W. | | | | | | | |

| EXPORT SECTION | | | | | |
|--|---------------------|-------------------------------|---------------|-----------------|----------------------------|
| 5. DESCRIPTION OF FISH | | | | | |
| Species | Product (a) F/FR | Type (b) RD/GG/DR/FL/ST/OT | Gear Code (c) | Net Weight (kg) | Tag Number (if applicable) |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| (a): F=Fresh, FR=Frozen (b): RD=Round or whole, GG=Gilled and Gutted, DR=Dressed, FL=Filet, ST=Steak, OT=Other, describe the type of product. (c): When the Gear Code is OT, describe the type of gear. (d): Ocean area (eg: Pacific, Indian, east/west Atlantic) | | | | | |

6. EXPORTER CERTIFICATION. For export to countries that have adopted the ICCAT alternative minimum size for swordfish, the exporter must certify that the above listed Atlantic swordfish are greater than 15kg (33lb) or in places where derived from a swordfish weighing >15Kg.
I certify that the above information is complete, true and correct to the best of my knowledge and belief.

| | | | | | |
|------|--------------|---------|-----------|------|--------------------------------|
| Name | Company Name | Address | Signature | Date | Licence Number (if applicable) |
|------|--------------|---------|-----------|------|--------------------------------|

7. GOVERNMENT VALIDATION. *I being an authorised signatory approved by the Australian Government Department of Agriculture, Fisheries and Forestry, certify that the above information is complete, true and correct to the best of my knowledge and belief.*

| | | | |
|---------|-----------------|-----------|--|
| Name | | Title | Accredited Seal of Authorised Government Agent |
| Address | | | |
| Date | Net Weight (Kg) | Signature | |

8. IMPORT SECTION: *I certify that the above export information is complete, true, and correct to the best of my knowledge and belief.*

| | | | | |
|---|------|----------------|-----------|--------------------------------|
| Final Point of Import | City | State/Province | Country | Date |
| Importer Certification (Intermediate Country) (if applicable) | | | | |
| Name | | | Date | Licence Number (if applicable) |
| Address | | | Signature | |
| Importer Certification (Final Destination of Shipment) | | | | |
| Name | | | Date | Licence Number (if applicable) |
| Address | | | Signature | |



Certificate No. TEST 1234567890

AIDCP Dolphin Safe Tuna Certificate

This document certifies that the tuna or tuna products associated with it, and with the Tuna Tracking Forms (TTFs) indicated herein, were harvested by a vessel of a Party to the Agreement on the International Dolphin Conservation Program (AIDCP), meet the *dolphin safe* standards established pursuant to the AIDCP, and may bear the *AIDCP Dolphin Safe* Certification Mark. For verification of this certification, or for information on the AIDCP, contact the AIDCP Secretariat, c/o Inter-American Tropical Tuna Commission, 8604 La Jolla Shores Drive, La Jolla CA 92037-1508, USA; Tel: 858 546 7100; Fax: 858 546 7133; www.iattc.org; or by e-mail to dsafemaster@iattc.org

See instructions on reverse

| A. | Whole frozen weight: | | |
|---------------|----------------------|--------------------|----|
| | TTF number | Weight (all tunas) | |
| 1. | | | MT |
| 2. | | | MT |
| 3. | | | MT |
| 4. | | | MT |
| 5. | | | MT |
| 6. | | | MT |
| 7. | | | MT |
| 8. | | | MT |
| 9. | | | MT |
| 10. | | | MT |
| Total: | | | MT |

| B. Primary processing and total weight of the tuna associated with this certificate: | | |
|--|---------|----|
| Primary processing type: | Weight: | |
| | | MT |
| | | MT |
| Lot number: | | |

| C. Certification by AIDCP Competent National Authority: | |
|---|---------------|
| The competent national authority authorizes the bearer of this Certificate to utilize the <i>AIDCP Dolphin Safe</i> Certification Mark on the packaging of any product containing tuna specifically associated with this Certificate. | |
| Signature: | SEAL or STAMP |
| Name: | |
| Agency: | |
| Date (day-month-year): | |

CCSBT SOUTHERN BLUEFIN TUNA STATISTICAL DOCUMENT PROGRAM

Updated November 2006

1. Principle/General

- 1.1 For importation into the territory of a Member, all southern bluefin tuna shall be accompanied by a CCSBT Southern Bluefin Tuna Statistical Document. There is no waiver of this requirement.
- 1.2 Implementation of this Program shall be in conformity with relevant international obligations.
- 1.3 The Commission will review the implementation of this Program periodically in a timely manner to ensure the effectiveness and practicability of this Program.
- 1.4 The Commission requests the appropriate authorities of exporting countries/fishing entities to make the requirements under this Program known to their exporters.

2. Information Required

- 2.1 A standard CCSBT Southern Bluefin Tuna Statistical Document form along with its Instruction Sheet is at **Addendum 1 to Appendix 5**. Countries/Fishing Entities are requested to use this form. While minimal modifications such as addition of translations may be made, the standard form should be adopted as far as possible and no information item may be omitted from the standard form. The form must be completed and checked in accordance with the minimum standards at **Addendum 5 to Appendix 5**.
- 2.2 The import of farmed tuna should be treated in the following way:
 - (a) The Southern Bluefin Tuna Statistical Document shall be validated by the authority of the country/fishing entity where the tuna was raised;
 - (b) In reporting import data collected by the Program under 5.2 to Members, the Executive Secretary shall record the amount of imported farmed fish separately from the rest of the imports for each country/fishing entity;
 - (c) When completing the CCSBT Southern Bluefin Tuna Statistical Document for farmed tuna, the name of the export country/fishing entity shall be indicated in item 1 of Export Section of each Document instead of "Flag Country/Fishing Entity of Capture Vessel", and the name of the Tuna Farm shall be indicated in item 2 of Export Section of each Document instead of "Name of Vessel and Registration Number"; for item 6 (Description of Fish) of Export Section of each Document, "Gear Code" shall be "Farmed", "Net Weight" shall be filled in with the raised products' weight, and "Time of Harvest" and "Area of Catch" are not necessary to be filled in while other columns shall be filled in as in the case of the normal Document;
 - (d) Members shall maintain aggregated information on their tuna farms which raise exported tuna. The following information will be recorded: the name of the fishing vessel which caught the tuna for farming, the flag country/fishing entity of that fishing vessel, the gear code, the amount of original catch, the area of catch, the date of reception of tuna, and growth rate and mortality rate of fish through farming.
 - (e) Members shall submit such information to the Secretariat every six months on average. Urgent requests for information outside this framework should be substantiated to the Commission by the requesting Member in order to minimise the burden of such requests.

3. Validation

- 3.1 The CCSBT Southern Bluefin Tuna Statistical Document shall be validated, in principle, by an official of the flag country/fishing entity of the vessel that harvested the tuna.

- 3.2 The requirement for validation of the Southern Bluefin Tuna Statistical Document by an official under 3.1 with respect to any member of the Commission may be met by an entity duly delegated by the authority of the flag country/fishing entity. The Member which utilizes a delegated entity should submit a certified copy of such delegation to the Executive Secretary.

4. Exchange of Information

- 4.1 If a Member modifies the standard Southern Bluefin Tuna Statistical Document form for its use, it shall provide to the Executive Secretary a copy of such modified form. The Executive Secretary shall provide the modified form to other Members and non-Members fishing and exporting southern bluefin tuna to Members.
- 4.2 Each Member shall provide to the Executive Secretary information on validation (e.g. type of validation, name of the organization which validates the documents, title of officials who validate the documents, sample impression of stamp or seal) and inform him of any change in a timely fashion. The Executive Secretary shall request information on validation from all non-Members fishing and exporting southern bluefin tuna to Members, and request them to inform him in a timely fashion of any change in the information provided.
- 4.3 The Executive Secretary shall maintain and update information specified in 4.1 and 4.2, and provide it to all Members and promptly circulate any changes.

5. Record and Report

- 5.1 Members which import southern bluefin tuna shall retain all original Southern Bluefin Tuna Statistical Documents received by them. They shall forward to the Executive Secretary on a quarterly basis copies of all such Documents, but may omit the Import Section other than the final point of import and the date of import. The Executive Secretary shall compile the raw data from those Documents into an electronic database.
- 5.2 The Executive Secretary shall ensure the confidentiality of the raw data in its database and release to any country/fishing entity only the raw data relating to the Statistical Documents it validated. If a country/fishing entity requests raw data relating to another country/fishing entity, the Executive Secretary may release those data only with the latter's agreement.
- 5.3 The Executive Secretary shall report to the Commission on and circulate to all Members the data collected by the Program each year by 1 June for the period of 1 July- 31 December of the preceding year and by 1 December for the period of 1 January -30 June of the current year. The formats of the reports are attached as **Addendum 2 to Appendix 5** and **Addendum 2a to Appendix 5**. The Executive Secretary shall provide an electronic copy of the report only to a designated authority of each Member. The Secretariat will post on the CCSBT web site a subset of the report comprising:
- Import country,
 - Flag country,
 - Harvest year,
 - Gear code,
 - Net weight.
- 5.4 On request by the Scientific Committee or another subsidiary body of the Commission, the Executive Secretary shall, with the approval of the Commission, provide to that body data collected by the Program more frequently or at a greater level of detail than specified in 5.3.
- 5.5 Upon receiving the import data mentioned in 5.3, Members that export SBT shall check their export statistics against them and report the results to the Commission. Where necessary, an exporting Member may obtain from the Secretariat a copy of any Statistical Document it validated, as forwarded to the Secretariat by the importing Member in accordance with 5.1.
- 5.6 The Commission instructs the Executive Secretary to request non-Members which are major importing countries/fishing entities of southern bluefin tuna to cooperate with implementation of the Program and to provide to the Commission data obtained from such implementation.

- 5.7 Subject to 5.9, exporting countries/fishing entities shall keep an electronic record of all SDP documents that they issue. For each SDP document issued, the electronic record will contain the:
- Unique document number,
 - Whether the document was for captured or farmed SBT,
 - Date of export,
 - Total net weight of SBT exported,
 - Destination (import) country,
 - It would also be useful to record the range of capture dates (e.g. Jan 2002 to Aug 2002) for captured SBT to provide more timely data for stock assessment purposes.
- 5.8 Subject to 5.9, exporting countries/fishing entities shall provide an electronic copy of the record from 5.7 to the Executive Secretary. The record shall be provided by 1 May for all exports for the period of 1 July to 31 December of the preceding year and by 1 October for all exports for the period of 1 January to 30 June of the current year.
- 5.9 Exporting countries/fishing entities shall be exempted from 5.7 and 5.8 if they fax copies of all SDP documents to the Executive Secretary. Faxed copies of SDP documents shall be sent within 30 days of the export.
- 5.10 The Executive Secretary shall compare data provided in 5.8 and 5.9 against SDP data received from importing members. The Executive Secretary shall notify the importing members of any missing documents and the importing Member shall attempt to locate and provide those documents. The Executive Secretary shall also notify the exporting country/fishing entity of any discrepancies identified during the comparison of data and the exporting country/fishing entity will attempt to resolve the discrepancies.

6. Re-export

- 6.1 A Member may validate a CCSBT Southern Bluefin Tuna Re-export Certificate (a standard form is attached as **Annex 3**) for southern bluefin tuna imported by that Member, to which a CCSBT Southern Bluefin Tuna Statistical Document or CCSBT Southern Bluefin Tuna Re-export Certificate is attached. The CCSBT Southern Bluefin Tuna Re-export Certificate shall be validated by an official or by an entity duly delegated by the authority of a Member to validate the CCSBT Southern Bluefin Tuna Statistical Document under 3.2.

A copy of the original Southern Bluefin Tuna Statistical Document accompanying the imported southern bluefin tuna must be attached to CCSBT Southern Bluefin Tuna Re-export Certificate. The copy of original Southern Bluefin Tuna Statistical Document so attached must be verified by that official or by that entity duly delegated by the authority of a Member which validate the CCSBT Southern Bluefin Tuna Statistical Document. When re-exported southern bluefin tuna is again re-exported, all copies of documents, including verified copy of a Statistical Document and Re-export Certificate which accompanied that southern bluefin tuna upon importation, must be attached to a new Re-export Certificate to be validated by a re-exporting Member. All copies of the Documents to be attached to that new Re-export Certificate must also be verified by an official or an entity duly delegated by the authority of a Member which validated the CCSBT Southern Bluefin Tuna Statistical Document.

- 6.2 Members which import southern bluefin tuna shall accept the Re-export Certificate set forth in 6.1 with attachments of all verified copies as required in 6.1.
- 6.3 Members that validate a Re-export Certificate in accordance with the procedure set forth in 6.1 shall require from the re-exporting southern bluefin tuna dealer necessary documents (e.g. written sales contracts) which are to certify that the southern bluefin tuna to be re-exported corresponds to the imported southern bluefin tuna. Members which validate a Re-export Certificate shall provide the flag country/fishing entity and importing country with evidence of this correspondence upon their request.
- 6.4 The Executive Secretary shall report on and circulate to all Members the data obtained from Re-export Certificates each year by 1 April for the period of 1 July - 31 December of the preceding year and by 1 October for the period of 1 January - 30 June of the current year. The format of the report is attached as **Addendum 4 to Appendix 5**.

- 6.5 Members may accept a Re-export Certificate validated by a non-Member which has established a scheme substantially identical to the CCSBT Southern Bluefin Tuna Statistical Document Program and implements it in accordance with the requirements of the Program.
- 6.6 The provisions of 5.1 and 5.2 apply also to any Re-export Certificate required to be attached to a Southern Bluefin Tuna Statistical Document.

Addendum 1 to Appendix 5

CCSBT Southern Bluefin Tuna Statistical Document Instruction Sheet

If a language other than English is used in completing the form, please add the English translation on the Document.

Document Number

Fill in the document number allocated by the exporting country/fishing entity.

Title

Tick the appropriate box.

Export Section

1. Flag Country/Fishing Entity of Capture Vessel

Fill in the name of the country/fishing entity of the registration of the vessel that harvested the southern bluefin tuna in the shipment. This should be the same country/fishing entity as issued this Document. *In case of farmed fish, the name of exporting country/fishing entity should be filled in instead of the name of the country/fishing entity of the vessel.*

2. Name of Vessel and Registration Number (when available)

Fill in the name and registration number of the vessel that harvested the southern bluefin tuna in the shipment. *In case of farmed fish, the name of tuna farm should be filled in instead of the name and registration number of the vessel.*

3. Information of Other Forms of Capture (eg. Trap)

If the southern bluefin tuna in the shipment was caught by means other than the vessel (eg. Trap), fill in the means.

4. Processing Establishment

Fill in the name and address of the processing establishment which processed the southern bluefin tuna in the shipment (if applicable). If it is the same as the exporter, write "same as exporter".

5. Point of Export (City, State or Province and Country/Fishing Entity)

Identify the City, State or Province and Country/Fishing Entity from which the southern bluefin tuna was exported.

6. Description of Fish

The exporter must provide, to the highest degree of accuracy, the following information. NOTE: One row should describe one product type.

- (1) product: Identify the type of product being shipped as either FRESH (F) or FROZEN (FR),
- (2) type: Identify the type of product being shipped as either ROUND (RD), GILLED AND GUTTED (GG), DRESSED (DR), FILLET (FL) or OTHER form (OT); for OTHER, describe the type of products in the shipment,
- (3) time of harvest: Fill in the time of harvest (in month and year) of the southern bluefin tuna in the shipment; *in case of farmed fish, it is not necessary to fill in this column,*
- (4) gear code: Identify the gear type which was used to harvest the southern bluefin tuna using the list below; for OTHER TYPE, describe the type of gear; *in case of farmed fish, write "Farmed",*

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

- (5) area of catch: Identify the area in which the southern bluefin tuna was harvested using numbers from 1 to 13 (see the map attached); *in case of farmed fish, it is not necessary to fill in this column,*
- (6) net weight: Net product weight in kilograms; *in case of farmed fish, fill in the raised product's weight,*
- (7) no. of fish: If type is RD, GG or DR, fill in the number of fish.

7. Exporter Certification

The person or company exporting the southern bluefin tuna shipment must provide his/her/its name, address, signature, date the shipment was exported, and dealer license number (if applicable).

8. Validation by Authority

Fill in the name and full title of the official signing the Document. The official must be in the employment of the competent authority of the flag state/fishing entity of the vessel that harvested the southern bluefin tuna appearing on the Document. This requirement with respect to any Member of the Commission may be met by an entity duly delegated by the authority of the flag country/fishing entity. The Member which utilizes a delegated entity should submit a certified copy of such delegation to the Executive Secretary.

Import Section

The person or company that imports southern bluefin tuna must provide his/her/its name, address, signature, date on which the southern bluefin tuna was imported, licence number (if applicable) and final point of import. This includes imports into intermediate country (if applicable). For fresh and chilled product, the signature of the importer may be substituted by a person of a customs clearance company when the authority for signature is properly accredited to it by the importer.

Note: Instructions relating to farmed fish are written in italic letters.

Half-yearly Report of the CCSBT Southern Bluefin Tuna Statistical Document

Period ____ to ____, ____ Import Country _____
 month month year

| Flag Country/ Fishing Entity | Area Code | Time of Harvest | Gear Code | Point of Export | Product F/FR | Type RD/GG/DR/FL/OT | Product Weight (kg) | No. of Fish |
|---------------------------------|-----------|--------------------|-----------|-----------------|-----------------|------------------------|------------------------|----------------|
| | | | | | | | | |

| <u>GEAR CODE</u> | <u>GEAR TYPE</u> | <u>Product</u> | |
|------------------|---|------------------|--|
| BB | Baitboat | F | Fresh |
| GILL | Gillnet | FR | Frozen |
| HAND | Handline | | |
| HARP | Harpoon | | |
| LL | Longline | <u>Type</u> | |
| MWT | Mid-water Trawl | RD | Round |
| PS | Purse Seine | GG | Gilled and Guttled |
| RR | Rod and Reel | DR | Dressed |
| SPHL | Sport Handline | FL | Filet |
| SPOR | Sport Fisheries Unclassified | OT | Other |
| SURF | Surface Fisheries Unclassified | | |
| TL | Tended Line | <u>Area Code</u> | |
| TRAP | Trap | 1 to 10 | SBT Statistical Areas |
| TROL | Troll | 11 to 13 | Other areas (the Atlantic, the Pacific and Indian Ocean, respectively) |
| UNCL | Unspecified Method | | |
| OT | Other Type (indicate the type of gear): _____ | | |

Addendum 3 to Appendix 5

| | | | | |
|---|--|-----------|---------------------------------|-----------------------------------|
| DOCUMENT NUMBER | CCSBT SOUTHERN BLUEFIN TUNA RE-EXPORT CERTIFICATE | | | |
| RE-EXPORT SECTION: | | | | |
| 1. RE-EXPORTING COUNTRY/FISHING ENTITY | | | | |
| 2. POINT OF EXPORT (CITY, STATE OR PROVINCE AND COUNTRY/FISHING ENTITY) | | | | |
| 3. PROCESSING ESTABLISHMENT (if applicable) | | | | |
| NAME AND ADDRESS | | | | |
| 4. DESCRIPTION OF IMPORTED FISH | | | | |
| Product (a) | Type (b) | Weight | Flag Country/ Fishing Entity | Imported Date |
| F/FR | RD/GG/DR/FL/OT | (kg) | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| (a) F=Fresh, FR=Frozen | | | | |
| (b) RD=Round, GG=Gilled and Guttred, DR=Dressed, FL=Fillet, OT=Other (describe the type of product; .) | | | | |
| 5. DESCRIPTION OF RE-EXPORTING FISH | | | | |
| Product (a) | Type (b) | Weight | | |
| F/FR | RD/GG/DR/FL/OT | (kg) | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| (a) F=Fresh, FR=Frozen | | | | |
| (b) RD=Round, GG=Gilled and Guttred, DR=Dressed, FL=Fillet, OT=Other (describe the type of product; .) | | | | |
| 6. RE-EXPORTER CERTIFICATION <u>I certify that the above information is complete, true, and correct to the best of my knowledge and belief.</u> | | | | |
| Name | Address | Signature | Date | Licence Number (if applicable) |
| | | | | |
| 7. VALIDATION BY AUTHORITY <u>I validate that the information listed above is complete, true, and correct to the best of my knowledge and belief.</u> | | | | |
| Name & Title | Signature | Date | Official Seal | |
| | | | | |
| IMPORT SECTION: | | | | |
| IMPORT SECTION <u>I certify that the above information is complete, true, and correct to the best of my knowledge and belief.</u> | | | | |
| Importer Certification (Intermediate Country) (if applicable) | | | | |
| Name | Address | Signature | Date | Licence no (if applicable) |
| | | | | |
| Importer Certification (Intermediate Country) (if applicable) | | | | |
| Name | Address | Signature | Date | Licence No (if applicable) |
| | | | | |
| Importer Certification (Final Destination of Shipment) | | | | |
| Name | Address | Signature | Date | Licence No (if applicable) |
| | | | | |
| Final Point of Import: City _____ State or Province _____ Country/Fishing Entity _____ | | | | |

NOTE 1: The organization/person which validates the Re-export Certificate should verify the copy of original CCSBT Southern Bluefin Tuna Statistical Document. Such a verified copy of original Southern Bluefin Tuna Statistical Document must be attached to the Re-export Certificate. When southern bluefin tuna is re-exported more than twice, all verified copies of concerned Re-export Certificates must be also attached to a Re-export Certificate.

NOTE 2: If a language other than English is used in completing this form, please add the English translation on this Document.

Half-yearly Report of the CCSBT Southern Bluefin Tuna Re-export Certificate

Period ____ to ____, ____ Import Country _____
 month month year

| Flag Country/ Fishing Entity | Re-export Country | Point of Export | Product F/FR | Type RD/GG/DR/FL/OT | Product Weight (kg) |
|---------------------------------|----------------------|-----------------|-----------------|------------------------|------------------------|
| | | | | | |

Minimum Standards for completion of CCSBT Statistical Documents

1. Responsibility of Exporter and Exporting Country/Fishing Entity

- 1.1. The exporter is responsible for completing the export section of the statistical document (except for item 9 - validation) and the source of the product (captured or farmed).
- 1.2. The exporting country/fishing entity is responsible for enforcing correct completion of each statistical document. The export section (items 1-9), the document number and the source of the product (captured or farmed) must be correctly completed in accordance with the instruction sheet of Annex 1.
- 1.3. The exporting country/fishing entity must ensure that the validator is responsible for checking that the statistical document is fully completed and is correct. The validation section of the statistical document should only be completed and the export approved when this check has been conducted and the statistical document has been determined to be complete and correct.

2. Responsibility of Importer and Importing Country/Fishing Entity

- 2.1. The importer is responsible for completing the import section of the statistical document.
- 2.2. The importing country/fishing entity is responsible for enforcing correct completion of the import section of each statistical document. The import section must be correctly completed in accordance with the instruction sheet of Annex 1.
- 2.3. If any information specified in 1.2 is missing, illegible or incorrect, the importing member country/fishing entity should report such deficiencies to the Secretariat. The reports will be provided to the Secretariat on a quarterly basis. The report will include the document number in question and identify the missing, illegible and/or incorrect information.

3. Responsibility of the Executive Secretary

- 3.1. The Executive Secretary will monitor the accuracy and completeness of all statistical documents received.
- 3.2. When information on SDP documents is found to be missing or inaccurate, the Executive Secretary will contact the countries/fishing entities involved¹ to advise them of what they are required to provide and to request that the missing/inaccurate information be provided or corrected². If the requested information is not supplied within an appropriate time frame, or if information is repeatedly omitted by a country/fishing entity, the Executive Secretary will refer the matter to the Extended Commission for consideration.

Note 1. This will be the export country/fishing entity for all items of information except the import section, which will be the import country.

Note 2. It is expected that the exporting country/fishing entity would take appropriate action against the exporting company/validators if information is repeatedly omitted.

COFI:FT/IX/2004/8

November 2003



منظمة الأغذية
والزراعة
للأمم المتحدة

联合国
粮食及
农业组织

Food
and
Agriculture
Organization
of
the
United
Nations

Organisation
des
Nations
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pour
l'alimentation
et
l'agriculture

Organización
de las
Naciones
Unidas
para la
Agricultura
y la
Alimentación

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| COMMITTEE ON FISHERIES |
| SUB-COMMITTEE ON FISH TRADE |
| Ninth Session |
| Bremen, Germany, 10-14 February 2004 |
| Agenda Item 10 |
| HARMONIZATION OF CATCH DOCUMENTATION |

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INTRODUCTION

1. The issue of catch certification has been discussed in many venues over the last few years, including in the FAO Committee on Fisheries (COFI). The wording of the COFI Report in February 2001 reflects this continuing concern in the following manner.

"51. It was agreed that the agenda for the Eighth Session of the COFI Sub-Committee on Fish Trade should also include an item on the feasibility and practicality of harmonizing catch certification used by some regional fisheries management bodies. It was pointed out that, with the aim to prepare suitable recommendations to the Sub-Committee, this issue should be considered by an expert consultation in conjunction with the regional fishery bodies concerned and taking into account the objectives of these certification schemes. Some Members expressed the view that when any recommendation was developed, it should not result in greater costs for countries or their industries."

2. The issues of catch certification and catch documentation are also addressed in the International Plan of Action to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing (IPOA-IUU). The IPOA-IUU was adopted by consensus at the Twenty-fourth Session of COFI on 2 March 2001 and endorsed by the Hundred and Twentieth Session of the FAO Council on 23 June 2001. The relevant sections of the IPOA-IUU state that:

"68. States should cooperate, including through relevant global and regional fisheries management organizations, to adopt appropriate multilaterally agreed trade-related measures, consistent with the WTO, that may be necessary to prevent, deter and eliminate IUU fishing for specific fish stocks or species. Multilateral trade related measures envisaged in regional fisheries management organizations may be used to support cooperative efforts to ensure that trade in specific fish and fish products does not in any way encourage IUU fishing or otherwise undermine the effectiveness of conservation and management measures which are consistent with the 1982 UN Convention.

69. Trade-related measures to reduce or eliminate trade in fish and fish products derived from IUU fishing could include the adoption of multilateral catch documentation and certification requirements, as well as other appropriate multilaterally-agreed measures such as import and export controls or prohibitions. Such measures should be adopted in a fair, transparent and non-discriminatory manner. When such measures are adopted, States should support their consistent and effective implementation."

SUGGESTED MEASURES RELATED TO HARMONIZATION OF CATCH DOCUMENTATION IN IPOA-IUU

3. The IPOA-IUU contains a number of suggested measures related to the harmonization of catch documentation. These include:

"75. States should work towards using the Harmonized Commodity Description and Coding System for fish and fishery products in order to help promote the implementation of the IPOA.

76. Certification and documentation requirements should be standardized to the extent feasible, and electronic schemes developed where possible, to ensure their effectiveness, reduce opportunities for fraud, and avoid unnecessary burdens on trade.

91. FAO should convene an Expert Consultation on the implementation of paragraph 76 of the IPOA.

EXPERT CONSULTATION ON THE HARMONIZATION OF CATCH CERTIFICATION

4. In response to the instructions of COFI and to the IPOA-IUU, the FAO Secretariat collaborated with the Chairperson of the Meeting of Regional Fishery Bodies, to convene an Expert Consultation of Regional Fishery Management Bodies on the Harmonization of Catch Certification. The Expert Consultation was held in La Jolla, California, from 9 - 11 January 2002. The meeting was attended by experts nominated by the regional fishery bodies with management functions, experts in catch certification and trade, and those directly involved in catch certification. There were also a limited number of experts nominated by FAO. The Report was subsequently submitted to this Sub-Committee at its meeting in Bremen, Germany 12-16 February 2002 (Fisheries Report No. 697 – available at the documents' desk).

5. The Sub-Committee on Fish Trade felt that the outcome of the Expert Consultation was a step in the right direction for the harmonization of catch documentation for trade purposes, but there was a need for further work. Some delegations cautioned against subjecting commercially exploited species to both CITES listing and trade documentation and expressed preference for the latter as a regulating mechanism. It was decided that the matter of Catch Documentation be referred to COFI for further consideration.

RECOMMENDATIONS

6. At the Twenty-fifth Session of COFI in February 2003, the Committee indicated that FAO should continue the work on harmonization of catch certification schemes, and this should be put on the agenda of the next COFI Sub-Committee on Fish Trade. However, the need was noted for careful consideration of differences of fisheries covered by the schemes so as not to hinder normal trade of fish products legally caught (paragraph 43 of the Report of the Session).

7. FAO Fisheries Circular 986 - Recent Developments in Catch Certification and Trade Documentation (available on the documents' desk) contains the work that has been carried out since the Expert Consultation on the Harmonization of Catch Certification.

The document

- a) reviews all the existing trade documents and the instructions to complete the documents used by the regional fisheries management bodies (The forms and instructions are contained in the Annexes).
- b) compares the information requested by the regional fisheries management bodies in the trade documents with the information recommended by the Expert Consultation.
- c) describes several of the difficulties encountered in the implementation of catch documentation schemes.
- d) addresses the major problem of species identification within the wider group of tuna species and the identification of processed fish in general (including tunas). It highlights the difficulties experienced by untrained personnel in the identification of fish species and predicts the future use of genetic kits to overcome this problem.
- e) recommends a harmonized trade document and outlines the information to be included in the instructions. This takes into account the existing trade documentation schemes used by the regional fisheries management bodies.

The recommended Harmonized Trade Document and Instructions for completion are attached to this paper as Annexes 1 and 2. It should be noted that one of the requirements specified for the Trade Document was that it should be one page only, so that transmission by fax could be accommodated.

ACTIONS REQUIRED OF THE SUB-COMMITTEE

1. The Sub-Committee is requested to review and approve the Harmonized Trade Document and Instructions for Completion contained in Annexes 1 and 2.
2. The Sub-Committee is requested to report to COFI on any other work on Trade Documentation that they consider necessary.

ANNEX 1 – HARMONIZED STATISTICAL DOCUMENT

| | | | |
|--|--------------|------------------------|---|
| ISSUING AGENCY NUMBER – | DOCUMENT | COMMISSION | SPECIES |
| | | STATISTICAL DOCUMENT : | |
| EXPORT SECTION | | | |
| 1. FLAG OF COUNTRY/ENTITY/FISHING ENTITY: | | | |
| 2. NAME OF VESSEL AND REGISTRATION NUMBER (when available) | | | |
| 3. FARMED? | | TRAPPED ? | |
| 4. POINT OF LANDING (City, State / Province, Country / Entity / Fishing Entity): | | | |
| POINT OF EXPORT (City, State / Province, Country / Entity / Fishing Entity): | | | |
| 5. TIME & AREA OF CATCH: WHEN | | WHERE | |
| 6. DESCRIPTION OF FISH | | | |
| Product Type ¹ | | Gear Code ² | Vessel name and registration |
| LV/F/FR RD/GG/DR/FL/OT | | | Net Weight(Kg) (No. of fish) |
| | | | |
| | | | |
| | | | |
| *1= F=Fresh, FR=Frozen, RD=Round, GG=Gilled and Guttled, DR=Dressed, FL=Fillet OT=Other, describe the type of product | | | |
| *2= When the Gear Code is OT, describe the type of gear, _____. | | | |
| 7. EXPORTER CERTIFICATION | | | |
| Conditions attached to product (e.g. minimum size): | | | |
| <u>I certify that the above information is complete, true, and correct to the best of my knowledge and belief.</u> | | | |
| Name | Company name | Address | Signature Date License Number (if applicable) |
| | | | |
| 8. GOVERNMENT VALIDATION <u>I validate that information listed above is complete, true, and correct to the best of my knowledge and belief.</u> | | | |
| Total weight of the shipment _____ Kg | | | |
| Name & Title | Company name | Address | Signature Date Government Seal |
| | | | |
| IMPORT SECTION: | | | |
| IMPORTER CERTIFICATION <u>I certify that the above information is complete, true, and correct to the best of my knowledge and belief.</u> | | | |
| Importer Certification (Intermediate Country / Entity / Fishing Entity) | | | |
| Name & title | Company | Address | Signature Date License # (if applicable) |
| | | | |
| Importer Certification (Intermediate Country / Entity / Fishing Entity) | | | |
| Name & title | Company | Address | Signature Date License # (if applicable) |
| | | | |
| Final Point of Import | | | |
| Name & title | Company | Address | Signature Date License # (if applicable) |
| | | | |

NOTE: If a language other than English is used in completing this form. Please add the English translation on this document.

ANNEX 2 – INSTRUCTIONS FOR FILLING THE STATISTICAL DOCUMENT

(Author's notes are in Italic)

DOCUMENT NUMBER: Block for the issuing Country and Agent to designate a country coded Document Number. Issuing agency should be identifiable.

(1) FLAG COUNTRY/ENTITIES/FISHING ENTITIES: Fill in the name of the country of the vessel that harvested the fish in the shipment. Only the flag state of the vessel that harvested the fish in the shipment or, if the vessel is operating under a charter arrangement, the exporting state can issue this Document. There are some exceptions for this rule, which should be referred to the guide.

(2) NAME OF VESSEL AND REGISTRATION NUMBER (when available): Fill in the name and registration number of the vessel that harvested the fish in the shipment. If the products came from various harvests, the name of the vessels can be provided in the box for "6. DESCRIPTION OFFISH "

(3) FARMED? TRAPPED? If fish are landed from farming or harvested by trap, give the name of the farming company or trap name.

(4) POINTS OF LANDING AND EXPORT: Identify the City, State or Province, and Country where the fish are first landed and from which the fish were exported.

(5) TIME & AREA OF CATCH: Specify the time and area of the catch *(This can be variable depending on the circumstances. For example, ICCAT requires only ocean and also note is added that if the fish are from outside Convention area, 6, and 7 are not required. CCSBT requires more detailed areas. So the box can be adjusted according to the need)*

(6) DESCRIPTION OF FISH: The exporter must provide, to the highest degree of accuracy, the following information. **NOTE:** One row should describe one product type

(1) Product Type: Identify the type of product being shipped as if LIVE, FRESH or FROZEN, and in ROUND, GILLED AND GUTTED, DRESSED, FILLET or OTHER form. For OTHER, describe the type of products in the shipment. *(The product codes and type should be according to the needs. Possibly coding table can be added at the bottom of this instruction, rather than in the form)*

(2) Gear Code: Identify the gear type which was used to harvest the fish using the list below. For OTHER TYPE, describe the type of gear, including farming.

(3) If all the products come from one vessel's catch, vessel name can be only entered in box 2 and leave this field blank.

(4) Net product weight in kilograms. (If number of fish is available, add in parentheses)

(7) EXPORTER CERTIFICATION: (If the certification is on an condition, such as the fish are certified above the legal size, then that condition can be added to this box) The person company exporting the fish shipment must provide his/her name, company name, address, signature, date the shipment was exported, and dealer license number (if applicable).

(8) GOVERNMENT VALIDATION: Fill in the name and full title of the official signing the Document. The official must be employed by a competent authority of the flag state government of the vessel that harvested the fish appearing on the Document or other individual or institution authorized by the flag state. When appropriate, this requirement is waived according validation of the document by a government official, or if the vessel is operating under a charter arrangement, by a government official or other authorized individual or institution of the exporting state. The total weight of the shipment shall also be specified in this block.

(9) IMPORTER CERTIFICATION: The person or company that imports fish must provide his/her name, company name, address, signature, date the fish was imported, license number (if applicable), and final point of import. This includes imports into intermediate countries. For fresh and chilled products, the signature of the importer may be substituted by a person of a customs clearance company when the authority for signature is properly accredited to it by the importer.

| GEAR CODE | GEAR TYPE | GEAR CODE | GEAR TYPE |
|-----------|-----------------|-----------|--------------------------------|
| BB | BAITBOAT | SPHL | SPORT HANDLINE |
| GILL | GILLNET | SPOR | SPORT FISHERIES UNCLASSIFIED |
| HAND | HANDLINE | SURF | SURFACE FISHERIES UNCLASSIFIED |
| HARP | HARPOON | TL | TENDED LINE |
| LL | LONGLINE | TRAP | TRAP |
| MWT | MID-WATER TRAWL | TROL | TROLL |
| PS | PURSE SEINE | UNCL | UNSPECIFIED METHODS |
| RR | ROD AND REEL | OT | OTHER TYPE |

RETURN A COPY OF COMPLETED DOCUMENT TO: (the name of the office of the competent authority of the flag state).

February 2006



منظمة الأغذية
والزراعة
للأمم المتحدة

联合国
粮食及
农业组织

Food
and
Agriculture
Organization
of
the
United
Nations

Organisation
des
Nations
Unies
pour
l'alimentation
et
l'agriculture

Organización
de las
Naciones
Unidas
para la
Agricultura
y la
Alimentación

E

COMMITTEE ON FISHERIES

SUB-COMMITTEE ON FISH TRADE

Tenth Session

Santiago de Compostela, Spain, 30 May – 02 June 2006

HARMONIZATION OF CATCH DOCUMENTATION

EXECUTIVE SUMMARY

This document provides an update on recent activities related to the harmonization of catch documentation. The Sub-Committee is invited to report on national policies and experiences related to catch documentation. The Sub-Committee is also invited to give guidance on priority areas for future work by the FAO in this area.

INTRODUCTION

1. The purpose of this document is to provide an update on recent activities related to the harmonization of catch documentation and to seek guidance from the Sub-Committee on future FAO activities in this area.

BACKGROUND

2. The report of the Ninth Session of the Sub-Committee on Fish Trade was presented to the Committee on Fisheries (COFI) in March 2005. COFI expressed support for FAO to continue its work on the harmonization of catch documentation. COFI also noted that ICCAT was in the process of reviewing its documentation scheme and that a planned meeting of the tuna Regional Fisheries Management Organizations (RFMOs) in 2007 would also review the issue of documentation schemes. Some Members suggested that FAO take into account the outcome of these events in the further elaboration of its work on catch documentation. The need to clarify the

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W0000

terminology “catch documentation scheme” was raised. In respect of this last observation it should be noted that all of the “trade documents”¹ issued by the tuna Regional Fisheries Management Organizations (RFMOs) are entitled “Statistical Document” and the Commission for the Conservation of Southern Bluefin Tuna (CCAMLR) document is entitled “Dissostichus Catch Document”. It may also be useful to recall the conclusions reached at the Expert Consultation on Catch Certification held in 2002:

“REVIEW OF THE CURRENT STATUS OF CATCH CERTIFICATION AND CATCH DOCUMENTATION

5. *“Trade documentation” refers to schemes established by Regional Fisheries Management Organizations (RFMOs) to require documentation to accompany particular fish and fish products through international trade identifying the origin of the fish for the purpose of ascertaining levels of unreported fishing. Both schemes under consideration have the purpose of combating IUU fishing and in both, documents accompany the fish through trade. Discussion in the meeting revealed that the terms “catch certification,” “catch documentation” and other related terms have not been consistently applied in international practice.*

6. *One key difference between these types of programmes is that **catch certifications** are issued at the point of harvesting and cover all fish to be landed or transhipped. **Trade documents** are issued only with respect to products that enter international trade. Both types of documents contain information relating to the fish in question, although catch certifications contain more comprehensive data.*

7. *Two types of documentation programmes have been already adopted by RFMOs. The Commission for the Conservation of Antarctic Marine Living Resources (CCAMLR) has adopted a Catch Documentation Scheme for toothfish (*dissostichus spp.*) that is in fact an amalgam of a catch certification and trade documentation programme. The International Commission for the Conservation of Atlantic Tunas (ICCAT), the Commission for the Conservation of Southern Bluefin Tuna (CCSBT) and the Indian Ocean Tuna Commission (IOTC) have adopted trade documentation programmes. In addition, the Agreement on the International Dolphin Conservation Program, has adopted a programme to certify certain tuna as “dolphin-safe.” The Consultation considered that this programme is significantly different from programmes adopted by the other RFMOs, in that its primary purpose is unrelated to efforts to combat IUU fishing.”²*

Note: Following the publication of this report, a Trade Documentation Programme for Bigeye Tuna was introduced by the Inter-American Tropical Tuna Commission (IATTC).

3. The report of the Sub-Committee on Fish Trade was also presented to the Fourth Meeting of the Regional Fisheries Bodies (the Regional Fisheries Bodies Secretariats Network) in Rome on 14-15 March 2005. The Regional Fisheries Bodies (RFBs) recalled that they had already called for the harmonization of catch documentation on behalf of their contracting parties. It was recognized that RFBs should collectively contribute to the ongoing debate on catch documentation harmonization. The potential importance of the outcome of the 2007 meeting of tuna RFBs was also emphasised. In general, the RFBs acknowledged that catch documentation harmonization is a complex and highly technical issue and it is also necessary to ensure that schemes are kept simple, achievable and, as far as possible standardized.

¹ The term “trade document” relates to the statistical document of the Tuna RFMOs and the Catch Document Scheme of CCAMLR and the associated re-export certificates. This is because of the dual role of the “Statistical Document Programmes” in that they are used for statistical purposes and also support the compliance regimes by tracking trade flows.

² Report of the Expert Consultation of Regional Fisheries Management Bodies on Harmonization of Catch Certification - La Jolla, United States of America, 9-11 January 2002, FAO Fisheries Report No. 697.

TRADE DOCUMENTS

4. There have been no new introductions of documentation schemes since the previous meeting of the Sub-Committee of Fish Trade in 2004. However it is considered highly likely that the newly established Western and Central Pacific Fisheries Commission (WCPFC) will introduce a new system. Nevertheless amendments to existing schemes and forms have been made since the last compilation of trade documents made by FAO³.

5. A Working Group of ICCAT has conducted a very comprehensive review of the three trade documents they have implemented. (i.e. Atlantic Bluefin Tuna, Atlantic Big eye Tuna and Swordfish) (Fukuoka, Japan April 25 to 27, 2005). Recommendations from this meeting were considered at an ICCAT meeting in November, 2005.

6. This review proposed that developing a system of real-time information would be a key step to deal with the issue of fraudulent documents. The Working Group recommended the improvement of cooperation and information exchange as a priority. As a first step, a list of contact points in member countries and contracting parties should be created and maintained by the Secretariat to facilitate communications regarding these matters. Recognizing that electronic systems are clearly in the future and taking note that some countries may have difficulties in implementing such a system, the Working Group recommended that a pilot project on the use of an electronic system be conducted. It was also noted that live bluefin tuna require a "statistical document" and that the current form may not be adequate to address this. Those parties participating in the catch, transportation and farming of bluefin tuna should provide feedback to the Secretariat regarding areas that may need improvement at the ICCAT annual meeting in 2006.

7. A key development was the proposal that all Contracting Parties (CPC) and Non-Contracting Parties (NCPs) should supply the names and addresses of organizations authorized to issue/validate ICCAT Statistical documents as well as their official seal. The ICCAT Secretariat will include in its database, the date on which each CPC/NCP provided information to the Secretariat on the Institutions/Individuals authorized to issue and validate ICCAT Statistical Documents. It was also noted that improved monitoring of processing facilities would be an important step. The Statistical Document is not applied to bigeye tuna taken by purse-seine vessels, because their catch weight and species composition can be identified only when the catch is being landed at processing factories or ports.

8. The six trade documents that have been implemented by the tuna regional bodies are broadly similar. They cannot however, be regarded as "harmonized". In Table 1, the documents are compared with their section numbers. It can be seen that all documents request the "Flag State of the Fishing Vessel", however in the ICCAT swordfish document the vessel name and the method of capture are included under the Description of Fish. However the CCSBT requests the Destination of the Product and the Processing Establishment (if applicable). In considering the harmonization of trade documentation, it should be noted that the trade documents are effectively the responsibility of the flag states and that examples of the national trade documents are submitted by the flag states to the RFBs to ensure that they are in compliance with the RFB recommendations. In this respect it should be noted that during the ICCAT review of the Trade Documents it was recognized that changing the format of the trade documents might create problems at the national levels.

³ FAO Fisheries Circular 986 "Recent developments in Catch Certification and Trade Documentation" Rome FAO 2003.

CATCH DOCUMENTATION SCHEME

9. The CCAMLR Catch Documentation Scheme (CDS) differs significantly from the Trade Documentation schemes and is moving quickly to a system where the Catch Documents are submitted electronically (E-CDS). In relation to the following part of this document, it is important to note that CCAMLR now urges its flag states to verify that the data contained in the Catch Document are consistent with the data reports from VMS.

VESSEL MONITORING SYSTEMS

10. Flag states of the Regional Fisheries Management Bodies, including the regional tuna bodies, are increasingly implementing the use of Vessel Monitoring System (VMS) to monitor the fishing vessels under their control. ICCAT requested its Contracting Parties to implement VMS on all vessels over 24 metres by 1 November 2005. IOTC initiated a Pilot Programme of VMS in 2002 and IATTC initiated a programme in June 2004. CCAMLR has adopted Conservation Measure 10-04 (2005) concerning Automated Satellite linked Vessel Monitoring System. The CCSBT is due to hold its first meeting of the Compliance Committee in October 2006. In addition the new WCPFC is currently considering adding VMS and trade documentation to its MCS functions. These will be flag state systems with the countries reporting to the Regional Fisheries Bodies. To what extent real-time data will be reported to the RFMBs will be variable. NEAFC and NAFO have well established MCS systems whereby vessels transmit regular reports to the flag states, which then report the vessel data to the RFMBs. In addition, these two organizations have systems which facilitate the exchange of information between MCS units and also require vessels to submit entry and exit reports when entering and exiting the Regulatory Area. CCAMLR is also introducing this compliance measure.

11. It should be noted that recent incidents have been discovered where vessels have been transmitting false position reports by VMS. This practice was not unforeseen and was addressed in the FAO Guidelines on VMS⁴. Flag states and RFMBs should ensure that the type of approved on-board transmitting equipment is not susceptible to this type of manipulation. The development of fishing vessels surveillance by satellite mounted Synthetic Aperture Radar (SAR) combined with VMS position reports will detect this type of activity. Two types of anomaly can occur:

- a) an SAR image is detected without a VMS Report which could indicate an IUU Fishing vessel not reporting and possibly unauthorized.
- b) a VMS report from a specific position where no SAR image is detected which could indicate a fishing vessel misreporting its position.

ELECTRONIC LOGBOOKS

12. As requested by the Committee on Fisheries, an Expert Consultation on Data Formats and Procedures for Monitoring Control and Surveillance was held in Bergen, Norway 25-27th October 2004. The Consultation noted the detailed and well established vessel position and catch reporting formats and standards agreed at an international level in the North Atlantic and used by the North East Atlantic Fisheries Commission (NEAFC), the Northwest Atlantic Fisheries Organisation (NAFO) and several bilateral agreements in the area. These standards and formats are known as the "North Atlantic Format" (NAF).

13. Similar standards and formats have recently been proposed for adoption by the Commission for the Conservation of Antarctic Marine Living Resources (CCAMLR). The NAF is computer readable and can be imported into databases. The messages are short and compact,

⁴ FAO Technical Guidelines for Responsible Fisheries No. 1 Suppl. 1 Vessel Monitoring Systems. Rome FAO 1998.

which reduces communication costs. The NAF ensures that most critical information required for MCS is effectively transmitted and facilitates the exchange of information between VMS Programmes. The possible evolution of the NAF to Extensive Mark-up Language (XML) which will allow data to be accessed on a web-site was noted. The consultation recognized that, while the key data generated and transmitted by the VMS is with respect to the position of the vessel, the VMS is a communications tool and is increasingly used for the reporting of catches and activities. The consultation noted an evolving and rapidly expanding spectrum of electronic reporting by vessels, ranging from the basic position reports to catch and activity reports to electronic logbooks.

14. Electronic logbook programmes have been used or are under development in many regions and nations around the world including the USA, Japan, Australia, European Union (EU) and others. The experts provided two examples of electronic logbook systems, while noting that these programmes were not necessarily more, or less desirable than other logbook systems now in use or under development:

a) The Secure and Harmonized European Electronic Logbook (SHEEL) is a project financed by the European Commission (EC) and undertaken by several EU Member States, Norway and Iceland, in cooperation with the private sector. The objective is to develop, implement and demonstrate a secure, cost effective and harmonized electronic logbook for European fisheries. Specifically, it is intended that the SHEEL system will be able to (i) define the message type and format, the user interface and the services of the system that will facilitate on board inspections (ii) define all the security measures for ensuring secure data transmissions: and (iii) define the system requirements for transmitting the fisheries report via several communication services.

(b) The Norwegian SATRAP system was developed to assist the vessel master with registration of catch and activity reports. Predefined code lists prevent the user from registering wrong codes. The result of a completed registration becomes a small file in the North Atlantic Format (NAF) that is also encrypted. All messages contain an authenticity code and are saved in an encrypted log. The system requires that the vessel uses an electronic key or “dongle” which is programmed by the Directorate of Fisheries in Norway. The system also gives the ability to confirm whether a message has been sent or not.

COORDINATING WORKING PARTY ON STATISTICS (CWP)

15. The Expert Consultation on Data Formats and Procedures on MCS recommended, inter alia, that the Coordinating Working Party on Statistics (CWP) should follow up on the work of the Expert Consultation and that the CWP should:

- (i) Recommend field codes and data formats or database interchange formats, for fishing vessel databases, such as those required under the Compliance Agreement, in order to facilitate the crosschecking in, and exchange among, databases for fishing vessels.
- (ii) recommend standards for the international exchange of information on fishing vessels authorizations.
- (iii) Adopt the UN-LOCODE as a standard for identification of fishing ports in fishery related databases and international exchange of information.
- (iv) recommend definitions for major fisheries violations and the respective codes for violations to facilitate international exchange of information on violations.
- (v) FAO should synthesize available information on electronic logbooks with a view to establishing standard data formats. Where possible fisheries authorities should use existing codes and formats as recommended by the CWP.

- (vi) Ecolabelling certification bodies should use internationally accepted codes as recommended by the CWP.

16. The CWP considered the Report of the Expert Consultation at its 21st Session in Copenhagen Denmark 1- 4th March 2005. It was clarified during the meeting that the role of the CWP does not cover the adoption of standards, but rather to recommend them. Decisions on adoption are made by the individual RFBs and member states. It also agreed that knowledge of the CWP among fisheries experts and officials appears limited and that measures should be taken to increase the profile of the CWP. The CWP was not currently in a position to review or possibly recommend NAF as a standard, particularly since the instrument is not yet fully developed. However the CWP agreed to establish an inter-sessional electronic working group, consisting of interested CWP members and co-ordinated by NAFO. This group would report to the 22nd Session.

17. The CWP felt that it should not be directly involved in MCS or legal matters as such but there are elements of MCS that are of relevance to the work of CWP. Moreover, it was pointed out that, although VMS is currently used mainly for MCS it has great potential for the gathering of real-time fisheries statistics and for fisheries research. The meeting recognized that, in addition to not falling strictly under the CWP mandate, CWP does not have the technical expertise required for dealing with many of the technical MCS matters. The meeting agreed that CWP should take the initiative to contact the MCS Network with the aim to conduct a joint workshop during the inter-sessional period in which the recommendations of the FAO Expert Consultation are reviewed in order to establish if there are recommendations that the MCS Network would like to follow up.

CONCLUSION

18. The use of the term “catch documentation” is ambiguous and should be avoided. The term has only been used by CCMLAR in the “Catch Documentation Scheme” and it is unique in that it has some of the elements of a catch certificate and can be used as a trade document. The term “catch certification” can cover all elements of documentation that is required by the flag state authorities to ensure that its vessels are operating legally and under their control.

19. The system of trade documentation, VMS and other catch reporting systems is moving steadily towards a system where all data will be transmitted electronically. As the flag state is the authority to which the fishing vessels are responsible (by international law), in most cases the report will be made to the flag state and subsequently the information will be supplied to the coastal state or to the RFMB as the case may be. It should be noted that confidentiality is a key issue in catch and position reporting and that in some cases the data submitted by the flag state to RFMBs may be filtered and/or aggregated. As for paper logbooks, it is believed that it will not be possible to develop standardized electronic log books, as the finer detail required for the management of fisheries differ from fishery to fishery. However this does not mean that the various logbooks can be designed so that they are able to be aggregated or synthesised into a common format.

SUGGESTED ACTION

20. The Sub-Committee is invited to report on national policies and experiences related to catch documentation. The Sub-Committee is also invited to give guidance on priority areas for future work by the FAO in this area.

TABLE 1: COMPARISON OF THE TUNA BODIES STATISTICAL DOCUMENTS

| | ICCAT | | | IOTC | | CCSBT | IATTC | FAO Recommendation |
|--|---------|--------|-----------|--------|-----------|---------|---------|---------------------|
| | Bluefin | Bigeye | Swordfish | Bigeye | S Bluefin | Bigeye | Bigeye | Expert Consultation |
| Date of Implementation | 23/1/95 | 1/1/02 | 1/1/02 | 1/7/02 | 1/6/00 | 24/6/03 | 11/1/02 | |
| Document Number | | | | | | | | |
| Flag of Country/Fishing entity | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 |
| Name of Vessel and Registration | 2 | 2 | 2 | 2 | 2 | 2 | 2 | 2 |
| Method of Capture | 3 | 3 | 5a | 3 | 3 | 3 | 3 | 3 |
| Point of Export | 4 | 4 | 3 | 4 | 5 | 4 | 4 | 4 |
| Area of Catch | 5a | 5 | 4 | 5 | 7a | 5 | 5 | 5 |
| Description of Fish | 5 | 6 | 5 | 6 | 7 | 6 | 6 | 6 |
| Processing Establishment (if applicable) | | | | | 4 | | | |
| Destination of Product | | | | | 6 | | | |
| Exporter certification | 6 | 6a | 6 | 7 | 8 | 7 | 7 | 7 |
| Government Validation | 7 | 7 | 7 | 8 | 9 | 8 | 8 | 8 |
| Import Section | 8 | 8 | 8 | nn | nn | nn | nn | nn |

a - indicates that the item is included in the section numbered

nn - indicates that the section exists but is not numbered.

CONSIDERATIONS FOR THE DESIGN OF CATCH DOCUMENTATION SCHEMES

Submitted by United States

Use and meaning of trade terms

Trade terms often have specific meanings under the domestic laws of Contracting Parties. Because of this, Parties may have different interpretations of procedures regarding the issuance, validation and collection of statistical documents and re-export certificates. Instead of developing specific definitions for trade terms, which could cause conflicts with domestic laws, the explanatory notes and instructions to RFMO catch documentation schemes should clearly indicate the conditions under which the documents should be issued, validated and collected by the harvesting vessel flag states, the landing or transshipment port states, the processing states and the consuming states.

Links between catch and trade

Given the need for flexibility in shipping routes, especially to expedite delivery of perishable fish products, it is not always possible to determine the exact shipping routes in advance or to predict when changes will occur. Some Parties have customs entry procedures which link the consignment shipping information to the entry documents. If the entry process assigns a unique identifier to each consignment, importing states could require that the identifier be noted on the catch documents. In this way, officials in the importing state can link to the consignment shipping information through the customs records.

As an interim measure, the existing statistical document forms could be amended to indicate the date and port of landing in addition to the vessel name and vessel identifier. This would provide more complete information on the landing event than is currently possible.

Verification

A centralized system of information exchange would facilitate the verification of information upon entry to importing states and the reconciliation of information between importers and exporters. The respective RFMOs should investigate the technical requirements and costs of a database management system where exporters can post information from catch documents that have been validated and importers can post information from catch documents that have been collected. Recognizing that trade occurs across convention areas, RFMOs should harmonize these systems to allow data exchange.

Prevention of Fraud

RFMOs should develop numbering systems for the assignment of unique identifiers to catch documents. Such identifiers should contain information related to the flag state and the year of harvest. Parties could notify other parties through the RFMO Secretariats when unique identifiers have been nullified or expired and the reasons for cancellation (for example, revocation of authorizations of exhaustion of quotas).

**A POSSIBLE HARMONIZED STATISTICAL DOCUMENT
FOR BIGEYE COVERING ALL THE OCEANS**

Submitted by Japan

Attached is a possible harmonized statistical document for bigeye covering all the oceans. It is developed based upon the template of ICCAT.

EXPORT SECTION

1. FLAG COUNTRY/ENTITY/FISHING ENTITY

2. DESCRIPTION OF VESSEL (if applicable)
 Vessel Name Registration Number LOA (m) RFMO Record No. (if applicable)

3. TRAPS (if applicable)

4. POINT OF EXPORT
 City State / Province Country / Entity / Fishing Entity

5. AREA OF CATCH (check one of the following)
 (a) Atlantic (b) East Pacific (East of 150 deg. of west longitude) (c) Rest of Pacific (d) Indian*
 * If (d) is checked, tick inside or outside of EEZ(s).
 inside of EEZ(s)
 outside of EEZ(s)

| Product Type *1 | | Time of Harvest (mm / yy) | Gear Code *2 | Net Weight (kg) |
|-----------------|----------------|------------------------------|--------------|--------------------|
| F/FR | RD/GG/DR/FL/OT | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

*1 F=Fresh, FR=Frozen, RD=Round, GG=Gilled and Guttled, DR=Dressed, FL=Fillet
 OT=Others (Describe the type: _____)

*2 When the Gear Code is OT, describe the type of gear,

| | | |
|--|---|---|
| 7a. DATE AND PORT OF LANDING 1. Date (day/month/year) 2. Port (name and location of port) | 7b. DATE AND PLACE OF TRANSSHIPMENT IN PORT 1. Date (day/month/year) 2. Port (name and location of port) 3. Carrier Vessel: Name: _____ Flag: _____ Registry #, if applicable _____ | 7c. DATE AND POSITION OF TRANSSHIPMENT AT SEA 1. Date (day/month/year) 2. Position (Lat/Long) 3. Carrier Vessel: Name: _____ Flag: _____ Registry #, if applicable _____ Name of observer: _____ |
|--|---|---|

8. EXPORTER CERTIFICATION I certify that the above information is complete, true and correct to the best of my knowledge and belief.
 Name Company name Address Signature Date License Number (if applicable)

9. GOVERNMENT VALIDATION I validate that information listed above is complete, true and correct to the best of my knowledge and belief.
 Total weight of the shipment _____ kg
 Name & Title Signature Date Government Seal

IMPORT SECTION

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

Importer Certification (Intermediate Country / Entity / Fishing Entity)
 Name Address Signature Date License # (if applicable)

Importer Certification (Intermediate Country / Entity / Fishing Entity)
 Name Address Signature Date License # (if applicable)

Final Point of Import
 City _____ State/Province _____ Country / Entity / Fishing Entity

NOTE: If a language other than English is used in completing this form, please add the English translation on this document.

BIGEYE TUNA STATISTICAL DOCUMENT INSTRUCTION SHEET

Pursuant to the 2001 ICCAT Recommendation, 2001 IOTC Resolution and 2003 IATTC Resolution, bigeye tuna imported into the territory of an ICCAT, IOTC or IATTC Contracting Party or upon first entry into a regional economic organization must be accompanied by a Bigeye Tuna Statistical Document. Bigeye tuna dealers who export or import bigeye tuna from all ocean areas will be required to complete the Document. Only complete and valid documents will guarantee that shipments of bigeye tuna will be allowed to enter the territory of Contracting Parties. Shipments of bigeye tuna that are accompanied by improperly documented Bigeye Tuna Statistical Documents (i.e. improperly documented means that the Bigeye Tuna Statistical Document is either missing from the shipment, incomplete, invalid or falsified) will be considered illegitimate shipments of bigeye tuna, that are contrary to ICCAT, IOTC or IATTC conservation efforts, and their entry will be suspended (PENDING RECEIPT OF A PROPERLY COMPLETED DOCUMENT) into the territory of a Contracting Party or subject to administrative or other sanctions.

Bigeye tuna caught by purse seiners and baitboats and destined principally for canneries not subject to this statistical document requirement.

At the initial stage of the Program, the statistical documents will be required for frozen bigeye products.

Please use this instruction sheet as a guideline to complete the sections of the Bigeye Tuna Statistical Document that applies to Exporters, Importers and Government Validation. If a language other than English is used in completing the form, please add the English translation on the Document.

Note: if a bigeye tuna product is exported directly to an importing Country/Entity/Fishing Entity (hereafter referred to "CEF") without first going through an intermediate CEF, all fish can be identified on one document. However, if the bigeye tuna product is exported through an intermediate CEF (i.e., a CEF other than the CEF which is the final destination of the product), separate documents must be prepared for different final destinations or each fish may be accompanied by a document to identify any possible separation of shipments by an intermediate CEF. The import of bigeye tuna part other than meat (i.e., heads, eyes, roe, guts and tails) may be allowed without the Document.

INSTRUCTIONS

DOCUMENT NUMBER:

Block for the issuing CEF to designate a CEF coded Document Number.

(1) FLAG Country/Entity/Fishing Entity:

Fill in the name of the CEF of the vessel that harvested the bigeye tuna in the shipment and issued this Document. According to the ICCAT Recommendation, IOTC Resolution and IATTC Resolution, only the flag CEF of the vessel that harvested the bigeye tuna in the shipment, or if the vessel is operating under a charter arrangement, a government official or other authorized individual or institution of the exporting CEF can issue this Document.

(2) DESCRIPTION OF VESSEL (if applicable)

Fill in the name, registration number, length overall (LOA) and RFMO Record number of the vessel that harvested the bigeye tuna in the shipment.

(3) TRAPS (if applicable):

Fill in the name of the trap that harvested the bigeye tuna in the shipment.

(4) POINT OF EXPORT:

Identify the City, State or Province, and CEF from which the bigeye tuna was exported.

(5) AREA OF CATCH:

Check the area of catch. If (d) is checked, tick inside or outside of EEZ(s).

(6) DESCRIPTION OF FISH:

The exporter must provide, to the highest degree of accuracy, the following information.

NOTE: One row should describe one product type.

Product Type:

Identify the type of product being shipped as either FRESH or FROZEN, and in ROUND, GILLED AND GUTTED, DRESSED, FILLET or OTHER form. For OTHER, describe the type of products in the shipment.

Time of Harvest

Fill in the time of harvest (in month and year) of the bigeye tuna in the shipment.

③ Gear Code:

Identify the gear type which was used to harvest the bigeye tuna using the list below. For OTHER TYPE, describe the type of gear, including farming.

④ Net Weight:

Net product weight in kilograms.

(7) INFORMATION ON LANDING OR TRANSSHIPMENT

(7a) DATE AND PORT OF LANDING:

If the product was landed, fill in the exact date (day/month/year) of the landing, and the place of landing (port and country). If the product will be landed, fill in the expected date of landing and the port of landing.

(7b) DATE AND PLACE OF TRANSSHIPMENT IN PORT:

If the product was transshipped at sea, fill in the date (day/month/year) of the transshipment, the position of transshipment (port and country), and the name, flag and Registry Number of the carrier vessel. Please attach a copy of the transshipment declaration form.

(7c) DATE AND PLACE OF TRANSSHIPMENT AT SEA:

If the product was transshipped at sea, fill in the date (day/month/year) of the transshipment, the position of transshipment (latitude, longitude), the name, flag and Registry Number of the carrier vessel, and the name of the observer that verified the transshipment declaration form. Please attach a copy of the transshipment declaration form.

(8) EXPORTER CERTIFICATION:

The person or company exporting the bigeye tuna shipment must provide his/her name, company name, address, signature, date the shipment was exported, and dealer license number (if applicable).

(9) GOVERNMENT VALIDATION:

Fill in the name and full title of the official signing the Document. The official must be employed by a competent authority of the flag CEF government of the vessel that harvested the bigeye tuna appearing on the Document or other individual or institution authorized by the flag CEF. When appropriate, this requirement is waived according validation of the document by a government official, or if the vessel is operating under a charter arrangement, by a government official or other authorized individual or institution of the exporting CEF. The total weight of the shipment shall also be specified in this block.

(10)IMPORTER CERTIFICATION:

The person or company that imports bigeye tuna must provide his/her name, address, signature, date the bigeye tuna was imported, license number (if applicable) and final point of import. This includes imports into intermediate CEF. For fresh and chilled products, the signature of the importer may be substituted by a person of a customs clearance company when the authority for signature is properly accredited to it by the importer.

GEAR CODE:

| <i>GEAR CODE</i> | <i>GEAR TYPE</i> |
|------------------|--------------------------------|
| BB | BAITBOAT |
| GILL | GILLNET |
| HAND | HANDLINE |
| HARP | HARPOON |
| LL | LONGLINE |
| MWT | MID-WATER TRAWL |
| PS | PURSE SEINE |
| RR | ROD AND REEL |
| SPHL | SPORT HANDLINE |
| SPOR | SPORT FISHERIES UNCLASSIFIED |
| SURF | SURFACE FISHERIES UNCLASSIFIED |
| TL | TENDED LINE |
| TRAP | TRAP |
| TROL | TROLL |
| UNCL | UNSPECIFIED METHODS |
| OT | OTHER TYPE |

**RECOMMENDATION TO TUNA RFMOS ON
HARMONIZATION AND IMPROVEMENT OF TRADE TRACKING PROGRAMS**

Joint Proposal from Canada, European Community and United States

TAKING INTO ACCOUNT the need for an effective global program for the tracking of harvest and trade of tuna and tuna-like species;

RECALLING The Course of Action adopted in Kobe in January 2007 by the *Joint Tuna RFMO Meeting*, which encouraged the establishment and implementation of a system to monitor catches from catching vessels to markets;

NOTING that Tuna RFMOs already implement a variety of trade tracking programs for some tuna and tuna-like species;

RECOGNIZING the respective responsibilities of fishing states, port states and importing states in the effective monitoring and control of trade in tuna and tuna-like species;

It is recommended that Tuna RFMOs work cooperatively in the development and implementation of a harmonized trade tracking program for tuna and tuna-like species.

It is encouraged that such a trade tracking program would be implemented for all tuna and tuna-like species subject to conservation and management measures. Species for which there are concerns related to stock recovery and/or IUU, such as bluefin and bigeye tunas and swordfish, would deserve special attention.

It is also encouraged that a harmonized trade tracking program be linked to existing monitoring, control and surveillance (MCS) measures, such as Vessel Monitoring Systems (VMS), Observer programs and port state control measures.

The objectives of such a trade tracking program would include:

1. Compliance – ensuring that all aspects of existing management measures, including TACs and quotas, are fully adhered to.
2. Data – confirmation of harvest and trade data for use by scientific bodies in stock assessment and analysis.
3. IUU – use of trade tracking systems and data by compliance authorities to enforce monitoring and control measures in the aim of eliminating IUU harvesting.

Best practices of such a trade tracking program would include:

1. Traceability – ensuring that trade in tuna and tuna-like species can be effectively traced from original catch to final market to meet the needs of governments, traders and consumers.
2. Catch Documentation – generation of a trade tracking document at the time of catch to improve monitoring and control.
3. Verification – improve the means to verify that all shipments of tuna and tuna-like species entering trade are from an authorized harvest. Verification should occur in a timely manner and could also be linked to MCS measures.
4. Efficiency – development of mechanisms to avoid undue burdens on the trade of legitimate catches and on inspectors.
5. Communication and Information Sharing – to ensure effective lines of communication, possibly by way of centralized electronic means, to ensure the sharing of trade information between all relevant parties occurs in a timely manner.
6. Fraud prevention – development of mechanisms for document security and protection.
7. Tagging systems – where effective and feasible, standardized effective control required.
8. Harmonization – implementation of a consistent program between all tuna RFMOs will increase efficiency, and will minimize the duplication of reporting and will aid in combating IUU activities.

CDS FOR TUNA FISHERIES

Joint proposal by El Salvador, Mexico, Guatemala and Panama

The paper outlines a system presently used for catch documentation of purse-seine caught tuna by IATTC that can be used to track fish from capture to processing including compliance with management measures. Good cannery practice, nowadays, requires the use of identifiers on cans that can be used to track the product back to lots of fish in the cannery and thence to original catches, including identification of the well or hold used to transport that catch.

The basis for the IATTC CDS system for purse-seine fisheries is a record of the source of fish that is stored in individual wells of a vessel as shown in **Appendix 1**, segregated to reflect relevant information requirements, and verified by observers. Each RFMO can adapt this system to reflect its own information requirements. All large purse seiners should have observers on board to verify the information provided. The forms can be completed by the observer (or for fishing vessels, which may not have an observer on board, by the person responsible for recording the catch and storage). The sample form attached is intended to be used along with an observer logbook (or ships logbook if there is no observer on board) which provides the additional details such as position and other relevant catch details, such as wells of each purse seine set.

The form would be completed at the time the fishing vessel is unloaded and verified by an appropriate authority of the port state on behalf of the flag state. If the port state is not a party to the RFMO or if the catch is being transshipped, the form must be sent to the flag state by the observer.

The form would accompany the fish as it is transferred to a processing plant or transshipped to a reefer to a port other than that of unloading of the purse-seine vessel. Copies of the form can then accompany each consignment of loins or other tuna products as well as cans as they are distributed domestically or exported (or the information from the catch documentation can be incorporated into electronic processed product labels). These copies must be certified by the market state as accompanying processed products derived from the original catch. The flag or port state, as appropriate, must send original forms to the RFMO Secretariat for centralized reconciliation and reporting to CPCs.

Addendum 2 to Appendix 10

| | | | | |
|---|---------------|-------------|-------|--|
| Document number | | | | |
| Flag | | | | |
| Name of vessel and Registration number | | | | |
| Port of landing | | | | |
| Name of processor or reefer unloaded to | | | | |
| Quantity of fish unloaded | | | | |
| Yellow tuna | Skipjack tuna | Bigeye tuna | Other | |
| | | | | |
| Validation by authority | | | | |

AUSTRALIAN DRAFT RESOLUTION

**RESOLUTION ON ADOPTION AND IMPLEMENTATION OF A
CCSBT CATCH DOCUMENTATION SCHEME AND TAGGING SYSTEM**

(adopted at the Fourteenth Annual Meeting – 16-19 October 2007)

DRAFT RESOLUTION

**Resolution on adoption and implementation of a
CCSBT Catch Documentation Scheme and Tagging System**

The Extended Commission for the Conservation of Southern Bluefin Tuna (CCSBT),

Referring to the resolution on the implementation of a Catch Documentation Scheme to record all catches of Southern Bluefin Tuna regardless of whether the Southern Bluefin Tuna were traded, adopted at the Thirteenth Annual Meeting of the Extended Commission for the Conservation of Southern Bluefin Tuna (2006);

Noting that that resolution identified the tagging of individual fish as a possible component of a Catch Documentation Scheme;

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

Encouraging Members and Cooperating Non-Members to move progressively towards use of electronic CCSBT CDS Documentation;

Agrees, in accordance with paragraph 3(b) of Article 8 of the Convention on the Conservation of Southern Bluefin Tuna, that:

1. The following definitions are intended only for the purposes of the completion of CCSBT CDS Documentation and shall be applied as stated regardless of whether such actions as landings, transshipments, imports, exports or re-exports constitute the same under any Member's or Cooperating Non-Member's customs, law or other domestic legislation:

- (a) *CCSBT CDS Documentation*: The CCSBT Catch Documentation Scheme Documents required by this resolution.
- (b) *Export*: Any movement of a fish or fish product from the jurisdiction under the control of a State / Fishing Entity.
- (c) *Farm*: A facility for growing wild-caught southern bluefin tuna.
- (d) *Fish product*: An individual saleable part, or each individual frozen package of parts, of a fish.
- (e) *Import*: Any movement of a fish or fish product into geographic territory under the control of a State / Fishing Entity, except where the fish or fish product is landed or transhipped within the definitions of 'landing' or 'transhipment' in this resolution.
- (f) *Kill*: The death of a fish during commercial fishing operations.
- (g) *Landing*: The initial movement of killed fish or fish product from a fishing vessel or transhipment vessel in port, or from a farm, to any of the following:
 - (i) dockside;

- (ii) another vessel in a port where the catch is certified by an authority of the port State / Fishing Entity as landed; or
- (iii) a processing facility (whether a shore-based facility or a processing vessel).
- (h) *Longline / non-farming operations*: All commercial fishing operations other than purse seine farming operations.
- (i) *Members and Cooperating Non-Members*: Members and Cooperating Non-Members of the Extended Commission for the Conservation of Southern Bluefin Tuna.
- (j) *Processed*: Processing of a fish, including filleting, loining and removing the head, but does not include any treatment (such as cleaning, gilling and gutting, freezing, removing fins, gill plates and tail) where the carcass remains whole.
- (k) *Purse seine farming operations*: Commercial fishing operations in which southern bluefin tuna is caught by purse seine fishing, towed to a farm and grown for later harvesting.
- (l) *Statistical Document Program*: The CCSBT Southern Bluefin Tuna Statistical Document Program established by the Extended Commission and implemented on 1 June 2000.
- (m) *Transfer*: Import, export, transshipment and landing.
- (n) *Transshipment*: The movement of killed fish or fish product from a vessel to another vessel or means of transport and, where such movement of fish takes place within the jurisdiction under the control of a State / Fishing Entity, for the purpose of effecting its removal from that State / Fishing Entity.¹

This section defines key terms. Notably:

- 'CCSBT CDS Documentation' includes all documents referred to in this resolution (ie the Catch Document, Purse Seine Catch Information Document, Farm Movement Document, Transfer Document and Inspection Document)
- 'Export' would include any re-export
- 'Purse seine farming operations' cover the Australian SBT farming operations and any other similar methods in other jurisdictions, while 'longline / non-farming operations' covers all other SBT fishing methods including longline, pole and line, trolling etc. The terms are limited to 'commercial' operations, reflecting that fact that the resolution is not intended to cover non-commercial fishing operations. Similarly, the term 'kill' only means fish killed in the course of commercial operations.
- 'Kill' means the death of a fish in commercial fishing operations. 'Kill' would usually occur at catch during longline / non-farming operations; it would usually take place at the point of harvest in purse seine farming operations, but if a fish dies during the purse seine, tow or movement into a farm then it would be regarded as 'killed'.
- 'Processed' cover loining or filleting, but not methods like gilling and gutting etc where the fish remains whole.
- 'Transfer' means export, import, landing and transshipment. Each of these terms is defined in the resolution, and each applies both to whole and 'processed' fish.
- 'Transshipment' only applies to 'killed' fish, so does not cover the movement of live fish from a purse seine vessel to a farm in purse seine farming operations.

¹ For the avoidance of doubt, temporarily placing a catch on land or an artificial structure to facilitate such transfer shall not prevent the movement from being a transshipment where the catch is not 'landed' as defined in this resolution.

A. CCSBT CATCH DOCUMENTATION SCHEME

I. CCSBT Catch Document required for longline / non-farming operations

2. Members and Cooperating Non-Members shall require the master or operator of each of its vessels to document, on a CCSBT Catch Document, each southern bluefin tuna killed during longline / non-farming operations within 18 hours of completing the haul. The completed CCSBT Catch Document shall be submitted to the Flag State / Fishing Entity within 10 days of the first fish recorded on the Document being killed and, in any event, prior to any transfer of fish recorded on the Document.

This section outlines the obligations on masters or operators of vessels engaged in longline / non-farming operations to complete CCSBT CDS Documentation.

It is proposed that masters and operators should record each SBT killed within 18 hours of completing every haul of fish. This is designed to give sufficient time to update the Catch Document after each set, while ensuring that catch is documented daily.

Multiple fish would be recorded on each CCSBT Catch Document. Also, more than one set, and more than one day's catch, can be recorded on a single CCSBT Catch Document. This allows the number of required documents to be minimised.

The Catch Document should be submitted to the Flag State / Fishing Entity within 10 days of the first fish recorded on that Document. Accordingly, one Catch Document would usually be completed on a vessel every 10 days. However, the paragraph specifies that Catch Documents must be submitted before any transfer (i.e. export, import, landing or transshipment) of fish recorded on the Document. So, if a vessel transferred fish before the 10 day requirement, the Document would need to be completed and submitted to the Flag State / Fishing Entity before that transfer.

Completed CCSBT Catch Documents need to be forwarded to the flag State/fishing entity within 10 days. Note this does not prevent flag states from having more stringent requirements, should they choose. This is designed to ensure regular reporting to the flag State/fishing entity, and consequently to the CCSBT Secretariat (as outlined below), and is also designed to coincide with Japan's current Real Time Monitoring Program (RTMP).

II. CCSBT Purse Seine Catch Information, Farm Movement and Catch Documents required for purse seine farming operations

3. Members and Cooperating Non-Members shall require the master or operator of each of its tow vessels involved in purse seine farming operations to complete a CCSBT Purse Seine Catch Information Document. The Document shall be completed within 18 hours of moving the fish into a farm and submitted to the Flag State / Fishing Entity within 10 days.

4. Members and Cooperating Non-Members shall require the person responsible for movement of southern bluefin tuna between farms, or between pens within a farm, to document, on a CCSBT Farm Movement Document, each such movement. The Document shall be completed within 18 hours of moving the fish into a new farm and submitted to the State / Fishing Entity within 10 days.

5. Members and Cooperating Non-Members shall require the master or operator of each of its purse seine or tow vessels (as appropriate) to document, on a CCSBT Catch Document, each southern bluefin tuna killed during purse seining and towing components of purse seine farming operations within 18 hours of the fish being killed. The completed CCSBT Catch Document shall be submitted to the Flag State / Fishing

Entity within 10 days of the first fish recorded on the Document being killed and, in any event, prior to any transfer of fish recorded on the Document..

6. Members and Cooperating Non-Members shall require the owner or operator of each of the farms under their jurisdiction to document, on a CCSBT Catch Document, each southern bluefin tuna killed during farming operations. The Document shall be completed within 18 hours of the fish being killed and submitted to the State / Fishing Entity in which the farm is located within 10 days.

This section outlines the obligations on masters or operators of tow vessels and farms, engaged in purse seine farming operations, to complete CCSBT CDS Documentation. The requirements for purse seine farming operations are designed to ensure equivalence with those required for longline / non-farming operations, and to ensure that all relevant stages of the farming operations are documented. The same time frames of reporting are adopted as for non-farming operations.

The master or operator of a tow vessel, which moves fish from the purse seine vessel to the farm, should complete a CCSBT Purse Seine Catch Information Document recording relevant details of that movement. We propose that the master or operator of tow vessels should complete the CCSBT Purse Seine Catch Information Document because it is the only vessel which interacts with both the purse seine vessel and the farm, and it is therefore best placed to document what SBT are caught and moved into farms.

Any movement of SBT between farms will be documented on a CCSBT Farm Movement Document. Farmed fish will subsequently be documented on a CCSBT Catch Document at the time that they are killed during farming operations.

The master or operator of a purse seine or a tow vessel will be required to document any SBT killed (i.e. unintended mortalities) during the purse seine catch or tow on a CCSBT Catch Document. As for non-farming operations, more than one fish can be recorded on a Document and the completed Document must be submitted to the relevant State / Fishing Entity within 10 days of the first fish which is recorded on the Document being killed, and prior to any transfer.

III. CCSBT CDS Documentation required for transfers

7. Members and Cooperating Non-Members shall require each transfer of southern bluefin tuna under its jurisdiction to be documented on a CCSBT Transfer Document. The Document shall be completed, at the time of the transfer, by the person responsible for the transfer and submitted to the Member or Cooperating Non-Member within 10 working days of the transfer.

8. Members and Cooperating Non-Member shall prohibit, under their domestic law, the transfer of southern bluefin tuna without valid CCSBT CDS Documentation as required by this resolution.

9. A transfer shall be regarded as occurring under a Member or Cooperating Non-Member's jurisdiction in the following circumstances:

- (a) for an export or import, if the product is exported from or imported to that Member or Cooperating Non-Member;
- (b) for a landing, if the landing takes place within the jurisdiction of that Member or Cooperating Non-Member; and
- (c) for a transshipment, if the transshipment is from a vessel flagged to that Member or Cooperating Non-Member.

This section outlines the requirements for those transferring SBT to document each transfer on a CCSBT Transfer Document. The requirements also apply to processed SBT, that is 'fish product'. For the purposes of the resolution, transfer means import, export (including any re-export), transshipment and domestic landings.

CCSBT Transfer Documents should be submitted to responsible Member or Cooperating Non-Member within 10 working days.

Members and Cooperating Non-Members will be required to ensure that all transfers of SBT under their jurisdiction are documented on a Transfer Document, and to prohibit transfers under their jurisdiction without valid CCSBT CDS Documentation. The section outlines when the different types of transfer are regarded as having taken place under the jurisdiction of a Member or Cooperating Non-Member.

IV. Requirement to verify transfers of southern bluefin tuna

10. Each Member and Cooperating Non-Member shall ensure that at least the following inspections are conducted:

- (a) where southern bluefin tuna will be exported to another Member or Cooperating Non-Member, the exporting Member or Cooperating Non-Member shall either:
 - (i) inspect each fish or fish product being exported to verify and record:
 - 1. whether each fish or fish product is tagged and the tag numbers;
 - 2. the weight and length of each fish or weight of the fish product; and
 - 3. whether the CCSBT CDS Documentation is valid and complete,
 and shall complete a CCSBT Inspection Document for the inspection which will accompany the fish or fish product; or
 - (ii) notify the Member or Cooperating Non-Member to which the southern bluefin tuna will be exported that it has not inspected the shipment and verified the CCSBT CDS Documentation;
- (b) where southern bluefin tuna will be exported to a country which is not a Member or Cooperating Non-Member, the exporting Member or Cooperating Non-Member shall inspect each fish or fish product being exported to verify and record:
 - 1. whether each fish or fish product is tagged and the tag numbers;
 - 2. the weight and length of each fish or weight of the fish product; and
 - 3. whether the CCSBT CDS Documentation is valid,
 and shall complete a CCSBT Inspection Document for the inspection which will accompany the fish or fish product;

- (c) where southern bluefin tuna is imported, the importing Member or Cooperating Non-Member shall:
 - (i) if the shipment was inspected and verified in accordance with sub-paragraph (a)(i) above, verify the CCSBT CDS Documentation including by checking that the shipment weight is correct; or
 - (ii) otherwise, inspect each fish or fish product to verify and record:
 - 1. whether each fish or fish product is tagged and the tag numbers;
 - 2. the weight and length of each fish or weight of the fish product; and
 - 3. whether the CCSBT CDS Documentation is valid and complete,
 and shall complete a CCSBT Inspection Document for the inspection;

- (d) where southern bluefin tuna is landed for sale and consumption in the domestic market, the Member or Cooperating Non-Member where the landing takes place shall, either at the point of landing or prior to the first point of sale in the domestic market, inspect each fish or fish product to verify and record:
 - 1. whether each fish or weight of the fish product is tagged and the tag numbers;
 - 2. the weight and length of each fish or weight of each fish product; and
 - 3. whether the CCSBT CDS Documentation is valid and complete,
 and shall complete a CCSBT Inspection Document for the inspection.

11. The observer onboard a transshipment vessel receiving southern bluefin tuna shall be required to report the following information to the Flag State / Fishing Entity within 10 days of each transshipment:

- (a) the names, international radio call signs and International Maritime Organisation (IMO) numbers (where available) of vessels involved in the transshipment, identifying which vessel is the recipient of the fish;
- (b) the date, time and location of the transshipment; and
- (c) details of the fish transhipped (for example, the number of fish and their tag numbers).

12. If a question arises regarding information contained in any CCSBT CDS Documentation, each Member and Cooperating Non-Member shall cooperate with any relevant Member and Cooperating Non-Member to seek to resolve the question.

13. Each Member and Cooperating Non-Member shall provide to the CCSBT Executive Secretary information on inspection or validation measures taken in

accordance with this resolution (e.g. the type of validation, name of the organisation which validates the documents, title of officials or representatives who validate the documents, sample impression of any stamp or seal or electronic signature) and inform him or her of any change in a timely manner. The Executive Secretary may request information on validation from other relevant States / Fishing Entities, and request them to inform him or her of any change in a timely manner.

This section outlines the requirements for Members and Cooperating Non-Members to inspect and verify transfers of SBT. The requirements are designed to be a cost-effective system, with the minimum number of inspections necessary to monitor transfers of SBT.

In summary, each SBT that is exported and imported will be inspected to ensure it has a CCSBT tag and appropriate CCSBT CDS Documentation, either when the shipment of SBT is sealed for export or at when the shipment is imported. In addition, each shipment of SBT must be inspected to verify the CCSBT CDS Documentation, including by checking that the shipment weight is correct.

Where SBT is landed for sale in a domestic market, the Member or Cooperating Non-Member must inspect each fish to ensure it has been tagged and has appropriate CCSBT CDS Documentation.

Where the master of a vessel transshipping SBT at sea is responsible for completing a detailed account of SBT to be transhipped including tag numbers. Observers aboard the transshipment vessel must complete documentation verifying the details of the transshipment.

Persons conducting inspections and verifications in accordance with the Resolution must complete a CCSBT Inspection Document documenting the inspection.

The section also contains other requirements, notably obligations to:

- (a) notify the Secretariat if they suspect any non-compliance;
- (b) transmit CCSBT CDS Documentation within five working days of receiving or completing the Document. – the requirement to provide inspection documents within five working days compares with a requirement to do so within two working days as required by CCAMLR;
- (c) cooperate with other Members and Cooperating Non-Members to resolve concerns over CCSBT CDS Documentation; and
- (d) exchange information on validation processes.

VI. Requirements to report CCSBT CDS Documentation information to the Secretariat

14. Members and Cooperating Non-Member shall transmit (in electronic or paper form) copies of all CCSBT CDS Documentation, or the information contained in the Documentation, within 5 working days of receiving the Document or (in the case of Inspection Documents) within 5 working days of the Document being completed.

15. Each Member and Cooperating Non-Member shall promptly notify the Secretariat if it suspects that any CCSBT CDS Documentation is invalid or incomplete, or that any southern bluefin tuna was not caught in compliance with CCSBT conservation and management measures.

This section outlines requirements for the Members and Cooperating Non-Members to report to the Secretariat.

In particular, Members and Cooperating Non-Members must forward the CDS Documentation information, or copies of the CDS Documentation themselves, within five working days of receiving or completing the document.

Members and Cooperating Non-Member must also inform the Secretariat of any suspicions that the SBT was not properly documented, or otherwise not caught in compliance CCSBT conservation and management measures.

The Secretariat is required to report on this information in paragraphs 37 – 39 below.

VII. General requirements for CCSBT CDS Documentation

16. CCSBT CDS Documentation may be electronic and/or paper-based.
17. CCSBT CDS Documentation shall be in the forms contained at Annexes 1 – 4, unless a Member or Cooperating Non-Member modifies the form in accordance with the following paragraph.
18. Subject to the agreement of all Members at each annual meeting of the CCSBT Compliance Committee, Members and Cooperating Non-Members may modify the standard CCSBT CDS Documentation for their use, provided the form contains at least the same information as the standard form. The Member or Cooperating Non-Member shall provide a copy of proposed modified forms to the Executive Secretary, for distribution to the other Members.
19. All CCSBT CDS Documentation shall have a unique identifier issued by the Member / Cooperating Non-Member that complies with the numbering format provided by the CCSBT (eg AU-2007-000001). CCSBT CDS Documentation that is suspended, withdrawn, cancelled or expires, shall be returned to the Member / Cooperating Non-Member for nullification and destruction.

This section contains general requirements dealing with the form and provisions of CCSBT CDS Documentation.

This section clarifies that Members may use either electronic or paper CCSBT CDS Documentation. If an importing country could only use or process paper CCSBT CDS Documentation, the importer / exporter would need to print out the relevant documents. As noted in the preamble, Members and Cooperating Non-Members would be encouraged, but not obliged, to move progressively towards harmonised use of fully electronic systems.

CCSBT CDS Documentation is to be in the forms contained in the Annexes, although Members and Cooperating Non-Members may adapt the form for the own use, subject to the agreement of all Members.

Each separate CCSBT CDS Documentation should have a unique identifier issued by the flag State / Fishing Entity, and unused Documentation should be properly disposed of. Australia proposes that Members agree on the form of that unique identifier at the Compliance Committee meeting. For example, it could be the country code, year and a unique number (eg AU-2008-0000001).

VIII. Access and confidentiality

20. Subject to each Member's or Cooperating Non-Member's domestic law, CCSBT CDS Documentation, and the information contained therein, shall be confidential and may only be provided or used as permitted by this resolution.
21. The Secretariat shall ensure the confidentiality of the CCSBT CDS Documentation, and the information contained therein, in its database.
22. The Executive Secretary shall, upon request and on a case by case basis, provide any Member with any CCSBT CDS Documentation to be used for monitoring compliance with CCSBT conservation and management measures, for scientific stock assessment purposes and any other purposes agreed by all Members of the Extended Commission.

This section contains important access and confidentiality provisions.

Members, Cooperating Non-Members and the Secretariat must ensure that information contained on CCSBT CDS Documentation is treated confidentially.

Upon request, the Executive Secretary shall provide any Member with CCSBT CDS Documentation. Members receiving this information may only use it for monitoring compliance with CCSBT conservation and management measures, for scientific stock assessment purposes and any other agreed purposes. The Executive Secretary will be required to report to all Members about such requests, as per paragraph 38(h) below.

DRAFT RESOLUTION

B. CCSBT TAGGING SYSTEM

I. CCSBT tags

23. The Secretariat shall source CCSBT tags and, at least in proportion to CCSBT Total Allowable Catches and numbers of fish caught, supply such tags to each Member and Cooperating Non-Members for use and distribution in accordance with this resolution.

24. Upon request, the Secretariat shall supply additional tags to Members or Cooperating Non-Members if required for use pursuant to this resolution.

25. CCSBT tags that are suspended, withdrawn, cancelled [or expire], shall be returned to the flag State / Fishing Entity, upon demand, for nullification and destruction. Flag States / Fishing Entities shall promptly notify the Secretariat of this, which shall keep a record of this.

26. CCSBT tags shall, to the extent possible, meet the following requirements:

- (a) be cost-effective;
- (b) contain an easily identifiable CCSBT logo;
- (c) have a unique individual identifier, assigned by the Secretariat, printed on the tag as a bar-code and as an easily readable number;
- (d) be able to be securely fastened to southern bluefin tuna;
- (e) be non-reusable, tamper-proof, and secure from counterfeiting or replication;
- (f) be able to withstand temperatures used for freezing southern bluefin tuna, salt water, and rough-handling; and
- (g) be food-safe.

This section sets out the requirements for CCSBT tags. It tasks the Secretariat to source and supply tags to each Member and Cooperating Non-Member for distribution to vessels and farms. Having the Secretariat supply tags will generate cost-savings for all parties and leads to harmonisation of tags.

Members may also wish to consider having different coloured tags for each year, which would expire at the end of that year. It would also be possible for the unique identifier tags to identify which State / Entity it was provided to, eg by placing a letter at the start of the individual identifier to represent that State / Entity. This system could also be used for SBT imported from States/ Entities which are not Members / Cooperating Non-Members as suggested in part C, section II below.

Members and Cooperating Non-Member may need more tags than anticipated for several reasons, including if they catch more small fish than expected. Australia therefore proposes that Members be entitled to obtain additional tags from the Secretariat upon request.

II. Requirements to attach CCSBT tags

27. Members and Cooperating Non-Members shall require the master or operator of each of its vessels, and the owner or operator of its farms, to attach a CCSBT tag to each southern bluefin tuna at the time of kill. The CCSBT tag shall remain on each individual fish until processed.

28. Members and Cooperating Non-Members shall require the master or operator of each of its vessels, which process southern bluefin tuna at sea, to attach a tag to each fish product

This section outlines the requirements for SBT to be tagged on kill. The requirements apply equally to purse seine farming operations — under the proposal, owners or operators of farms would be required to attach a tag when the fish is killed and, if there are any mortalities in the purse seine or towing operations, then the relevant fishing / tow vessel would also need to tag the fish at time of catch.

Australia also proposes that a modified version of the tagging system will apply to SBT processed at sea. Under this proposal, the master would attribute a tag to part, or frozen package of parts, of the processed fish. This will need to be identified on the various CCSBT CDS Documentation. We would be interested in views on how the tagging system can best apply where SBT is processed at sea. Australia is concerned that processing at sea could become a loophole if it is not covered in this resolution.

III. Prohibition on transfer or sale without tags

29. Members and Cooperating Non-Members shall, under their domestic law, prohibit the transfer or sale of southern bluefin tuna, including as a fish product, without a CCSBT tag.

This section provides for prohibitions on the transfer or sale of SBT without a tag, and on the transfer of saleable parts of processed SBT without a tag.

C. GENERAL REQUIREMENTS FOR IMPLEMENTING THIS RESOLUTION

I. Timeframe for implementing this resolution

30. This resolution shall be implemented as follows:

- (a) [to be inserted]

Australia requests other Members to consider realistic timeframes for implementing this resolution. Different parts could come into force at different times, with the resolution overall to be fully implemented by no later than 1 July 2009. For example, the resolution could require that:

- (a) The Secretariat shall commence distributing tags to all Members and Cooperating Non-Members by 1 May 2008;
- (b) Members and Cooperating Non-Members shall commence distributing tags for use from 1 July 2008;
- (c) From 1 July 2008, Members and Cooperating Non-Members shall require all tagged southern bluefin tuna to be documented on a CCSBT Catch Document and all transfers of tagged southern bluefin tuna to be documented on a CCSBT Transfer Document
- (d) Untagged whole southern bluefin tuna may be sold until 1 July 2009;
- (e) From 1 January 2009, all transfers of southern bluefin tuna shall be inspected as required by this resolution; and
- (f) The resolution shall be fully implemented by 1 July 2009.

This proposal would effectively mean that Members and Cooperating Non-Members commence introducing the new requirements from 1 July 2008, and fully implement the resolution by 1 July 2009. Members and Cooperating Non-Members have flexibility within that timeframe to meet the resolution's requirements.

As per the following paragraph, the Statistical Document Program (Trade Information Scheme) requirements shall continue to apply for exports of untagged SBT.

II. Revocation and replacement of the Statistical Document Program

31. This resolution amends and revokes the Statistical Document Program as follows:

- (a) until 30 June 2009, the Statistical Document Program shall not apply to exports of tagged southern bluefin tuna which are documented pursuant to this resolution. However, the Program shall apply to exports of untagged southern bluefin tuna pursuant to the terms of that Program; and
- (b) from 1 July 2009, the Statistical Document Program is revoked.

The Catch Documentation Scheme will ultimately replace the current CCSBT Southern Bluefin Tuna Statistical Document Program. However, the Trade Information Scheme should continue to apply to all exports of SBT that are not tagged during the phase-in period for full implementation of this resolution.

III. Implementation by States / Fishing Entities other than Members or Cooperating Non-Members

32. The Executive Secretary shall request States / Fishing Entities other than Members or Cooperating Non-Members, which transfer southern bluefin tuna, to cooperate in the implementation of this resolution, and to provide to the Secretariat information about and the data obtained from such implementation.

33. A Member or Cooperating Non-Member which import southern bluefin tuna from a State / Fishing Entity other than a Member or Cooperating Non-Member shall, upon import:

- (a) tag each fish or fish product with a CCSBT tag;
- (b) require the import to be documented on a CCSBT Transfer Document; and
- (c) within 5 working days, transmit to the Secretariat (in electronic or paper form) a copy of the Document or the information contained in the Document.

The section mandates the Executive Secretary to liaise with States / Fishing Entities other than Members or Cooperating Non Members in the implementing this resolution. This provision is important because Members and Cooperating Non-Members will be prohibited from importing southern bluefin tuna from other States / Entities which are not tagged and documented.

Australia proposes that Members and Cooperating Non-Members which import SBT from States / Fishing Entities other than Members or Cooperating Non Members must tag the Document on import and require a Transfer Document to be completed documenting the import. Members may wish to consider whether the CCSBT tag for such imports be identifiable in such a way (eg by including a different letter at the front of the number) so that its origin is apparent.

However, Australia would be interested in the view of all Members about how to deal with imports of SBT from States / Fishing Entities which are not Members or Cooperating Non-Members.

IV. Requirements for unexpected captures

34. Members and Cooperating Non-Members shall, if southern bluefin tuna is caught unexpectedly by one of its vessels and the master or operator does not have necessary CCSBT CDS Documentation or CCSBT tag, require that the master or operator:

- (a) documents the catch on a CCSBT Catch Document and tags the catch with a CCSBT tag, as required by this resolution, within 3 days after landing; and
- (b) otherwise complies in full with this resolution.

The section deals with the situation where a vessel unexpectedly captures a southern bluefin tuna and does not have the required CDS Documentation or tag. In this case, the catch must be tagged and documented within 3 days after landing, and the resolution otherwise complied with in full. This means, for example, that the master or operator will be unable to tranship the unexpected catch, since the catch will be not be tagged and documented as required by the resolution.

V. Requirements for confiscated catch

35. If a Member or Cooperating Non-Member has cause to sell or dispose of any confiscated southern bluefin tuna it must:

- (a) if the southern bluefin tuna is to be sold, tag each fish with a CCSBT tag; and
- (b) in all cases, document the fish on a CCSBT Catch Document, with a notation describing the circumstances under which the fish was confiscated, and provide the CCSBT Catch Document to the Secretariat within five working days of completing it.

36. Any transfer of southern bluefin tuna, after its sale pursuant to the preceding paragraph, shall comply with all requirements of this resolution.

This section contains provisions dealing with the sale of any SBT seized or confiscated by a Member or Cooperating Non-Member. The Member or Cooperating Non-Member must document the seized or confiscated catch on a CCSBT Catch Document and, if the catch is being sold, tag the catch. Members may wish to consider adopting some ideas from CCAMLR – eg setting up a trust to deal with proceeds from sale of seized catch and seeking to ensure perpetrators of IUU fishing / trade do not thereby profit – but we have not included there here as they are not integral to the current resolution. The section does not require any Member or Cooperating Non-Member to seize or confiscate SBT.

VI. Secretariat to collate and report on CCSBT CDS Documentation and tagging information

37. The Secretariat shall compile the raw data from all CCSBT CDS Documentation received by it into an electronic database.

38. The Executive Secretary shall report to the Commission on and circulate to all Members data relevant to the CCSBT Catch Documentation Scheme and Tagging System:

- (a) by 1 June for the period of 1 July - 31 December of the preceding year; and
- (b) by 1 December for the period of 1 January - 30 June of the current year.

39. The Executive Secretary report will include a summary of and relevant statistics detailing:

- (a) southern bluefin tuna captures by each Member or Cooperating Non-Member, noting amongst other matters the statistical areas within which southern bluefin tuna were captured and estimated lengths;
- (b) southern bluefin tuna transfers under the jurisdiction of each Member or Cooperating Non-Member, noting amongst other matters the weight and any processing of the fish at each point of transfer;
- (c) information about sale or disposal of seized or confiscated southern bluefin tuna;

- (d) all CCSBT tags distributed by the Secretariat, including any requests for and provision of additional tags;
- (e) details of CCSBT tags reported deployed on killed southern bluefin tuna that were not inspected at a transfer within two years of kill;
- (f) available details of catches and transfers by States / Entities which are not Members or Cooperating Non-Members;
- (g) any apparent issues of non compliance with the Catch Documentation Scheme and Tagging System;
- (h) all requests by Members for CCSBT CDS Documentation pursuant to this resolution; and
- (i) any additional information considered relevant by the Executive Secretary.

The Executive Secretary will be required to give six monthly reports on information collected under the CCSBT Catch Documentation Scheme and Tagging System. The requirements for this Report will include the details specified above.

VII. Review of the CCSBT Catch Documentation Scheme and Tagging System

40. The Compliance Committee will, at its 2010 meeting, review progress in implementation of this resolution to identify weaknesses and areas for improvement, and will endeavour to make any necessary improvements to the schemes.

This section notes that the Compliance Committee will review the CCSBT Catch Documentation Scheme and Tagging System at its 2010 meeting to identify weaknesses and make any necessary improvements.

Annex 1 –CCSBT Catch Document

[Form to be prepared]

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Annex 2 – CCSBT Purse Seine Catch Information Document

[Form to be prepared. For the interest of Members, we would propose that this form include the following requirements:

1. name of the holder of fishing concession
2. details of the catching vessel(s): name of vessel, distinguishing symbol, flag, name of master
3. details of name of the towing vessel: name of vessel, flag, name of master
4. date on or dates within which the SBT was caught
5. location or locations where the SBT was caught
6. identification number of the tow cage
7. date of movement into farm pen or cage
8. identification number of the farm pen or cage
9. verified count of the number of SBT moved
10. verified estimate of the weight of SBT moved, and
11. details of any SBT mortalities during purse seine operations, tow and moved to the farm.]

Annex 3 – CCSBT Transfer Document

[Form to be prepared]

DRAFT RESOLUTION

Annex 4 – CCSBT Inspection Document

[Form to be prepared]

DRAFT RESOLUTION