



Food and Agriculture  
Organization of the  
United Nations



Indian Ocean Tuna Commission  
Commission des Thons de l'Océan Indien

IOTC-2021-CDSWG04-R[E]

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## Report of the Fourth Meeting of the Catch Documentation Scheme Working Group

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Held by video-conference, 26-28 April 2021

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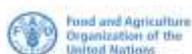
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Participants in the Meeting  
IOTC CPCs  
Chairperson IOTC  
Chairperson IOTC Compliance Committee  
Chairperson IOTC Scientific Committee

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## Acronyms

CDS	Catch Documentation Scheme
CMM	Conservation and Management Measure (of the IOTC; Resolutions and Recommendations)
CoC	Compliance Committee
CPCs	Contracting Parties and Cooperating Non-Contracting Parties
EU	European Union
EEZ	Exclusive Economic Zone
FAD	Fish Aggregating Device
FAO	Food and Agriculture Organization of the United Nations
IOTC	Indian Ocean Tuna Commission
LSTLV	Large-scale Tuna Longline Vessel
MCS	Monitoring, Control and Surveillance
TBD	To be determined
VMS	Vessel Monitoring System
WP	Work Plan
WPICMM	Working Party on the Implementation of Conservation and Management Measures

### HOW TO INTERPRET TERMINOLOGY CONTAINED IN THIS REPORT

The WPICMM Report has been written using the following terms and associated definitions so as to remove ambiguity surrounding how particular paragraphs should be interpreted.

**Level 1:** *From a subsidiary body of the Commission to the next level in the structure of the Commission:*

**RECOMMENDED, RECOMMENDATION:** Any conclusion or request for an action to be undertaken, from a subsidiary body of the Commission (Committee or Working Party), which is to be formally provided to the next level in the structure of the Commission for its consideration/endorsement (e.g. from a Working Party to the Scientific Committee; from a Committee to the Commission). The intention is that the higher body will consider the recommended action for endorsement under its own mandate, if the subsidiary body does not already have the required mandate. Ideally this should be task specific and contain a timeframe for completion.

**Level 2:** *From a subsidiary body of the Commission to a Contracting Party or Cooperating Non-Contracting Party (CPC), the IOTC Secretariat, or other body (not the Commission) to carry out a specified task:*

**REQUESTED:** This term should only be used by a subsidiary body of the Commission if it does not wish to have the request formally adopted/endorsed by the next level in the structure of the Commission. For example, if a Committee wishes to seek additional input from a CPC on a particular topic, but does not wish to formalize the request beyond the mandate of the Committee, it may request that a set action be undertaken. Ideally this should be task specific and contain a timeframe for the completion.

**Level 3:** *General terms to be used for consistency:*

**AGREED:** Any point of discussion from a meeting which the IOTC body considers to be an agreed course of action covered by its mandate, which has not already been dealt with under Level 1 or level 2 above; a general point of agreement among delegations/participants of a meeting which does not need to be considered/adopted by the next level in the Commission's structure.

**NOTED/NOTING:** Any point of discussion from a meeting which the IOTC body considers to be important enough to record in a meeting report for future reference.

**Any other term:** Any other term may be used in addition to the Level 3 terms to highlight to the reader of the IOTC report, the importance of the relevant paragraph. However, other terms used are considered for explanatory/informational purposes only and shall have no higher rating within the reporting terminology hierarchy than Level 3, described above (e.g. **CONSIDERED; URGED; ACKNOWLEDGED**).

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## Background information

The Indian Ocean Tuna Commission (IOTC) Performance Reviews (2009 and 2015) contained recommendations that the IOTC should develop a comprehensive monitoring, control and surveillance (MCS) system, including a Catch Documentation Scheme (CDS). In particular:

- i. IOTC should develop a comprehensive monitoring, control and surveillance (MCS) system through the implementation of the measures already in force, and through the adoption of new measures and tools such as a possible on-board regional observers' scheme, a possible catch documentation scheme as well as a possible system on boarding and inspection. *Recommendation 51, Report of the IOTC Performance Review Panel: January 2009. Indian Ocean Tuna Commission. 56 pp.*
- ii. *the* IOTC should continue to develop a comprehensive MCS system through the implementation of the measures already in force, and through the adoption of new measures and tools such as a possible catch documentation scheme, noting the process currently being undertaken within the FAO. *Paragraph 149 (a), IOTC–2016–PRIOTC02–R[E]: 86 pp*

These recommendations were adopted by the commission and were the basis for an in-depth appraisal for the development of an electronic CDS (e-CDS) for the IOTC, and the results of the appraisal were presented at a workshop in Maputo, Mozambique, on 12 February 2019. This workshop recommended that a Working Group be constituted to guide the development of a CDS. The recommendation was subsequently endorsed by the second meeting of the Working Party on the Implementation of Conservation and Management Measures (WPICMM02), the Compliance Committee (CoC16) and Commission (S23).

Subsequently, four CDS Working Group Meetings have been held. In response to recommendation from the 3<sup>rd</sup> CDSWG meeting, Terms of Reference for the Catch Documentation Scheme Working Group were drafted and endorsed by the Commission in November 2020. The fourth meeting of the CDSWG (CDSWG04) was the first meeting after the endorsement of the ToR. This report provides a record of the CDSWG04, as agreed to, by the members of the CDSWG04.

## 1. OPENING OF THE MEETING (Chair)

1. The meeting was held online, via Zoom, from 26 to 28 April 2021.
2. The agenda is presented in [Appendix 2](#), and the List of Participants in [Appendix 1](#). A total of 20 participants (12 Member States and Invited Experts) attended the meeting. The fourth meeting of the Catch Documentation Scheme Working Group (CDSWG) was chaired by Mr Yuki Morita (JPN).

## 2. ADOPTION OF THE AGENDA AND ARRANGEMENTS FOR THE MEETING (Chair)

3. CDSWG04 **ADOPTED** the agenda in [Appendix 2](#) (as provided by Chair).

## 3. ADMISSION OF OBSERVERS (Chair)

4. No observers have been nominated to participate in the CDSWG and none requested to participate in this meeting.

## 4. REVIEW OF STATUS OF MEMBERSHIP TO THE CDS WG (Secretariat)

5. CDSWG04 **RECOMMENDED** the Secretariat develop a dedicated webpage for future CDSWG meetings at the earliest stage possible, so that wider IOTC members, cooperating non-members, invited experts and observers are informed of the planned meeting.
6. CDSWG04 **RECOMMENDED** the Compliance Committee (CoC) and the Commission encourage those members who have not yet nominated their participants to the CDSWG to do so at the earliest possible date.
7. CDSWG04 **NOTED** that as of 26 April 2021, current Members of the CDSWG (20 Contracting Parties, plus Invited Experts): Australia, Bangladesh, Comoros, European Union, India, Indonesia, Iran, Islamic Rep. of, Japan, Korea, Republic of, Madagascar, Maldives, Mozambique, Seychelles, Somalia, South Africa, Sri Lanka, Sudan, Tanzania, Thailand, Yemen and Invited Experts.
8. CDSWG04 **NOTED** that the number of members participating to the CDSWG04 at the very beginning of the meeting did not technically reach the quorum (11) under the Rule XII, para 4 of the Rule of Procedures. For that reason, the meeting was adjourned prematurely on the first day. The quorum was reached on the second day of the meeting.
9. CDSWG04 **NOTED** that an unsuccessful quorum, where members of the working group do not attend, compromises the effectiveness of such working groups.
10. CDSWG04 **NOTED** advice from the Secretariat that in practice, many Working Group/Working Party meetings and even some subsidiary-bodies' meetings have in the past been officially convened without fulfilling the quorum. Following these precedents, CDSWG04 **AGREED** to convene the session officially.
11. CDSWG04 **RECOMMENDED** the CoC and the Commission provide clearer guidance on interpretation and application of the "quorum rule" for subsidiary-bodies' meetings, especially for Working Group (WG) meetings, under the IOTC Rules of Procedure taking into account above precedents.
12. CDSWG04 also **RECOMMENDED** the CoC and the Commission to encourage members to explicitly confirm their participation in response to invitations and to attend the meetings, for efficient organization of future meetings.

## 5. PRESENTATION OF DISCUSSION PAPER (Chair)

13. The Chair presented the Discussion Paper in the form of a powerpoint presentation ([Appendix 3](#)).
14. CDSWG04 **NOTED** Chair's presentation of the Discussion Paper (DP) and generally **AGREED** that the DP is a good basis for future discussion in the CDSWG.

## 6. REVIEW OF DISCUSSION PAPER (Chair/ Members/ Secretariat)

15. The Chair invited questions, comments or suggestions on the presentation.

### *Format for future CDSWG works*

16. CDSWG **NOTED** the Discussion Paper presented an image of the CDSWG’s output where, to achieve the objectives, the main body of the strategy proposal comprise basic design core components, operational and administrative issues and a timeline. These would be as necessary informed or supported by reference documents and schemes, and recommendations of the CDSWG.

17. CDSWG04 **AGREED** that the diagrammes in page 4 and page 5 of the DP provide good formats for development of the CDSWG’s final product (IOTC CDS strategy proposal).

### *Basic CDS design options 1-3 (as described in p82-86 of document IOTC-2019-WPICMM02-MCS CDS Study)*

18. The Chair **REMINDED** the CDSWG of the three Options (slide 9): **Option 1** IOTC, together with ICCAT, IATTC and WCPFC, launch a Kobe-type round of negotiations, focusing on the development of a Tuna Super-CDS, which is to serve all four RFMOs; **Option 2** IOTC builds its own platform, and allows other – future systems – to access some of its data, and vice versa; **Option 3** Forge ahead and develop a stand-alone IOTC CDS.

19. CDSWG04 **NOTED** that Option 1 would be ideal but probably take a long time and require the participation of other tuna RFMOs.

20. CDSWG04 **AGREED** that consideration of this component should be prioritised because without choosing any one option among the three, it is difficult for CDSWG to get into detailed discussion on other components.

21. CDSWG04 **NOTED** that it did not know the progress of the other RFMOs in their development of a CDS for tropical tunas and that without this knowledge it was not possible to assess the feasibility of Option 1.

22. CDSWG04 **AGREED** that it is difficult to reject any of option 1-3 at this stage and that the situation in other RFMOs (ICCAT, IATTC and WCPFC) is essential information for further consideration.

23. CDSWG04 **NOTED** that a formal position from other RFMOs may take a long time to elicit. **RECOGNISING** the Secretariats could not represent their RFMOs’ views, and **NOTING** the timeframe for the work of the CDSWG, CDSWG04 **AGREED** that it might not take too long to receive an answer if the question posed was simply seeking for information on current situation.

24. CDSWG04 **RECOMMENDED** the CoC and the Commission request the Secretariat to contact the Secretariats of ICCAT, IATTC and WCPFC and seek information on their (i) current situation of discussion for development of a CDS for tropical tunas and (ii) if any, agreed target timeframe for development, with a view to obtaining such information, by the end of August 2021. CDSWG04 **NOTED** that in this process the Secretariats of ICCAT, IATTC and WCPFC are not expected to seek their Members’ views for their responses.

25. CDSWG04 **NOTED** that both Options 2 and 3 had received favourable opinions from members, so both of these should still be open for consideration.

26. CDSWG04 **AGREED** to revisit this matter after obtaining responses from other RFMOs. CDSWG04 also **AGREED** that for pursuing option 1 (Kobe-type Super CDS), all the responses from other RFMOs need to be ambitious enough to meet the IOTC-CDSWG’s timeframe.

### *Species to be covered by IOTC CDS*

27. CDSWG04 **RECALLED** that for the selection of species to be covered, the ToR of the CDSWG asks it to take into account stock status, IUU risk, the level of international trade and the difficulty of implementation, and that in the first instance the CDS could cover tropical tunas (BET, YFT, SKJ).

28. CDSWG04 **AGREED** that page 10 of the DP provided generally a good format for consideration, but **AGREED** that further specific discussion is necessary.

29. CDSWG04 **NOTED** that Total Allowable Catches or Harvest Control Rules can incentivise underreporting, so other species (in addition to BET, YFT and SKJ) could be introduced as these are developed, and **NOTED** the difficulties in assessing the risk of IUU fishing.

30. CDSWG04 **AGREED** to add other factors to consider, such as the existence of “catch limit” and “economic value (price) of the tuna species”.

***Design of an electronic system/need for special consideration of artisanal fleets***

31. CDSWG04 **RECALLED** its previous decision that the CDS should be electronic.
32. CDSWG04 **RECOGNISED** the importance of special consideration of artisanal fleets, but also **NOTED** the absence of a definition of “artisanal fleets” and that one is needed to allow proper implementation of a CDS. CDSWG04 **NOTED** that there are two possible ways to address this: (i) definition wording discussion in the IOTC glossary/WPICMM, (ii) examining how ICCAT’s Electronic Bluefin tuna Catch Document (eBCD) system defines “artisanal fleets” for which special treatment (allow some time for transition from paper to electronic) is established.
33. CDSWG04 **OBSERVED** that a CDS covers fish that is traded internationally and that if some fisheries are exempted it would be more difficult to detect illegal products.
34. CDSWG04 **NOTED** that some countries might have difficulties in introducing an eCDS in the artisanal sector and would need assistance in its introduction.
35. CDSWG04 **AGREED** to add a 5<sup>th</sup> option, which allows artisanal fleets to use “simplified electronic” CDS, for future consideration. CDSWG04 **NOTED** a range of views of coastal members on which option is preferable among options 1-5. CDSWG04 **ENCOURAGED** coastal members to intersessionally share written comments that clarify their observations on advantages/disadvantages of each option, via correspondence.
36. CDSWG04 **AGREED** to continue discussions on how to address the matter without compromising the objectives of the IOTC CDS given by the Commission.

***Operational and administrative issues***

37. CDSWG04 **AGREED** to defer substantial discussion on this section to future CDSWG meetings, taking into account that discussion on this section highly depends on which basic design option 1-3 (see para 26) is preferred by the next CDSWG meeting.

**7. FUTURE WORK PLAN (Chair/ Members/ Secretariat)**

38. CDSWG04 **AGREED** to the future work plan as described in agenda item 6 above.
39. CDSWG04 **AGREED** that at least 2-3 more meetings will be necessary for completion of CDSWG’s work by the deadline.
40. CDSWG04 **ENCOURAGED** members to share intersessionally potential useful information for further discussion within this WG.

**8. ELECTION OF NEW CDSWG CHAIR (Chair/ Members/ Secretariat)**

41. CDSWG04 **NOTED** that the current Chair (Mr. Yuki Morita, Japan) has to step down from the Chair’s position by June, and also **NOTED** that no nomination had been made to date.
42. CDSWG04 **REQUESTED** members to nominate candidate(s) by 21 May, 2021.
43. CDSWG04 **AGREED** that if no nomination is made by the deadline, the Secretariat will take the Chair’s role until nomination is made.

**9. DATES OF THE NEXT CDSWG MEETING (Members)**

44. CDSWG04 **AGREED** that the current Chair will intersessionally organise the tentative dates of next CDSWG meeting (CDSWG05) via correspondence by the end of May 2021 and present the tentative dates to the CoC and the Commission.

**10. ANY OTHER MATTERS, IF ANY (Members)**

45. Members did not raise any other matter.
46. The meeting was adjourned with the adoption of the key discussion points prepared and presented by the Chair.
47. The Report of the meeting was adopted by correspondence on 13 May 2021.

## APPENDIX 1 LIST OF PARTICIPANTS

### CHAIRPERSON

Mr. Yuki Morita (Japan)  
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Absent

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Absent

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Absent

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Absent

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**APPENDIX 2**  
**AGENDA OF THE MEETING**

**CONFIRMED AGENDA: MEETING OF THE CATCH DOCUMENTATION SCHEME**  
**WORKING GROUP**

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**Date:** 26-28 April 2021

**Location:** Online

**Platform:** Zoom

**Time:** 1100–1500 Seychelles time, daily

**Chair:** Mr. Yuki Morita (Japan)

**Vice chair:** TBD

- 1. OPENING OF THE MEETING (Chair)**
- 2. ADOPTION OF THE AGENDA AND ARRANGEMENTS FOR THE MEETING (Chair)**
- 3. ADMISSION OF OBSERVERS (Chair)**
- 4. REVIEW OF STATUS OF MEMBERSHIP TO THE CDS WG (Secretariat)**
- 5. PRESENTATION OF DISCUSSION PAPER (Chair)**  
Paper: Discussion Paper
- 6. DISCUSSION BASED ON DISCUSSION PAPER (Chair/Members/Secretariat)**  
Paper: Discussion Paper  
As necessary, other documents presented to 3rd CDSWG Meeting
- 7. FUTURE WORK PLAN (Chair/Members/Secretariat)**  
Paper: Discussion Paper
- 8. ELECTION OF NEW CDSWG CHAIR (Chair/Members/Secretariat)**  
Paper: Discussion Paper  
IOTC-2021-WPICMM04-10\_Rev1
- 9. Dates of Next CDSWG Meeting (Members)**  
Paper: Discussion Paper
- 10. ANY OTHER MATTERS, IF ANY (Members)**

**APPENDIX 3**  
**DISCUSSION PAPER**

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## IOTC-CDSWG Discussion Paper

4<sup>th</sup> CDSWG Meeting  
26-28 April 2021

Yuki Morita (Japan)  
CDSWG Chair

1

This discussion paper aims to:

- Review CDSWG's tasks (ToR) given by the Commission [3-5p]
- Consider general image of CDSWG's output [7p]
- Progress consideration on "(II) Basic Design" component of the ToR, based on last year's discussion [8-11p]
- Initiate kick-off discussion on "(III) Operational and administrative issues" "(IV) Timeline" component of the ToR [12-22p]
- Consider future CDSWG's work plan/schedule, including election process of new Chair [23p]

2

## IOTC Catch Documentation Scheme Terms of Reference for the Catch Documentation Scheme Working Group (Tasks given by the Commission)

3

### General Paragraphs

#### Purpose

1. The Catch Documentation Scheme Working Group (CDSWG) will be open to all Commission members and cooperating non-members, as well as observers and external experts with relevant expertise. The Catch Documentation Working Group (CDSWG) was established with the principal task of **guiding the development/proposing a blueprint and timeline (strategy) for IOTC CDS (IOTC CDS strategy)**.

#### Objective

2. The objectives of the IOTC CDS strategy are, through introduction of CDS, to contribute to following:

- a. Certification, verification and validation of products legality with a view of **eliminating illegally caught products trade** and ensure **products traceability** to final market destination.
- b. **Provision of scientific information** for fisheries management.

#### Reporting

4. The CDSWG shall report progress to the CoC with a view to **presenting the IOTC CDS strategy proposal to IOTC in 2021** that would be considered for adoption by the Commission. Once the strategy is adopted by the Commission, the CDSWG shall **consider further specifics of CDS documentation and process including the preparation of draft CDS Resolution and associated forms**, in accordance with the strategy as adopted.

5. The CDSWG may present relevant recommendations as it deems necessary to achieve the objectives of the IOTC CDS strategy, to the Commission and relevant subsidiary bodies.

#### Meetings

6. The CDSWG shall operate, to the extent possible, **electronically**. Face to face meetings, where necessary, should take place back-to-back with other meetings

4

### Operative Paragraphs

#### Principle Responsibilities

3. In devising the strategy, the CDSWG shall consider the following:

#### (I) Reference documents and schemes

- a. The **Voluntary Guidelines for Catch Documentation Schemes developed by the FAO in 2017** and the report **Developing a comprehensive MCS system and an electronic Catch Documentation Scheme for IOTC developed by a consultant in 2018 (consultant report)**.
- b. Existing and proposed catch documentation schemes in **other RFMOs/Organisations** (including ICCAT, CCSBT and CCAMLR) and in **Commission members**.

#### (II) Basic design

a. Core components of CDS in the 3rd Meeting of the CDSWG Report (10-11 February 2020) to be further addressed in CDSWG ToRs:

i) **Basic CDS design options 1-3** (as described in p82-86 of the consultant report)

ii) **Species** to be covered by IOTC CDS, taking into account stock status, IUU risk, level of international trade and the difficulty of implementation

iii) In the first instance, the CDS could cover **tropical tunas** (bigeye tuna, yellowfin tuna and skipjack tuna), **then other IOTC species step by step**.

iv) **Design of an electronic system**

v) **Need for special consideration to artisanal fleets**

#### (IV) Timeline

a. Possible **timeline for implementation**, with prioritization and/or step-by-step approach as necessary

#### (III) Operational and administrative issues

a. The **resources** that would be required to implement and operate a CDS. This will necessarily include consideration of financial aspects of the IOTC, of capacity building, training programs and associated costs.

b. **Operational issues of data collection, submission, handling, analysis, reconciliation and dissemination**, taking into account practical feasibility of relevant stakeholders (e.g. fishing vessels)

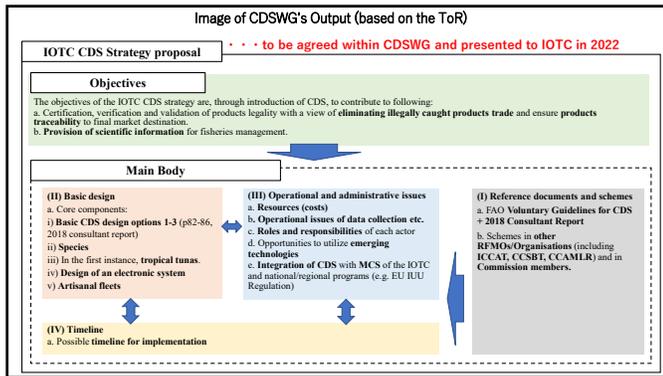
c. The **roles and responsibilities** for certification and verification of all appropriate stakeholders (e.g. flag State authority, the IOTC Secretariat), within the framework of existing international law.

d. Opportunities to utilize **emerging technology** to increase efficiency and decrease costs, with particular reference to electronic transmission of data and required forms.

e. The **integration of CDS** with the overall monitoring, control and surveillance (MCS) and **management framework** of the IOTC, including other data reporting obligations and national/regional programs (e.g. EU IUU Regulation) and avoiding duplication of work.

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### Consideration on IOTC CDS Strategy



**Image of Basic Structure for IOTC CDS Strategy**

Components	Recommendation	(As necessary) Reference documents (ICCAT, CCSBT, CCAMLR, FAO guideline--)
Basic Design	Basic CDS design options 1-3	<b>Progress consideration based on last year's discussion</b>
	Species, in the first instance, tropical tunas	
	Design of an electronic system	
	Special consideration to artisanal fleets	
Operational issues	Resources (costs)	
	Operational issues	
	Roles and responsibilities of each actor	
	Opportunities to utilize emerging technologies	
	Integration of CDS with MCS of the IOTC and national/regional programs (e.g. EU IUU Regulation)	
	Possible timeline for implementation	

**(II) a-i) Basic CDS design options 1-3 (as described in p82-86 of the consultant report)**

**(Excerpt from the Report of 3<sup>rd</sup> Meeting of CDSWG)**

**PREFERRED CDS OPTION FROM THE CDS STUDY**

The IOTC Secretariat presented three options available to IOTC for the development of a CDS:

**Option 1**  
IOTC, together with ICCAT, IATTC and WCPFC, launch a Kobe-type round of negotiations, focusing on the development of a Tuna Super-CDS, which is to serve all four RFMOs.

**Option 2**  
Adoption of a system design, where IOTC builds its own platform, and allows other – future systems – to access some of its data, and vice versa, (to detect “double spend”/fraud). Generally complicated through data confidentiality and platform compatibility issues.

**Option 3**  
Forge ahead and develop a stand-alone IOTC CDS. WCPFC has been pursuing this option for a full decade, and has yet to result in the adoption of a CMM. While this option will result in the implementation of an IOTC CDS, it will have the following consequences:  
An ineffective CDS with regards to its ability to curb IUU fishing incidence;  
A further erosion of international coordination in trade-related matters where harmonization is needed, and widely recommended as best practice.  
Severe erosion of the chances for t-RFMOs to ever pursue option 1 (super-CDS), since IOTC will then have invested/opted already into a stand-alone system.

**CDSWG Recommendation/s**  
Options 1 and 3 received similar levels of support. The WG recommended that this matter be further addressed in a CDSWG TOR.

→ Any further discussion? This very basic element need to be agreed at early stage...

**(II) a-ii) Species to be covered by IOTC CDS, taking into account stock status, IUU risk, level of international trade and the difficulty of implementation**

**(II) a-iii) In the first instance, the CDS could cover tropical tunas (bigeye tuna, yellowfin tuna and skipjack tuna), then other IOTC species step by step.**

- Which species do we cover? Bigeye? Yellowfin? Skipjack?
- ToR mandates us to take into account: stock status, IUU risk, level of international trade and the difficulty of implementation
- Followings are possible viewpoints for each:

	Possible viewpoints	Bigeye	Yellowfin	Skipjack
Stock Status	Latest advice of Scientific Committee on stock status			
IUU risk	Degree of unreported catch			
Level of international trade	Global trade/catch based on FAO Fishstat			
Difficulty of implementation	-Ratio of catch by artisanal fleets -Catch volume in Indian Ocean -Complexity of gear compositions -Identification of specific challenges and potential solutions thereof			
Any other factor?		Statistical Document Program (Res 01/06 and Res 03/01)	Special Session was held in March 2021. Still under discussion.	

**Level of international trade:**

	Catch (MT)	Trade (MT)	% of Trade
Bigeye	424,644	153,399	36%
Yellowfin	1,562,192	556,179	36%
Skipjack	3,242,856	1,714,584	53%

Note: 1. The data is for 2018 (FAO Fishstat.J).  
2. As it is difficult to calculate % of trade for the IOTC Area of Competence, the figures are for the entire world.

**(II) a-iv) Design of an electronic system**

**(II) a-v) Need for special consideration to artisanal fleets**

**(Excerpt from the Report of 3<sup>rd</sup> Meeting of CDSWG)**

**MEDIUM OF AN IOTC CDS**

The IOTC Secretariat presented the recommendation from the CDS study related to a paper CDS vs electronic CDS. Currently no CDS has been created in electronic format from the start. Both CCAMLR and ICCAT CDS's were developed as paper-based CDS, and were upgraded to fully electronic systems after many years of paper-based operations. This should clearly not be repeated at IOTC, and the system should be made electronic right from the start.

**CDSWG Recommendation/s**  
The WG noted that mechanisms of international trade of tunas are increasingly moving towards electronic systems, and that ICCAT has an e-CDS and CCSBT is in the process of potential introduction of one. The WG agreed that the IOTC CDS should therefore, be an electronic system. However, some WG participants indicated that when the CDS is applied to the artisanal fleets, other approaches may be required in the short-term.

- How do we address the need for special consideration to artisanal fleets? Possible options could be:

	Option 1	Option 2	Option 3	Option 4
Artisanal fleets	Electronic	Electronic with longer preparation period	Paper	allow to use paper CDS, subject to conversion into electronic CDS at later stage (e.g. within a week)
Other fleets	Electronic	Electronic	Electronic	Electronic

**Image of Basic Structure for IOTC CDS Strategy**

Components	Recommendation	(As necessary) Reference documents (ICCAT, CCSBT, FAO guideline...)
(II) Basic Design	a-i) Basic CDS design options 1-3 a-ii)iii) Species, in the first instance, tropical tunas a-iv) Design of an electronic system a-v) Special consideration to artisanal fleets	
(III) Operational issues	a. Resources (costs) b. Operational issues c. Roles and responsibilities of each actor d. Opportunities to utilize emerging technologies e. Integration of CDS with MCS of the IOTC and national/regional programs (e.g. EU IUU Regulation)	
(IV) Possible timeline for implementation		

**Initiate kick-off discussion**

**(III) a. The resources that would be required to implement and operate a CDS. This will necessarily include consideration of financial aspects of the IOTC, of capacity building, training programs and associated costs.**

	IOTC	ICCAT	CCSBT	CCAMLR										
<b>Initial costs</b>	-Direct cost? -Personnel cost?	<table border="1"> <thead> <tr> <th>Year</th> <th>Euros (€)</th> </tr> </thead> <tbody> <tr> <td>2012</td> <td>224,297.04</td> </tr> <tr> <td>2013</td> <td>201,699.75</td> </tr> <tr> <td>2014</td> <td>437,684.24</td> </tr> </tbody> </table> <small>Source: ICCAT Catch Documentation Scheme, 6p (ICCAT Secretariat, 2020)</small>	Year	Euros (€)	2012	224,297.04	2013	201,699.75	2014	437,684.24	<ul style="list-style-type: none"> <li>The CDS was developed in-house by the Secretariat's Data Manager</li> <li>Therefore no special funding or other support was provided for the CDS</li> <li>Any financial costs were covered within the existing CCSBT budget</li> <li>Secretariat personnel development effort was approximately:                             <ul style="list-style-type: none"> <li>75% of the Data Manager's (DM's) hours over 6-8 months</li> <li>followed by approx. 10% of DM's hours thereafter</li> </ul> </li> </ul> <small>Source: CCSBT's Catch Documentation Scheme (CDS), 25p (CCSBT Secretariat, 2020)</small>	?		
Year	Euros (€)													
2012	224,297.04													
2013	201,699.75													
2014	437,684.24													
<b>Running costs</b>	-Direct cost? -Personnel cost?	<table border="1"> <thead> <tr> <th>Year</th> <th>Euros (€)</th> </tr> </thead> <tbody> <tr> <td>2015</td> <td>323,605.68</td> </tr> <tr> <td>2016</td> <td>364,860.79</td> </tr> <tr> <td>2017</td> <td>300,000.00</td> </tr> <tr> <td>2018</td> <td>403,194.44</td> </tr> </tbody> </table> <small>Source: ICCAT Catch Documentation Scheme, 7p (ICCAT Secretariat, 2020)</small>	Year	Euros (€)	2015	323,605.68	2016	364,860.79	2017	300,000.00	2018	403,194.44	<ul style="list-style-type: none"> <li>There are generally no financial costs outside of the regular CCSBT budget except for buying tags: approx. 31-35 Yen/tag or AUD 45/tag</li> <li>Software costs: Very minor - generally only free software products or software purchased historically have been used</li> <li>Secretariat Personnel time:                             <ul style="list-style-type: none"> <li>Data Manager: approx. 10-20% of hours annum</li> <li>Compliance Manager (prior to having assistant): approx. 30-40% of hours annum</li> <li>(after having assistant): approx. 20-30% of hours annum</li> <li>Casual Staff Data Entry-CDS Assistant: approx. AUD \$15,000/annum</li> </ul> </li> </ul> <small>Source: CCSBT's Catch Documentation Scheme (CDS), 26p (CCSBT Secretariat, 2020)</small>	?
Year	Euros (€)													
2015	323,605.68													
2016	364,860.79													
2017	300,000.00													
2018	403,194.44													

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**APPENDIX B. IOTC BUDGET FOR 2021 AND INDICATIVE BUDGET FOR 2022** (Unit: USD)

	Actuals 2019	2020	2021	2022
<b>1 Staff costs</b>				
Total Staff Costs	2,152,161	2,514,220	2,709,184	2,763,368
<b>2 Operating Expenditures</b>				
2.1 Capacity building	11,094	40,000	40,000	40,000
2.2 Co-funding Science/Data grants	166,109	188,400	26,700	0
2.3 Co-funding Compliance grants	19,670	0	0	0
2.4 Misc. Contingencies	0	0	0	0
2.5 Consultants/Service Providers	104,550	568,600	597,800	597,800
2.6 Duty travel	149,628	160,000	165,000	165,000
2.7 Meetings	67,913	135,000	145,000	145,000
2.8 Interpretation	124,616	140,000	135,000	135,000
2.9 Translation	101,679	110,000	110,000	110,000
2.10 Equipment	17,822	25,000	25,000	25,000
2.11 General Operating Expenses	48,307	68,000	71,300	71,300
2.12 Printing	0	0	0	0
2.13 Contingencies	0	10,000	10,000	10,000
Total OE	832,938	1,445,000	1,323,800	1,299,100
SUB-TOTAL	2,984,198	3,959,220	4,034,984	4,062,468
<b>3 Additional Contributions Sevchelles</b>				
	0	-20,100	-20,100	-20,100
<b>4 FAO Servicing Costs</b>				
	134,433	178,165	181,574	182,813
<b>5 Deficit Contingency</b>				
	-	0	-	-
<b>6 Meeting Participation Fund</b>				
	246,544	250,000	25,000	250,000
<b>GRAND TOTAL</b>	<b>3,365,175</b>	<b>4,367,285</b>	<b>4,221,458</b>	<b>4,475,179</b>

\* Partially omitted for space

Source: IOTC 2020, Report of the 24th Session of the Indian Ocean Tuna Commission, Held by video-conference 2-6 November 2020. IOTC-2020-S24-RI[E], 55pp.

**(III) b. Operational issues of data collection, submission, handling, analysis, reconciliation and dissemination, taking into account practical feasibility of relevant stakeholders (e.g. fishing vessels)**

(Excerpt from the Report of 3<sup>rd</sup> Meeting of CDSWG)

CCSBT Paper-Based CDS	ICCAT eBCD
Paper-based CDS	Electronic CDS (eBCD)
Many manual processes	Many automated processes
e.g. for data entry and data reconciliation, discrepancy checking and communicating with Members about issues	e.g. no data entry required by the Secretariat, automated checks and alerts built in such as for monitoring catch against allocation and any over-catches, as well as automated cross-checking of other information

-Above is from the viewpoint of the Secretariat.  
-What about from the viewpoint of other major actors (fishing vessels, Members), particularly with regard to data collection and submission?

**(III) c. The roles and responsibilities for certification and verification of all appropriate stakeholders (e.g. flag State authority, the IOTC Secretariat), within the framework of existing international law.**

**In ICCAT...**

- Each BCD is composed of different sections: catch, transfer, farming, harvesting, trade.
- Every section must be completed by relevant operators and subsequently validated by their flag and/or farm States.
- By validating, FS authorities confirm that the products referred to in each section of the BCD have been caught and transferred in accordance with the appropriate conservation and management measures as agreed by the ICCAT Commission.

Source: ICCAT Catch Documentation Scheme, 3p (ICCAT Secretariat, 2020)

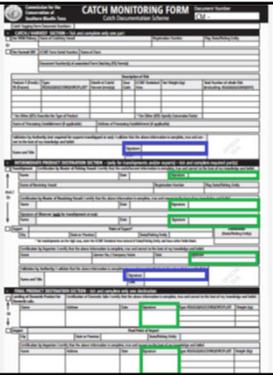
Annex 1

Source: Annex 2, ICCAT Recommendation 18-13 (Recommendation by ICCAT Replacing Recommendation 11-20 on an ICCAT Bluefin Tuna Catch Documentation Program)

- In CCSBT...

- Every CDS document needs to be **certified** (signed) to confirm various information provided is, 'complete, true and correct'
- Almost every CDS document (except tagging and farm transfer forms) also need to be **validated** (signed) by an authorised validator
- Validation comprises an overall check of a CDS form to confirm all details have been fully and accurately recorded and match the shipment
- Validation is carried out by an authorised validator who is either:
  - A Government official, or
  - An individual delegated to act as an authorised validator on the Government's behalf

Sources: CCSBT's Catch Documentation Scheme (CDS), 12-13p (CCSBT Secretariat, 2020)



(III) d. Opportunities to utilize emerging technology to increase efficiency and decrease costs, with particular reference to electronic transmission of data and required forms.

- Suggest this element be addressed at later stage.
- Sharing of specific information on potentially useful technology is encouraged.

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(III) e. The integration of CDS with the overall monitoring, control and surveillance (MCS) and management framework of the IOTC, including other data reporting obligations and national/regional programs (e.g. EU IUU Regulation) and avoiding duplication of work.

(Excerpt from the Report of 3<sup>rd</sup> Meeting of CDSWG)

**CDSWG Recommendation/s**  
*The WG noted that the EU CDS allows for recognition of a CDS developed by a RFMO. The WG agreed that an IOTC CDS should accommodate the requirements of the EU market.*  
*The WG recommended that this matter of recognition be further addressed in a CDSWG ToR, and include other market States.*

...What will be the next step?

Possible options may be to:

- Seek information from Members with national/regional trade control program (e.g. EU, Japan) on their minimum requirements, so that IOTC-CDS can be adjusted to them and avoid unnecessary work duplication
- Study whether existing CDS in other RFMOs (ICCAT, CCSBT and CCAMLR) have any integration with other MCS and management framework (Query to their Secretariats?)

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(IV) a. Possible timeline for implementation, with prioritization and/or step-by-step approach as necessary

- Suggest this element be addressed at later stage, based on further discussion on "Operational and administrative issues"
- Anyway, sufficient preparation time would be necessary for all Members, before implementation.

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**Future Work Plan**

- Election of a New CDSWG Chair (By the end of the Annual Session of the Commission, June 2021); **Members are requested to nominate candidate(s) by May 21(P)**. It is suggested that if no candidate is nominated by Members, the Secretariat will take the Chair's role until nomination is made.
- Reporting to CoC (May 31-June 2, 2021)
- At least 2-3 more meetings by June 2022 to complete the development of IOTC CDS Strategy; the dates of next (5th) CDSWG meeting will need to be arranged under the newly elected Chair

Components	Work Plan
(II) Basic Design	a-i) Basic CDS design options 1-3
	a-ii)iii) Species, in the first instance, tropical tunas
	a-iv) Design of an electronic system
	a-v) Special consideration to artisanal fleets
(III) Operational issues	a. Resources (costs)
	b. Operational issues
	c. Roles and responsibilities of each actor
	d. Opportunities to utilize emerging technologies
	e. Integration of CDS with MCS of the IOTC and national/regional programs (e.g. EU IUU Regulation)
(IV) Possible timeline for implementation	

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Thank you for your attention!!

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## APPENDIX 4

### CONSOLIDATED LIST OF RECOMMENDATIONS OF THE MEETING

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CDSWG04 ([Para. 5](#)) CDSWG04 RECOMMENDED the Secretariat develop a dedicated webpage for future CDSWG meetings at the earliest stage possible, so that wider IOTC members, cooperating non-members, invited experts and observers are informed of the planned meeting.

CDSWG04 ([Para. 6](#)) CDSWG04 RECOMMENDED the Compliance Committee (CoC) and the Commission encourage those members who have not yet nominated their participants to the CDSWG to do so at the earliest possible date.

CDSWG04 ([Para. 11](#)) CDSWG04 RECOMMENDED the CoC and the Commission provide clearer guidance on interpretation and application of the “quorum rule” for subsidiary-bodies’ meetings, especially for Working Group (WG) meetings, under the IOTC Rules of Procedure taking into account above precedents.

CDSWG04 ([Para. 12](#)) CDSWG04 also RECOMMENDED the CoC and the Commission to encourage members to explicitly confirm their participation in response to invitations and to attend the meetings, for efficient organization of future meetings.

CDSWG04 ([Para. 24](#)) CDSWG04 RECOMMENDED the CoC and the Commission request the Secretariat to contact the Secretariats of ICCAT, IATTC and WCPFC and seek information on their (i) current situation of discussion for development of a CDS for tropical tunas and (ii) if any, agreed target timeframe for development, with a view to obtaining such information, by the end of August 2021. CDSWG04 NOTED that in this process the Secretariats of ICCAT, IATTC and WCPFC are not expected to seek their Members’ views for their responses.