

**TO ALL COMMISSION MEMBERS, COOPERATING NON-MEMBERS AND  
PARTICIPATING TERRITORIES**

**Circular No.: 2023/87  
Date: 13 October 2023  
No of pages: 89**

**Compliance Monitoring Scheme Intersessional Working Group - Outstanding Audit  
Points**

Dear all,

WCPFC19 adopted 94 audit points, 60 of which were for the list of obligations assessed as part of the 2021 and 2022 reporting year. In 2023, the CMS-IWG has reviewed a list of draft audit points for 120 additional obligations. CMS-IWG participants have had several opportunities to review these draft audit points:

- a) 16 August 2023 - first draft distributed for comment (Circ 2023-64);
- b) 15 September 2023 (prior to TCC) - paper summarising participants' comments on the draft audit points (WCPFC-TCC19-2023-10A); and
- c) 20 September 2023 – Rev1 of draft audit points distributed including all participants' comments received (WCPFC-TCC19-2023-10A\_suppl\_rev1).

The table of 120 obligations and draft audit points considered by the CMS-IWG this year has been populated by filtering obligations on the WCPFC CMM obligations page (<https://cmm.wcpfc.int/obligations>) as follows:

- a) including only obligations that relate to current Annual Report Part 2 reporting (with no agreed audit point);
- b) including only Implementation (IM), Quantitative Limit (QL) and Reporting (RP) obligations. Reporting Deadline (DL) obligations are excluded in line with the 2022 approach to audit points (and agreed approach that the Secretariat confirm whether a particular deadline is met); and
- c) some additional obligations have been included where further clarity was required following last year's work (e.g. where two audit points were adopted for the same obligation).

CMS-IWG participants to date, including at TCC19, have agreed to the following approaches when considering draft audit points:

- a) no audit points are required for non-binding obligations;
- b) obligations that require specific action from a national authority or its officers (e.g. inspectors) are best treated as reporting obligations rather than implementation obligations. This is because CCMs do not generally have national binding measures requiring it to take specific action, and instead implement or require such action as part of national procedures or policies;
- c) no audit points are required for the Convention obligations contained in the table, as these obligations are covered by specific CMMs or are drafted very generally; and
- d) obligations to cooperate are best treated as reporting obligations.

The attached table below indicates where the CMS-IWG has agreed to draft audit points, or where participants' further consideration or input is required. Please provide any comments on the draft audit points by **3 November 2023** so that a revised document can be prepared in advance of WCPFC20. This revised document will contain a summary of all the agreed audit points, and then a final list of any outstanding draft audit points where contrary views have been raised. It will also contain a list of draft CMS-IWG recommendations stemming from audit point discussions to date.

Please provide any comments in track changes to Viv Fernandes [viv.fernandes@afma.gov.au](mailto:viv.fernandes@afma.gov.au) (cc: CMS IWG Chair [ikna@korea.kr](mailto:ikna@korea.kr) , Compliance Manager [Lara.Manarangi-Trott@wcpfc.int](mailto:Lara.Manarangi-Trott@wcpfc.int)). Where a different obligation category or approach is sought, please provide draft audit point language to support any views.

At WCPFC20, the CMS IWG chair and Audit Point lead will seek to submit a final list of draft audit points for adoption. Any additional consideration of draft audit points will be conducted in the margins of WCPFC20 (if time available), with a focused discussion only on draft audit points where an issue has been raised.

Regards,



Viv Fernandes  
**Audit Point lead – CMS IWG**