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COMPLIANCE MONITORING SCHEME MATTERS FOR TCC10

WCPFC-TCC10-2014-10
15 September 2014

Paper prepared by the Secretariat

Background

1. In 2013, WCPFC9 tasked the Secretariat with:

- i) finalizing the development of an online interface for Annual Report Part 2, with a view to making it available for all CCMs to use for their 2013 Annual Report Part 2; and
- ii) continuing work to develop internal systems to streamline the process of generating draft Compliance Monitoring Reports (draft CMRs).

Version 1.0 online interface for Annual Report Part 2 was delivered for CCMs use on 4th April 2013 (Circular 2013/21). An online system for the Secretariat to prepare draft CMR reports and to receive CCM replies and additional information (CMM 2012-02) was also delivered in 2013, and this supported the Secretariat's work to develop draft CMRs for 39 individual CCMs, and fully met the requirements of CMM 2012-02.

2. At WCPFC10 the Commission adopted the template for preparation of the draft CMR (WCPFC10 summary report, Attachment H, see Annex 1 to this paper), and an enhanced Conservation and Management Measure for the Compliance Monitoring Scheme (CMM 2013-02). The WCPFC10 decision on the draft CMR template meant that the basic structure of the Compliance Monitoring Report system was unchanged for 2014.

3. Key dates for Annual Report Part 2 and draft CMRs systems in 2014 were:

- the Annual Report Part 2 online system version 2.0 was made available for CCMs use on 24 March 2014 (4 months in advance of the reporting deadline of 1 July –*WCPFC Circular 2014/19* which included a 6-page quick guide for the Annual Report Part 2 online system);
- the internal Secretariat CMR system preparations commenced in March 2014, which supported some preliminary discussions between the Secretariat and the TCC Chair and Vice Chair in preparation for TCC10, as well as earlier preparations by the Secretariat of information that would form the basis of reviews by the Secretariat within dCMR;
- the dCMR system was available for use by the Secretariat from May/June;
- the draft Compliance Reports for 38 individual CCMs and two collective groups of Members were prepared and made available for CCMs replies on 28 July 2014 (*WCPFC Circular 2014/62* - which included a 6-page quick guide for the draft CMR online system);
- replies to draft CMRs were received from the majority of CCMs (approx. 23) using the online reporting system and on or before 28 August 2014; and

- the Secretariat provided advice of the availability of the full draft CMR for all CCMs on 5 September 2014 (*WCPFC Circular 2014/76*).

4. The online solution for Annual Report Part 2 and draft CMRs is hosted within the WCPFC Intranet, which uses a Microsoft Sharepoint web application platform. In addition for 2014, as a means of facilitating and managing the receipt and dissemination of additional information relevant to draft CMRs, the Secretariat provided CCMs with an individual CCM portal page on the secure side of the WCPFC website (each CCM has access to their own CCM portal, and not that of others). The successful delivery of the online systems in 2013/14 was as a result of the combined efforts of the WCPFC Secretariat Compliance and IT staff, IMS contractor Taz-E P/L and website contractor Eighty Options.

Overview of 2014 full draft Compliance Monitoring Report prepared for TCC10

5. As was the case last year, the co-hosting and integration of the online Annual Report Part 2 and CMR reporting system is a strength of the Secretariats online systems for draft CMRs: it allows the CCM reported information in Annual Report Part 2 (YES/NO/not applicable and any explanations) to be auto-populated into the draft CMR report CCM implementation fields. In 2014, the information that the Secretariat reviewed to prepare the draft CMR has continued to draw on the previous year investments by Commission towards the development and enhancement of the WCPFC IMS hosted databases for CMM reporting – this is a trend that the Secretariat expects will continue into 2015. From the perspective of the Secretariats preparations, the adoption by WCPFC10 of the agreed structure for the full draft CMR report, did usefully provided the Secretariat with certainty about the expectations of the work requirements for CMS in 2014 and this assisted with the work-planning for the draft CMR preparations. Nonetheless, the sheer size that the full draft CMR report grew to for 2014, necessarily makes draft CMR development and finalization an exercise in information management, and draft CMRs in their current form are necessarily dependent on the full use of the WCPFC online systems by CCMs and the Secretariat alike.

6. CMM 2013-02 paragraph 10 and 11 describes part of the tasking of the Secretariat with respect to preparing draft CMRs;

10. Prior to the annual meeting of the TCC, the Executive Director shall prepare a Draft Compliance Monitoring Report (the Draft Report) that consists of individual draft Compliance Monitoring Reports (dCMRs) concerning each CCM and a section concerning collective obligations arising from the Convention or CMMs related to fishing activities managed under the Convention. Each dCMR shall reflect information relating to the relevant CCM's implementation of obligations in the Convention and CMMs adopted by the Commission, as well as any potential compliance issues, where appropriate. Such information shall be sourced from reports submitted by CCMs as required in CMMs and other Commission obligations, such as Parts 1 and 2 of the Annual Reports as well as information available to the Commission through other data collection programs, including but not limited to, high seas transshipment reports, regional observer program reports, Vessel Monitoring System information, High Seas Boarding and Inspection Scheme reports, and charter notifications; and where appropriate, any additional suitably documented information regarding compliance during the previous calendar year. The Draft Report shall present all available information relating to each CCM's implementation of obligations for compliance review by TCC.

11. The Executive Director shall transmit the relevant dCMR to each CCM by 28 July each year.

7. Although there have been some indications that some CCMs would prefer that the Commission or TCC determine which CMM and Convention provisions draft CMR and Annual Report Part 2 reports, to date this has remained the responsibility of the Secretariat (within its tasking at paragraph 10 of CMM 2013-02). In the absence of Commission directions, some of the factors that influenced the Secretariat's decision on the content of the 2014 draft CMR template were:

- i) paragraph 10 of CMM 2013-02 – which describes the draft report and the types of information to be presented or reviewed therein;
- ii) the WCPFC10 agreed template for preparation of the draft CMR (WCPFC10 summary report, Attachment H – see Annex 1 of this paper) – which provided the column headings for the dCMR template;
- iii) paragraph 3 and 4 of CMM 2013-02 – which provides list of topics that became the eight divisional sections of the draft CMR report; and
- iv) paragraph 6 of CMM 2013-02 – which indicates the linkages to previous year CMR outcomes and responses to Article 25(2) and Article 23(5) matters.

8. There are eight sections in the 2014 full dCMR covering 2013 activities, the sections are intended to reflect the seven bullet points listed in paragraph 3 and also paragraph 4 of CMM 2013-02:

- (i) Catch and effort limits for target species;
- (ii) Catch and effort reporting for target species;
- (iii) Reporting for seabirds and other non-target species;
- (iv) Spatial and temporal closures, and restrictions on the use of fish aggregating devices (FADs);
- (v) Authorisation to fish and RFV, observer, VMS coverage and HSBI scheme;
- (vi) Provision of scientific data; and
- (vii) Submission of AR Pt 2 and compliance with other reporting deadlines, including compliance with CMM 2013-02 para 22.

Collective obligations as per para 4 of CMM 2013-02

A copy of the explanatory notes that the Secretariat provided CCMs to accompany the full draft CMR report, which provides notes on the content and structure of the 2014 full draft CMR structure, are provided as Annex 2 for information.

9. This year's draft CMR is significantly longer than draft CMRs prepared in the previous three years. Table 1 provides as a comparison, the key statistics related to each year's draft CMR report: each CCM had a report which contained twice as many rows compared to previous years, and implementation was reviewed for a greater number of CMMs. Annex 3 to this paper provides a list of the CMM paragraphs and Convention provisions which were included in the full draft CMR (Annex 3A provides the list of CMM paragraphs grouped by section and Annex 3B provides the same list of CMM paragraphs grouped by CMM)

Table 1. Summary of key statistics for the draft CMRs prepared by WCPFC Secretariat 2011 - 2014

Date of CMR review	CMS CMM ref.	Covering year	# of draft CMR sections	Number of CMMs which were covered by the draft CMR	# CCMs	Rows per CCM in draft CMR	Total number of rows for full draft CMR
2011	2010-03	2010	5	14 + Scientific Data to be Provided	37	75	2775
2012	2011-06	2011	5	14 + Scientific Data to be Provided	33	74	2442
2013	2012-02	2012	5	17 + Scientific Data to be Provided	39	62	2418 (1048 were "applicable")
2014	2013-02	2013	8	25 CMMs, Convention and Scientific Data to be Provided	38	132	5019 (2300 were "applicable")

10. Some of the other key differences in 2014 full draft CMR compared to previous year's draft CMR reports include:

- i. there are multiple instances of individual CMM provisions (for example the same CMM paragraph could be reviewed for the limit related parts of the provision in section i), for the catch and effort reporting requirements in section ii) or section iii), for the FAD measure aspects in section iv), for the MCS programme aspects in section v) and for the timeliness of reporting in section vii). See Annex 3B of this paper – list of CMM paragraphs in draft CMR grouped by CMM, and also see paragraphs 17 – 19 of this paper for a discussion of the relationship between section vii) and sections ii) and iii);
- ii. there were a number of new CMMs that applied in 2013 and which had not previously been reviewed by the CMS process;
- iii. the inclusion of section (iii) on “reporting for seabird and other non-target species, which added three new CMMs to the draft CMR and reintroduced other non-target CMMs that had not been reviewed since 2011;
- iv. expanding the coverage of section v) to include the RFV, and HSBI scheme as part of the MCS operational programmes that are reviewed in draft CMR;
- v. inclusion of a section on compliance with reporting deadlines (section vii) – 45 CMM paragraphs and Convention provisions, many of which were reviewed in earlier sections;
- vi. consideration of the timeliness of responses by CCMs to alleged violations reported under Article 23 (5) and Article 25 (2); and
- vii. a separate section for collective obligations within the draft CMR, which was separate from those of individual CCMs reviews (paragraph 4).

11. In late 2013 and early 2014, the Compliance Manager was able to meet with counterparts from ICCAT and CCAMLR and discuss with them the documentation and approach that they use to support their respective Compliance monitoring schemes. These discussions provided the Secretariat with some *food for thought* on the types of documentation used, and to reflect on the approach that these two RFMOs have taken with their Compliance Monitoring Schemes over time. Interestingly, in 2013 CCAMLR implemented a CMM very similar in form and approach to the current WCPFC Compliance Monitoring Scheme and sought to comprehensively review the implementation of all conservation decisions by all CPCs (or CCMs). The Secretariat understands that following that trial year, CCAMLR decided that it would instead be better to focus its compliance review work, undertaken by the Secretariat and members, in 2014 and going forward, on responses to alleged incidents of possible non-compliance (based on available information sources from port inspection reporting, observer reports, vessel sightings, VMS infringements, market state and catch documentation reviews, request from other CPCs) – this identification of alleged incidents and related correspondence is currently being managed by CCAMLR and its members through an online system. ICCAT has long established Compliance Monitoring Scheme, with a standardized set of summary documentation for their Compliance Reviews which are undertaken by committee, an individual CCM at a time.

12. On 5th September CCMs were provided with access to the secure online system for reviewing the 2014 full draft CMR, and the Secretariat also provided CCMs with a MS Excel export of the full draft CMR through the secure side of the website. Drawing on the experience from 2013 and some of the observations made of documentation used by other organisations, for TCC10 the Secretariat also provided some additional summary documentation to support TCCs review of the full draft CMR:

- each CCM has an individual summary of their draft CMR (of 1 – 20 page length), and included in that are any responses to current potential issues and previous year compliance issues (the cover note that accompanies the summary draft CMRs is at Annex 4); and
- two sets of “traffic light summaries” have been prepared which provide an overview of the spread of potential issues, both within CMMs and among CCMs, as noted by the Secretariat in

this years draft CMRs (this is based on the summary provided in the Final compliance monitoring report adopted by WCPFC10).

These summary documents were prepared by the Secretariat noting the expanded length of this years dCMR, and with a view to providing some visual tools that might assist TCC with its review of draft CMRs.

13. The early agreement of the draft CMR template by WCPFC10 did also provide an opportunity for the Secretariat to consider some small enhancements to the design of the draft CMR system with a view to better supporting the outputs of the Compliance Monitoring Scheme, including the two sets of summary draft CMR documentation. Some examples included:

- i. within the Intranet hosted Compliance Monitoring Scheme system, CCMs may have noticed that the Secretariat has expanded the CMR template to include the possibility of being able to record alongside the draft CMR, the outcomes of reviews by TCC and WCPFC annual sessions of CMRs. Any confirmed potential issues that are agreed by WCPFC11, could potentially “carry on” back through the annual CMS cycle for CCMs provide their subsequent replies through their Annual Report Part 2 to the previous years CMR issues (eg for CMM 2013-02 para 22 or its equivalent).
- ii. The inclusion of a “summary of issue” column within draft CMRs, which the Secretariat views as a *short title* for the Secretariat explanation of a potential issue. This provided a mechanism that the Secretariat has drawn on for the development of both sets of the additional summary documents (noted above). The “summary of issue” topics fall into two groups: those related to reporting and those related to implementation. The list of ten “summary of issue” titles which were used by the Secretariat in full draft CMR as an extension of the Secretariat explanation were:

Related to reporting	Related to implementation
Data Gap	Not Implemented
Reporting Gap	Exceeds limit
Incorrect reporting	Alleged incident of possible non-compliance
Report inconsistent	Observer coverage
Late submission	Interpretation

Overview of the Annual Report Part 2 online system

14. The 2014 Annual Report Part 2 online system was comprised of three (3) lists/parts:

- Annual Reports Part 2 (2013) - ALL CCMs that are required to submit an Annual Report Part 2 to the Commission should complete this section (123 questions)
- Addressing CMR Issues - This list was relevant to only those CCMs who had a score of “Compliance Review” in the Final CMR Report adopted by WCPFC10. CMM 2013-02 paragraph 22 says: “CCM shall include, in its Part 2 Annual Report, any actions it has taken to address non-compliance identified in the CMR from previous years.”
- MTU Audit Inspections (2013) - This list was relevant to CMM 2011-02 9a VMS SSPs 7.2.2 (Annual Report 2013 Q-073) and CMM 2011-02 9a VMS SSPs 7.2.4 (Annual Report 2013 Q-074). ALL CCMs that have answered “YES” to either of these questions should complete this section.

15. Similar what was to the case for draft CMR, there were no directions provided to the Secretariat by the Commission on the choice of which CMM and Convention provisions were to be included in Annual Report Part 2. Some of the factors that influenced the Secretariats decision on the content of the 2014 Annual Report Part 2 template were:

- i. required reports under the Convention and CMMs which CCMs are to provide in Annual Report Part 2, Annual Report Part 1 or which may be provided directly to the Secretariat;
- ii. decisions from previous year Commission meetings on information to be included in Annual Report Part 2; and
- iii. the coverage of CMM paragraphs to be included in the draft Compliance Monitoring Report (as guided by the CMM 2013-02 paragraphs 3, 4, 6, 10).

A list of the CMM paragraphs and Convention provisions that were included in 2014 Annual Report Part 2 system is provided in Annex 5.

16. There are two matters related to the design of the Annual Report Part 2 online system which the Secretariat would note:

- i. There were some small delays between when a CCM had completed their online Annual Report Part 2, and the Secretariat receiving confirmation that the CCM had completed their online report, one way that the Secretariat has identified might allow this to be addressed is to introduce a specific question to the template which will provide confirmation to the secretariat that the CCM has completed their submission.
- ii. The late submission by some CCMs has delayed the sharing of AR Pt 2 information through the online system to other CCMs, but the workaround has been to post a MS Excel output of the combined CCMs Annual Report Part 2 on the secure CCM side of the website. .

Some notes from the Secretariat on the substance of the full draft CMR

Clarification on the approach used by the Secretariat in its reviews within draft CMR Section vii) on timeliness and the reporting sections draft CMR section ii) and iii)

17. As noted earlier, there is some amount of overlap in the CMM paragraphs that are also reviewed between Section vii) and Section ii) and iii). Within draft CMR section ii) covering “*Catch and effort reporting for target species*” and section iii) covering *Reporting for seabirds and other non-target species* the reviews by the Secretariat highlighted potential issues if the Secretariat review indicated a positive determination to any one of the following:

- whether the report was received by the Secretariat or included in other Annual reports;
- whether the report complied with the agreed reporting formats or templates (if applicable);
- whether the report fully responded to the specified reporting requirement, eg if CMM states that raised annual estimate was to be reported, but CCM only provide a report of instances encountered;
- whether the report was submitted through the mechanism that is specified in the CMM, for example if the CMM states the report is to be provided in Annual Report Part 1, a potential issue is highlighted if it wasn't included, noting that Annual Report Part 1 is classed as public domain information and Annual Report Part 2 and replies to draft CMR are non-public domain information – in this instance the Secretariat suggested that a revision of their Annual Report Part 1 is issued to include the required CMM report; and
- whether there was any other relevant information that the Secretariat reviewed that suggested inconsistencies or possible inaccuracies in the report provided.

18. The reviews of reporting that were undertaken within section vii) in draft CMR has the title “*Submission of AR Pt 2 and compliance with other reporting deadlines, including compliance with CMM 2013-02 para 22*”. Within this section the Secretariat has reviewed the timeliness of submission of a report with a stated deadline:

- if a report, or one within a set of multiple reports within the year, was received (partial or in full) after the deadline = potential issue (late submission);
- if a report was expected but not received (partial or in full) = potential issue (reporting gap/data gap); and
- if a report was partially received prior to the deadline = no issues detected.

19. Noting the above considerations, and that section vii) comprises 45 CMM paragraphs and Convention provisions, a suggestion that TCC10 might like to consider is for TCC to take the review of draft CMR section vii)-related rows (CMM paragraphs and Convention provisions) by exception. That is, that the Secretariats highlighting of potential issues is accepted by TCC, unless a CCM has a specific concern or if there are updates from the Secretariat based on new information received.

SIDS capacity building requests

20. As was the case in previous years, CCMs may provide an indication in Annual Report Part 2 and in replies to draft CMRs of requests for assistance. CCMs will note that the Secretariat has included a column in the full draft CMR MS Excel export, which can be filtered, to show the list of CCMs and CMM paragraphs where CCMs had indicated they needed assistance. A summary of the CMM paragraphs and topics where CCMs had indicated that assistance was required is provided in Table 2.

Table 2. List of CMM paragraphs from 2014 full draft CMR where requests for assistance had been noted

CMM paragraph	Topic
CMM 2007-01 Att K Annex C	Determining and planning 5% ROP longline observer coverage
CMM 2007-04 -	Development of Seabird NPOA and reporting
CMM 2008-03	Sea turtles – reporting and implementation of CMM
CMM 2010-07	Development of Sharks NPOA
CMM 2011-02	VMS audits – assistance from FFA
CMM 2011-04	Reporting under CMM Oceanic Whitetips

Notes on where reports from CCMs on previous years compliance issues can be found (CMM 2013-02 22)

21. As mentioned previously, CCMs were provided as part of the Annual Report Part 2 online reporting system a list of CMM paragraphs where in previous years the Commission had identified potential compliance issue/s for that CCM. In accordance with CMM 2013-02 22, CCMs were to provide as part of Annual Report Part 2, a report on “any actions it has taken to address non-compliance identified in the Compliance Monitoring Report from previous years”. CCMs should note that any reports CCMs have provided to previous year compliance issues can be found in the document *WCPFC-TCC10-2014-dCMR02 - individual summary of their draft CMR and responses to current potential issues and previous year compliance issues* (the cover note that accompanies the summary draft CMRs is at Annex 4). There is also a small note included at the top of the Secretariat Explanation column within the full draft CMR, which signals that there was a previous year compliance issue and the years activities to which the potential issue relates, eg CMR issue (2012) = CMR issue identified in 2013 CMR process for activities in 2012.

22. The review of this CMM paragraph is included within the draft CMR section vii). In addition, noting the phrase “any actions” within the provision, the Secretariats review of this CMM paragraph was based on the approach described in paragraph 18 above.

Reporting and reviews in draft CMRs of alleged incidents of possible non-compliance

23. This year the full draft CMR includes some new CMM paragraph and Convention provisions which have not previously been included in the draft CMR reviews in an explicit way, such as the High Seas Boarding and Inspection Scheme (CMM 2006-08 paragraphs 30, 32, 33 and 36, 40 and 41), Convention Article 25(2) and Convention Article 23(5) reporting. In addition within this years draft CMR reviews, there was opportunity for WCPFC to consider available 2013 ROP information, and to draw on these as a source of information relevant to draft CMR reviews (CMM 2007-01 paragraph 14 (vii); CMM 2009-02 paragraph 03-07, CMM 2012-01 paragraph 10 and 11). Some of the ROP related information has led to potential issues being raised within draft CMR that are described as “alleged incidents of possible non-compliance”.

24. The Secretariat expects that these inclusions of CMMs and new information in this years draft CMR will likely add value to the Compliance Monitoring Review process in 2014. However there are a couple matters arising from the introduction of these types of information in the draft CMR:

- i. Noting that CMM 2013-02 paragraph 7 designates draft CMRs as non-public domain data, how much detail about possible alleged incidents should be included by the Secretariat within the draft CMR report? And how much should be included in supporting documentation available only to relevant CCM?
- ii. Should the Secretariat explanations in draft CMR summarise all possible alleged incidents that occurred during the applicable calendar year, or only focus on the incidents that appear to have not received a response from the flag CCM?
- iii. Where alleged incidents of potential non-compliance are raised as a potential issue, flag CCMs do need access to some amount of detail about the alleged incident, so as to undertake the necessary investigations.
- iv. Ideally, there should be a mechanism established for flag CCMs, and as appropriate coastal CCMs, to be informed on a regular basis throughout the year about any alleged incidents of possible non-compliance, and to have access to the necessary supporting information and have an opportunity and adequate time to duly investigate and report back. The Secretariat will also need to be able to track the history of each possible alleged incident and its outcome, as part of its monitoring of Article 25(2) and Article 23(5) implementation.

25. The Secretariat is currently considering approaches and possible enhancements within the WCPFC integrated-MCS Information Management System, which could provide better support and reporting of these possible alleged incidents. With respect to the ROP-related information this is an aspect of the development that will necessarily involve further work in collaboration with SPC-OFP in their capacity as the WCPFC database service provider for the ROP. Any views or recommendations about the potential development by the Secretariat of an alleged incident reporting mechanism would be welcomed.

26. The Secretariat seeks views from the CMS-WG/TCC on the reporting format that was used in 2014 draft CMR for reviewing “*alleged incidents of possible non-compliance*” within draft CMRs, and whether there are any recommendations for improvement.

Other CMM paragraphs for further consideration

27. During 2013, the TCC usefully provided some advice to the Commission to clarify the application of the reporting provisions in CMM 2005-03 to flag CCMs, and that CMM 2009-02 reporting requirements are limited to high seas waters of the Convention Area. Through the preparation of the full draft CMR, the Secretariat has noted some other CMM paragraphs which could be useful for TCC to provide some

further advice and direction related to the implementation by CCMs of these CMM provisions. These are listed in Table 3.

Table 3. List of CMM paragraphs which might be useful for TCC to consider and as appropriate provide some further advice and direction

CMM paragraph	Topic
CMM 2010-07 07 and 09 CMM 2011-04 03 CMM 2011-03 05	Reporting and interpretation
SciData03 SciData04	Data gaps
CMM 2012-01 11 / Att B	FAD closure and FAD set reporting gaps, timeliness and interpretation
CMM 2012-01 31 and 32	Reporting and data gap: other commercial fisheries for tropical tunas
CMM 2009-06 11 and 35 a(iii) and 35 a (iv)	Reporting gaps and timeliness
CMM 2007-01 Att K Annex C 04	ROP data submission
CMM 2007-01 Att K Annex C 04	5% longline observer coverage

Are there parts of draft CMRs that are providing greater value than others to the reviews by TCC of implementation of CMMs on behalf of the Commission?

28. This years draft CMR was the longest and biggest draft CMR since the Compliance Monitoring Scheme was established (see Table 1): it has grown to such a size that process of developing, reviewing and finalizing the full draft CMR report has become an information management exercise that is heavily dependent on:

- i. The WCPFC online reporting systems which are used by CCMs and the Secretariat, as well as the integrated MCS information management system and its further developments;
- ii. CCMs being able to meet specified deadlines for completion of their annual reporting (particularly fished and did not fish reports, Annual Report Part 1 and Annual Report Part 2 which are one of the primary information sources that are necessary for many parts of the draft CMR); and
- iii. The WCPFC Secretariat MCS/compliance staff necessarily having to carefully work program their time and other commitments during the period of late April through the end of September, to meet the specified draft CMR deadlines and TCC annual meeting deadlines.

Whilst the Secretariat was able to successfully deliver draft CMRs in 2014, there were some considerable hours worked over the last couple of months by the Compliance/MCS team, and there also wasn't much breathing space between finalizing of the full draft CMR and TCC10 meeting preparations.

29. Noting this, if there remains some interest amongst CCMs, the Secretariat would like to indicate its support for an approach that might include a WCPFC Commission decision each year that confirms the list of CMM paragraphs and Convention provisions which would be reported on by CCMs in Annual Report Part 2 and which are reviewed in draft CMR. If such lists were to be developed by a working group, the Secretariat would also urge that CCMs give some consideration to whether there are parts of draft CMR which are providing greater value to the reviews by TCC of implementation of CMMs on behalf of the Commission. If so, this could provide a possible basis for further focusing future Annual Report Part 2 and/or draft CMR reporting.

Administrative note

30. All general Annual Report Part 2 and draft CMR inquiries and requests for assistance should be directed to the email address: contact.ar@wcpfc.int

Annex 1 – WCPFC10 agreed template for 2014 draft Compliance Monitoring Report

CCM	CMM Paragraph	CMR Section	CCM Assessment	2012 CCM Implementation	Potential issue	WCPFC Secretariat Explanation	CCM additional information	TCC Assessment	TCC notes on corrective actions the CCM is to undertake
	<i>A list will be developed by the Secretariat based on a consideration of the equivalent of para 3 of CMM 12-02 in the new CMM</i>	<i>The equivalent of para 3 of CMM 12-02</i>	<i>CCM advice in Annual Report part 2: * YES (fully implemented), * NO (not fully implemented) *N/A (not applicable) * [blank] – not included in AR Pt 2</i>	<i>May include, as appropriate: CCM explanation from Annual Report Part 2 Notes from Secretariat on other relevant information regarding implementation or potential issues</i>	<i>choice of: *no issues detected; *additional information; *potential compliance issue.</i>	<i>text explanation as the basis for the identification of a potential issue by WCPFC Secretariat</i>	<i>The equivalent of para 11 of CMM 12-02 in the new CMM</i>	Completed by TCC	Completed by TCC

Annex 2 - Explanatory notes on columns in full dCMR covering 2013 activities, prepared by the WCPFC Secretariat and in accordance with WCPFC9 agreed template (Attachment H of WCPFC9 Report)

CMR Section: there are eight sections in the full dCMR covering 2013 activities. The sections are intended to reflect the seven bullet points listed in paragraph 3 and also paragraph 4 of CMM 2013-02, and they are:

- (i) catch and effort limits for target species;
 - (ii) catch and effort reporting for target species;
 - (iii) Reporting for seabirds and other non-target species;
 - (iv) spatial and temporal closures, and restrictions on the use of fish aggregating devices (FADs);
 - (v) Authorisation to fish and RFV, observer, VMS coverage and HSBI scheme;
 - (vi) provision of scientific data; and
 - (vii) submission of AR Pt 2 and compliance with other reporting deadlines, including compliance with CMM 2013-02 para 22.
- Collective obligations as per para 4 of CMM 2013-02

CMM paragraph -

refers to the specific paragraph within a Conservation and Management Measure (CMM), or the Article and subparagraph of the Convention. Currently this list is determined by the Secretariat based on the guidance provided in paragraph 3, 4, and 10 of CMM 2013-02

CCM Assessment – this was populated automatically from the same paragraph which was in AR Pt 2 covering 2013 activities – choice of YES (fully implemented), NO (not fully implemented) or N/A]. Note that this will be "blank" where a CCM had not completed this field in AR Pt 2, prior to the full dCMR being completed.

Applicability checked – populated by Secretariat.

In some cases, this might differ from a CCMs assessment in AR Pt 2, and was made based on the Secretariats understanding of the nature of the requirement and the characteristics of a particular CCMs fishery, eg whether a requirement applies to flag CCMs, or coastal CCMs.

CCM Implementation - populated automatically from ARPT2.

Any text explanations that CCMs have provided in AR Part 2 for their YES, NO or N/A answer in AR Pt 2 for the same CMM or Convention reporting requirement.

Potential Issue - populated by Secretariat

choice of: no issues detected; need additional information; potential compliance issue. To make it easier to quickly identify the potential issues, we have highlighted those with potential issue noted as “need additional information” in yellow or “potential compliance issue” with red. ["no issues detected" with green]

Secretariat Explanation - populated by Secretariat

– text explanation for the choice made by the Secretariat of potential issue. As applicable, there may be notes on supplementary information, including as applicable:

- quotes or notes from AR Pt1 reported information,
- notes on relevant information from WCPFC records and information from WCPFC databases,
- notes on updated information and advice from SPC, and
- a short reference (CMR issue (RY 2012)) to highlight that the CCM had a previous year CMR issue for this CMM requirement or for a similar provision under a CMM which was replaced in 2013.

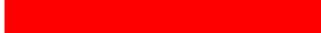
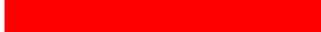
Summary of Issue - populated by Secretariat

– this column is closely related to the Secretariat explanation, and is a short title that seeks to summarize the Secretariat Explanation where “need additional information” or “potential compliance issue” has been chosen (this field is left blank where the potential issue choice was “no issues detected”). The colour-code used in "traffic light summaries" is indicated):

Related to reporting-type matters...

	Data gap
	Reporting Gap
	Incorrect Reporting
	Report inconsistent
	Late Submission

Related to implementation-type matters...

	Not implemented
	Exceeds Limit
	Alleged incident/s of possible non-compliance
	Observer coverage
	Interpretation

CCM Additional information – populated from any replies that WCPFC received as a reply to the draft dCMR report (paragraph 12 of CMM 2013-02) – these include those provided in the online dCMR system to a potential issue and any received by email or through the CCM portal. In some instances the Secretariat has included as notes some replies to CCMs comments and/or notes on additional information received. A cell will be blank either because the Secretariat had chosen “no issues detected” in the draft dCMR report sent to each CCM, or because the CCM chose not to provide a reply to the dCMR before August 28 (paragraph 12 of CMM 2013-02).

Capacity building requested - populated by the Secretariat, includes "YES" when CCM has noted in information that they require assistance. May include requests to subregional agencies

TCC Assessment – to be populated by TCC/CMS working group

As a suggestion there could be a choice of: "no issues detected"; "potential compliance issue" and "not assessed".

TCC Explanation – to be populated by TCC/CMS working group

Text field which as a suggestion might be used by TCC for including

- Notes on corrective actions that the CCM is to undertake or capacity building that a CCM needs; and/or
- Notes on TCC’s assessment based on the compliance status and next steps table, in Annex I to CMM 2013-02.

Annex 3A: List of CMM paragraphs reviewed in 2014 draft CMR, grouped by eight dCMR sections

(i) Catch and effort limits for target species

CMM 2005-03 02
 CMM 2006-04 01
 CMM 2009-02 08-13
 CMM 2009-03 01
 CMM 2009-03 02
 CMM 2009-03 03
 CMM 2009-06 34
 CMM 2010-01 05
 CMM 2010-05 01
 CMM 2010-07 07
 CMM 2010-07 09
 CMM 2012-01 08
 CMM 2012-01 13
 CMM 2012-01 15 & Att D 10
 CMM 2012-01 17
 CMM 2012-01 19
 CMM 2012-01 26
 CMM 2012-01 30
 CMM 2012-06 02

(ii) Catch and effort reporting for target species

CMM 2005-03 03
 CMM 2005-03 04
 CMM 2006-04 04
 CMM 2009-02 12
 CMM 2009-03 08
 CMM 2009-06 11

CMM 2009-06 35 a (ii)
 CMM 2009-06 35 a (iii)
 CMM 2009-06 35 a (iv)
 CMM 2010-02 02
 CMM 2010-02 06
 CMM 2010-05 04
 CMM 2012-01 11
 CMM 2012-01 14
 CMM 2012-01 27
 CMM 2012-01 28
 CMM 2012-01 31
 CMM 2012-01 Att B
 CMM 2012-01 Att D 03
 CMM 2012-06 04

(iii) Reporting for seabirds and other non-target species

CMM 2007-04 04
 CMM 2007-04 09
 CMM 2008-03 02
 CMM 2008-03 07c
 CMM 2011-03 05
 CMM 2011-04 03

(iv) Spatial and temporal closures and restrictions on the use of FADs

CMM 2009-02 03-07
 CMM 2012-01 10
 CMM 2012-01 11

CMM 2012-01 24

(v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme

CMM 2004-03 02
 CMM 2004-03 03
 CMM 2006-08 07
 CMM 2006-08 30
 CMM 2006-08 32
 CMM 2006-08 33 and 36
 CMM 2006-08 40
 CMM 2006-08 41
 CMM 2007-01 07
 CMM 2007-01 09
 CMM 2007-01 10
 CMM 2007-01 14 (vii)
 CMM 2007-01 Attachment K Annex C 04
 CMM 2007-01 Attachment K Annex C 06
 CMM 2009-01 02
 CMM 2009-01 03
 CMM 2009-01 04
 CMM 2009-01 07
 CMM 2009-01 09
 CMM 2009-01 16
 CMM 2009-01 17
 CMM 2009-06 13
 CMM 2011-02 04
 CMM 2011-02 9a
 CMM 2011-02 9a VMS SSPs 2.8

CMM 2011-02 9a VMS SSPs 5.4 - 5.5
CMM 2011-02 9a VMS SSPs 7.2.2
CMM 2011-02 9a VMS SSPs 7.2.4
CMM 2011-02 9a VMS SSPs 7.2.5
CMM 2012-01 19
CMM 2012-01 20
CMM 2012-01 21
CMM 2012-01 Att D 06

(vi) Provision of Scientific Data

SciData 01
SciData 02
SciData 03
SciData 04
SciData 05

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2005-03 03
CMM 2006-08 30
CMM 2006-08 33 and 36
CMM 2006-08 40
CMM 2006-08 41
CMM 2007-01 Attachment K Annex C 06
CMM 2007-04 04
CMM 2007-04 09
CMM 2008-03 02
CMM 2008-03 07c
CMM 2008-04 05
CMM 2009-01 07
CMM 2009-01 09

CMM 2009-02 12
CMM 2009-03 08
CMM 2009-06 11
CMM 2009-06 35 a (iii)
CMM 2009-06 35 a (iv)
CMM 2010-01 08
CMM 2010-02 02
CMM 2010-07 12
CMM 2011-02 9a VMS SSPs 5.4 - 5.5
CMM 2011-02 9a VMS SSPs 7.2.2
CMM 2011-03 05
CMM 2011-04 03
CMM 2012-01 11
CMM 2012-01 14
CMM 2012-01 27
CMM 2012-01 28
CMM 2012-01 Att B
CMM 2012-01 Att D 03
CMM 2012-05 03
CMM 2012-06 04
CMM 2013-02 22
Convention Article 23 (5)
Convention Article 23 2 (b)
Convention Article 23 2 (c)
Convention Article 25 (2)
Convention Article 25 (8)
Data RaP MCS 44
SciData 01
SciData 02
SciData 03
SciData 04

SciData 05

Collective obligations as per para 4 of CMM 2013-02

CMM 2007-01 Attachment K Annex C 04
CMM 2012-01 12

Annex 3B: List of CMM paragraphs reviewed in 2014 draft CMR, grouped by CMM

CMM 2004-03 - *Vessel and gear marking*

CMM 2004-03 02

(v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme

CMM 2004-03 03

(v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme

CMM 2005-03 - *NP Albacore*

CMM 2005-03 02

(i) Catch and effort limits for target species

CMM 2005-03 03

(ii) Catch and effort reporting for target species
(vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2005-03 04

(ii) Catch and effort reporting for target species

CMM 2006-04 - *SW Striped Marlin*

CMM 2006-04 01

(i) Catch and effort limits for target species

CMM 2006-04 04

(ii) Catch and effort reporting for target species

CMM 2006-08 - *HSBI*

CMM 2006-08 07

(v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme

CMM 2006-08 30

(v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2006-08 32

(v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme

CMM 2006-08 33 and 36

(v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2006-08 40

(v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2006-08 41

(v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2007-01 - *ROP*

CMM 2007-01 07

(v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme

CMM 2007-01 09

(v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme

CMM 2007-01 10

(v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme

CMM 2007-01 14 (vii)

(v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme

CMM 2007-01 Attachment K Annex C 04

(v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme

Collective obligations as per para 4 of CMM 2013-02

CMM 2007-01 Attachment K Annex C 06

(v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2007-04 - Seabirds

CMM 2007-04 04

(iii) Reporting for seabirds and other non-target species

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2007-04 09

(iii) Reporting for seabirds and other non-target species

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2008-03 - Sea turtles

CMM 2008-03 02

(iii) Reporting for seabirds and other non-target species

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2008-03 07c

(iii) Reporting for seabirds and other non-target species

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2008-04- Large scale driftnets

CMM 2008-04 05

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2009-01- RFV

CMM 2009-01 02

(v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme

CMM 2009-01 03

(v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme

CMM 2009-01 04

(v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme

CMM 2009-01 07

(v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2009-01 09

(v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2009-01 16

(v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme

CMM 2009-01 17

(v) Authorizations to fish and RFV, Observer, VMS

coverage and HSBI Scheme

CMM 2009-02 - HS FAD closure and catch retention

CMM 2009-02 03-07

(iv) Spatial and temporal closures and restrictions on the use of FADs

CMM 2009-02 08-13

(i) Catch and effort limits for target species

CMM 2009-02 12

(ii) Catch and effort reporting for target species

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2009-03 - Swordfish

CMM 2009-03 01

(i) Catch and effort limits for target species

CMM 2009-03 02

(i) Catch and effort limits for target species

CMM 2009-03 03

(i) Catch and effort limits for target species

CMM 2009-03 08

(ii) Catch and effort reporting for target species

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2009-06 - Transshipment

CMM 2009-06 11

(ii) Catch and effort reporting for target species

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2009-06 13

(v) Authorizations to fish and RFV, Observer, VMS

coverage and HSBI Scheme

CMM 2009-06 34

(i) Catch and effort limits for target species

CMM 2009-06 35 a (ii)

(ii) Catch and effort reporting for target species

CMM 2009-06 35 a (iii)

(ii) Catch and effort reporting for target species

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2009-06 35 a (iv)

(ii) Catch and effort reporting for target species

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2010-01 - NP Striped Marlin

CMM 2010-01 05

(i) Catch and effort limits for target species

CMM 2010-01 08

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2010-02 - EHSP-SMA

CMM 2010-02 02

(ii) Catch and effort reporting for target species

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2010-02 06

(ii) Catch and effort reporting for target species

CMM 2010-05 - South Pacific Albacore

CMM 2010-05 01

(i) Catch and effort limits for target species

CMM 2010-05 04

- (ii) Catch and effort reporting for target species

CMM 2010-07 - *Sharks*

CMM 2010-07 07

- (i) Catch and effort limits for target species

CMM 2010-07 09

- (i) Catch and effort limits for target species

CMM 2010-07 12

- (vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2011-02 - *VMS*

CMM 2011-02 04

- (v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme

CMM 2011-02 9a

- (v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme

CMM 2011-02 9a VMS SSPs 2.8

- (v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme

CMM 2011-02 9a VMS SSPs 5.4 - 5.5

- (v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme
- (vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2011-02 9a VMS SSPs 7.2.2

- (v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme
- (vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2011-02 9a VMS SSPs 7.2.4

- (v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme

CMM 2011-02 9a VMS SSPs 7.2.5

- (v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme

CMM 2011-03 - *Cetaceans and purse seine*

CMM 2011-03 05

- (iii) Reporting for seabirds and other non-target species
- (vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2011-04 - *Oceanic Whitetip Sharks*

CMM 2011-04 03

- (iii) Reporting for seabirds and other non-target species
- (vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2012-01 - *Tropical tunas*

CMM 2012-01 08

- (i) Catch and effort limits for target species

CMM 2012-01 10

- (iv) Spatial and temporal closures and restrictions on the use of FADs

CMM 2012-01 11

- (ii) Catch and effort reporting for target species
- (iv) Spatial and temporal closures and restrictions on the use of FADs
- (vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2012-01 12

Collective obligations as per para 4 of CMM 2013-02

CMM 2012-01 13

(i) Catch and effort limits for target species

CMM 2012-01 14

(ii) Catch and effort reporting for target species

(vii) Submission of AR Part 2 and compliance with

other reporting deadlines

CMM 2012-01 15 & Att D 10

(i) Catch and effort limits for target species

CMM 2012-01 17

(i) Catch and effort limits for target species

CMM 2012-01 19

(i) Catch and effort limits for target species

(v) Authorizations to fish and RFV, Observer, VMS

coverage and HSBI Scheme

CMM 2012-01 20

(v) Authorizations to fish and RFV, Observer, VMS

coverage and HSBI Scheme

CMM 2012-01 21

(v) Authorizations to fish and RFV, Observer, VMS

coverage and HSBI Scheme

CMM 2012-01 24

(iv) Spatial and temporal closures and restrictions on

the use of FADs

CMM 2012-01 26

(i) Catch and effort limits for target species

CMM 2012-01 27

(ii) Catch and effort reporting for target species

(vii) Submission of AR Part 2 and compliance with

other reporting deadlines

CMM 2012-01 28

(ii) Catch and effort reporting for target species

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2012-01 30

(i) Catch and effort limits for target species

CMM 2012-01 31

(ii) Catch and effort reporting for target species

CMM 2012-01 Att B

(ii) Catch and effort reporting for target species

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2012-01 Att D 03

(ii) Catch and effort reporting for target species

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2012-01 Att D 06

(v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme

CMM 2012-05 - Charter Notifications

CMM 2012-05 03

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2012-06 - Pacific Bluefin

CMM 2012-06 02

(i) Catch and effort limits for target species

CMM 2012-06 04

(ii) Catch and effort reporting for target species

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

CMM 2013-02 - Previous year CMR issues

CMM 2013-02 22

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

Convention

Convention Article 23 (5)

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

Convention Article 23 2 (b)

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

Convention Article 23 2 (c)

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

Convention Article 25 (2)

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

Convention Article 25 (8)

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

Data RaP - Data Access Rules

Data RaP MCS 44

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

SciData - Scientific Data to be Provided

SciData 01

(vi) Provision of Scientific Data

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

SciData 02

(vi) Provision of Scientific Data

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

SciData 03

(vi) Provision of Scientific Data

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

SciData 04

(vi) Provision of Scientific Data

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

SciData 05

(vi) Provision of Scientific Data

(vii) Submission of AR Part 2 and compliance with other reporting deadlines

Annex 4 – Cover Page for Summary of full draft CMR potential issues and CCM replies for individual CCMs

This working document has been drawn up by the Secretariat, on the basis of information received as at 3 September 2014 (inclusive). A list of submissions received after that date will be provided as a supplement to this paper. There is a table (1 – 22 pages length) for each CCM or collective group based on the below template:

- The text shown in the below template in Column 2 and 4 are the headings for the draft CMR sections (ie paragraph 3 of CMM 2013-02 or equivalent in the previous CMM on CMS).
- Column 2 and 3 provides a summary of previous year identified compliance issues and any CCM replies (CMM 2013-02 22);
- Column 4 and 5 provide a summary of any noted potential compliance issues and CCM replies in the full draft CMR prepared by the Secretariat, ie where “potential compliance issue” or “additional information needed” was chosen in the “Potential Issues” of full draft CMR. The “Summary of Issue” explanation is shown alongside eg. CMM 2012-01 27 | *Late Submission*

Please note that this is a working document and the instances of potential non-compliance issues indicated here are not definitive. Following examination of the full draft CMR by the TCC, issues may be added or removed.

CCM	Potential Compliance issues 2010-2012	Actions taken to address non-compliance and response by CCM	Draft potential issues of non-compliance - 2013	CCM reply to dCMR	Actions taken
* COUNTRY	(i) Catch and effort limits for target species		(i) Catch and effort limits for target species		
*PARTICIPATING TERRITORY	(ii) catch and effort reporting for target species;		(ii) Catch and effort reporting for target species		
Or	<i>n/a</i>		(iii) Reporting for seabirds and other non-target species		
*COLLECTIVE GROUP	(iii) Spatial and temporal closures and restrictions on the use of FADs		(iv) Spatial and temporal closures and restrictions on the use of FADs		
	iv) Observer and VMS coverage		(v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme		
	v) Provision of Scientific Data and AR Pt 1		(vi) Provision of Scientific Data		
			(vii) Submission of AR Part 2 and compliance with other reporting deadlines		
	Xx issues		Xx potential issues		

Annex 5: List of questions in Annual Report Part 2 covering 2013 activities (123 questions + MTU audit list+ prev year CMR issues list)

Vessel and gear marking – CMM 2004-03

Q-001	CMM 2004-03 02	Fishing vessel marking and technical specifications
Q-002	CMM 2004-03 03	Record of WCPFC identification number (WIN)

NP Albacore – CMM 2005-03

Q-003	CMM 2005-03 02	CCMs take measures to ensure level of fishing effort by vessels fishing for NP ALB is not increased
Q-004	CMM 2005-03 03	Catch report of NP ALB due every six months
Q-005	CMM 2005-03 04	Annual report of catches and fishing effort north of the equator directed at ALB

SW Striped Marlin – CMM 2006-04

Q-006	CMM 2006-04 01	Limit number of fishing vessels fishing for MLS S 15 S, to 2000 – 2004.
Q-007	CMM 2006-04 04	Annual catches of MLS (bycatch), and annual numbers of vessels fishing for MLS S15S and their catch levels.

HSBI – CMM 2006-08

Q-008	CMM 2006-08 07	Fishing vessels to accept HSBI boardings by duly authorised inspectors, and as applicable Members to ensure compliance of its authorised inspectors with the HSBI procedures
Q-009	CMM 2006-08 30	Provide Full Report on HSBI
Q-010	CMM 2006-08 32	Notification of serious violation(s) detected during HSBI

Q-011	CMM 2006-08 33	Response by authorities of the fishing vessel to a serious violation notification
Q-012	CMM 2006-08 40	Annual reporting by members on the HSBI carried out by its authorized inspection vessels.
Q-013	CMM 2006-08 41	Annual reporting by members on their actions in response to HSBI of their fishing vessels that resulted in observation of alleged violations.

ROP – CMM 2007-01

Q-014	CMM 2007-01 07	Vessels to be prepared to accept an observer from the ROP, if required
Q-015	CMM 2007-01 09	CCMs shall source observers for their vessels as determined by the Commission.
Q-016	CMM 2007-01 10	CCMs shall explain to the vessel captain, observer duties relevant to appropriate measures adopted by the Commission.
Q-017	CMM 2007-01 13	CCM shall nominate a WCPFC National Observer Coordinator
Q-018	CMM 2007-01 14 (vii)	CCMs to ensure vessel operators comply with the Guidelines for the Rights and Responsibilities of Vessel Operators, Captains and Crew
Q-019	CMM 2007-01 Attachment K Annex C 04	ROP data submission

	CMM 2007-01	Attachment K Annex C	CCMs shall achieve 5% coverage of the effort in each fishery under the jurisdiction of the Commission
Q-020	06		

Seabirds – CMM 2007-04

	CMM 2007-04 04		Updates on any changes made to required seabird mitigation measures or technical specifications of those measures
Q-021			
Q-022	04 09		CCMs report in Annual Report Part 1 on all interactions with seabirds.

Sea turtles – CMM 2008-03

Q-023	CMM 2008-03 01		Implement FAO Guidelines to Reduce Sea Turtle Mortality in Fishing Operations
Q-024	CMM 2008-03 02		Report on Implementation of FAO Guidelines and this CMM
Q-025	CMM 2008-03 04		CCMs to ensure fishermen use proper mitigation and handling techniques and foster the recovery of any turtles that are incidentally captured
Q-026	CMM 2008-03 05a		Sea Turtle mitigation requirements for purse seine vessels
Q-027	CMM 2008-03 05b		Purse seine sea turtle incident reporting requirements
Q-028	CMM 2008-03 06		Requirements for sea turtle mitigation in longline fisheries
Q-029	CMM 2008-03 07a		Sea turtle mitigation requirements for shallow-set longline vessels that fish for swordfish

Q-030	CMM 2008-03 07c		Reporting requirement for operational definitions of shallow set swordfish fisheries, and sea turtle mitigation requirements including large circle hooks
Q-031	CMM 2008-03 07d		Reporting requirement for incidents involving sea turtles in shallow-set longline fisheries for swordfish
Q-032	CMM 2008-03 08		Research trials of circle hooks and other mitigation methods in shallow-set longline fisheries for swordfish, and report to SC and TCC

Large scale driftnets – CMM 2008-04

Q-033	CMM 2008-04 02		Measures necessary to prohibit use of large-scale driftnets in the high seas
Q-034	CMM 2008-04 05		Reporting requirement for MCS actions related to large-scale driftnet fishing on the high seas

RFV – CMM 2009-01

Q-035	CMM 2009-01 02		CCMs to ensure its fishing vessels only transship to/from, and provide bunkering for/ are bunkered by or otherwise supported by vessels on the RFV
Q-036	CMM 2009-01 03		CCMs should only allow its fishing vessels to be used for fishing, if properly authorised
Q-037	CMM 2009-01 04		Vessels authorization requirement
Q-038	CMM 2009-01 07		Notify ED of any additions, modifications and deletions of vessels from members record.

Q-039	CMM 2009-01 09	Submission of Fish/Did not fish report
Q-040	CMM 2009-01 15	CCMs to advise of the results of their annual review of implementation of paragraph 1
Q-041	CMM 2009-01 16	CCMs to ensure that its fishing vessels have been placed on the RFV in accordance with this CMM.
Q-042	CMM 2009-01 17	CCMs to prohibit landings in ports or transshipment to vessels not on RFV

HS FAD closure and catch retention – CMM 2009-02

Q-043	CMM 2009-02 03-07	FAD Closure Rules
Q-044	CMM 2009-02 08-13	Rules for Purse seine catch retention, including reporting
Q-045	CMM 2009-02 12	Submit purse seine Catch Discard Report within 48 hours after any discard.

Swordfish – CMM 2009-03

Q-046	CMM 2009-03 01	Limit number of vessels fishing for SWO S20S to the number in any one year between 2000-2005
Q-047	CMM 2009-03 02	Limit the catch of SWO by its vessels in area S20S to the amount in any one year during 2000-2006
Q-048	CMM 2009-03 03	CCMs shall not shift their fishing effort for SWO to the area north of 20°S
Q-049	CMM 2009-03 08	Report annually the number of vessels that fished for SWO and total catch of SWO

Data buoys– CMM 2009-05

Q-050	CMM 2009-05 01	CCMs shall prohibit their fishing vessels from fishing within 1 nautical mile of or interacting with a data buoy in the high seas
Q-051	CMM 2009-05 03	CCMs shall prohibit their fishing vessels from taking on board a data buoy unless specifically authorized or requested to do so by the Member or owner responsible for that buoy.
Q-052	CMM 2009-05 05	Report any entanglements with a data buoy and remove the entangled fishing gear with as little damage to the data buoy as possible

Transshipment – CMM 2009-06

Q-053	CMM 2009-06 11	Annual report on all transshipment activities covered by this Measure (including transshipment activities that occur in ports or EEZs) in accordance with the specified guidelines
Q-054	CMM 2009-06 13	CCM shall ensure that vessels they are responsible for carry observers from the WCPFC ROP to observe transshipments at sea.
Q-055	CMM 2009-06 34	Ban on high seas transshipment, unless a CCM has determined impracticability in accordance with para 37 guidelines, and has advised the Commission of such.
Q-056	CMM 2009-06 35 a (ii)	Flag State's notification to the Secretariat on its flag vessels that are authorised to transship on the high seas

Q-057	CMM 2009-06 35 a (iii)	WCPFC Transshipment Advance Notification
Q-058	CMM 2009-06 35 a (iv)	WCPFC Transshipment Declaration
<i>NP Striped Marlin – CMM 2010-01</i>		
Q-059	CMM 2010-01 05	Catch limits applicable to CCMs with vessels fishing in the Convention Area north of the equator: commencing 2011
Q-060	CMM 2010-01 08	Report on implementation including report against limits of the CMM (in AR Pt 2)
<i>EHSP-SMA CMM 2010-02</i>		
Q-061	CMM 2010-02 02	E-HSP Entry and Exit report
Q-062	CMM 2010-02 06	Any transshipment activities undertaken in the E-HSP shall be in accordance with applicable CMMs.
<i>South Pacific Albacore – CMM 2010-05</i>		
Q-063	CMM 2010-05 01	Limit on number of vessels actively fishing for SP ALB in area S 20 S above 2005 or 2000-2004 levels
Q-064	CMM 2010-05 04	Annual reports of SP ALB as a bycatch, and annual numbers of vessels actively fishing for SP ALB S20S and their catch levels.
<i>Sharks – CMM 2010-07</i>		
Q-065	CMM 2010-07 06	Full utilization of any catches of sharks retained
Q-066	CMM 2010-07 07	Vessels implement 5% fin to weight ratio

Q-067	CMM 2010-07 09	Take measures to prohibit vessels from retaining, transshipping, landing or trading in any fins harvested in contravention of this CMM
Q-068	CMM 2010-07 12	Report on implementation of this CMM, and any alternative measures that are applied (para 11)
<i>VMS CMM 2011-02</i>		
Q-069	CMM 2011-02 04	Vessels shall continue to report to Commission VMS after moving into Northern Quadrant
Q-070	CMM 2011-02 9a	Fishing vessels comply with the Commission standards for WCPFC VMS including being fitted with ALC/MTU that meet Commission requirements
Q-071	CMM 2011-02 9a VMS SSPs 2.8	Provision of ALC/MTU 'VTAF' data
Q-072	CMM 2011-02 9a VMS SSPs 5.4 - 5.5	VMS Manual Reporting procedures - applies 1 March 2013 - 1 March 2015
Q-073	CMM 2011-02 9a VMS SSPs 7.2.2	CCMs to conduct periodic audits of ALC/MTUs of its vessels and report results to the Commission (AR Pt 2)
Q-074	CMM 2011-02 9a VMS SSPs 7.2.4	Protocol for inspecting States to inspect ALCs/MTU of other CCMs vessels at sea, includes reporting requirements for inspecting States
Q-075	CMM 2011-02 9a VMS SSPs 7.2.5	Report to Secretariat any ALC/MTU, and associated details, that appear to not be in compliance with applicable CMMs related to VMS reporting

Cetaceans and purse seine - CMM 2011-03

Q-076	CMM 2011-03 01	Prohibit purse seine setting on cetaceans, if animal is sighted prior to commencement of the set
Q-077	CMM 2011-03 02	Requirement in the event of unintentional encircling of cetaceans in the purse seine net
Q-078	CMM 2011-03 03	Ensuring safe release of cetacean, unintentionally encircled in purse seine nets
Q-079	CMM 2011-03 05	Report of any instances in which cetaceans have been encircled by the purse seine nets of flagged vessels (AR Pt 1)

Oceanic Whitetip Sharks - CMM 2011-04

Q-080	CMM 2011-04 01	Prohibit vessels from retaining on board, transshipping, storing or landing any oceanic whitetip sharks, in whole or in part
Q-081	CMM 2011-04 02	Requirement to release oceanic whitetip sharks, as soon as possible
Q-082	CMM 2011-04 03	Annual report on estimated number of releases and status upon release of oceanic whitetip shark (Part 1 report)

Tropical tunas - CMM 2012-01

Q-083	CMM 2012-01 08	Limits on transfer of purse seine effort from tropical fishery (20N - 20S) to areas N20N and S20S
Q-084	CMM 2012-01 10	Purse seine 3 months FAD closure (July, August, September 2013)
Q-085	CMM 2012-01 11	Additional reduction of FAD sets

Q-086	CMM 2012-01 Att B	Reporting by CCMs that choose the FAD set limit option (para 11(ii))
Q-087	CMM 2012-01 12	PNA shall limit purse seine effort in their EEZs to 2010 levels under PNA VDS
Q-088	CMM 2012-01 13	Purse seine days limit applicable to certain non-PNA coastal States EEZs
Q-089	CMM 2012-01 14	Certain other (non-PNA) coastal States shall establish and advise limits on purse seine fisheries within their EEZs
Q-090	CMM 2012-01 15 & Att D 10	CCMs shall take measures not to increase fishing days on the high seas, see Attachment D for the limit applicable to the Philippines
Q-091	CMM 2012-01 Att D 03	Philippines vessels Entry/Exit reports for HSP-1 SMA.
Q-092	CMM 2012-01 17	Purse seine catch retention requirements (20N - 20S)
Q-093	CMM 2012-01 19	VMS reporting during FAD closure period
Q-094	CMM 2012-01 20	100% ROP purse seine coverage: rules for vessels other than those fishing exclusively in areas under its national jurisdiction
Q-095	CMM 2012-01 21	100% purse seine coverage: specific rules for vessels fishing exclusively in areas under its national jurisdiction
Q-096	CMM 2012-01 Att D 06	Specific requirements for deploying observers on Philippines vessels fishing in HSP-1
Q-097	CMM 2012-01 24	High Seas FAD Management Plan

Q-098	CMM 2012-01 26	Bigeye longline catch limits by flag
Q-099	CMM 2012-01 27	Flag CCMs monthly catch report of longline caught bigeye
Q-100	CMM 2012-01 28	Report 2013 yellowfin longline catches as at Oct 31 2013
Q-101	CMM 2012-01 30	Limit on total effort and capacity of certain other commercial tuna fisheries (that take >2000Mt of BET, YFT and SKJ)
Q-102	CMM 2012-01 31	Estimates of fishing effort for these other fisheries or proposals for provision of effort data for other commercial fisheries for 2013 and future years

Charter Notifications - CMM 2012-05

Q-103	CMM 2012-05 03	Notifications of charter arrangements made to the flag State and ED, including any updated information
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Pacific Bluefin - CMM 2012-06

Q-104	CMM 2012-06 02	Limit to ensure total fishing effort, and as applicable catches, by their vessels fishing for BFT north of 20N is maintained below 2002-2004 levels during 2013
Q-105	CMM 2012-06 03	Requirement to take measures to strengthen data collection for BFT fisheries
Q-106	CMM 2012-06 04	Report on implementation of this CMM

Report for 2014: Tropical tunas - CMM 2013-01

Q-107	CMM 2013-01 24	Reporting against EEZ limits
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Report for 2014: Previous year CMR issues – CMM 2013-02

Q-108	CMM 2013-	Report on actions to address non-
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02 22	compliance in CMRs from previous years
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Report for 2014: CMM on SIDS - CMM 2013-07

Q-109	CMM 2013-07 19	Annual report on implementation of CMM on SPECIAL REQUIREMENTS OF SMALL ISLAND DEVELOPING STATES AND TERRITORIES
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Report for 2013: Data Access Rules

Q-110	Data RaP MCS 44	Statement of compliance with Data RaP
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WCPF Convention

Q-111	Convention Article 23 (3)	Advice from members on its measures for areas under their national jurisdiction, including conservation and management measures, inspections and surveillance activities. Summary to be provided in Annual Report Part 2
Q-112	Convention Article 23 (4)	Measures CCM adopted for regulating activities of fishing vessels flying its flag. Summary to be provided in Annual Report Part 2
Q-113	Convention Article 23 (5)	Report from CCM on outcome of an investigation, conducted at the request of another Member related to alleged violations of CMMs by its nationals. Summary to be provided in Part 2
Q-114	Convention Article 25 (2)	Report of outcome of an investigation conducted, at the request of another Member of its vessels alleged violation of the Convention or CMMs. Summary to be provided in Part 2

Q-115	Convention Article 25 (8)	Annual Statement of compliance measures, including imposition of sanctions (to be provided in Annual Report Part 2)
Q-116	Convention Article 25 (11)	Report on mechanisms for monitoring international trade and domestic distribution of HMFS. Summary to be provided in Annual Report Part 2
Q-117	Convention Article 27	Reports of outcomes of Port State Inspections. Summary to be provided in Part 2

Q-118	Convention Article 5 (j)	Reports on surveillance activities (sea patrols and aerial surveillance) conducted in areas beyond national jurisdiction. Summary to be provided in Part 2
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Scientific Data to be Provided

Q-119	SciData 01	Estimates of Annual Catches
Q-120	SciData 02	Number of vessels active
Q-121	SciData 03	Operational Level Catch and Effort Data
Q-122	SciData 04	Catch and effort data aggregated by time period and geographic area
Q-123	SciData 05	Size composition data