

WCPFC DRAFT AUDIT POINTS

Compliance Monitoring Scheme

For consideration by the CMS-IWG | May 2022

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NOTE: Obligations marked with an asterisk (*) are on the List of Obligations to be Reviewed in the 2022 Draft Compliance Monitoring Report in 2023 (covering 2021 activities).

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Overview of Development of CMS Audit Points

I. Format and Structure of this Document

The list of obligations in this document closely follows the WCPFC Secretariat's **SUGGESTED CHECKLIST OF 2022 REPORTING REQUIREMENTS UNDER CMMS OR OTHER WCPFC DECISIONS**, dated 22 March 2022. Additional obligations are included based on the list developed by the FFA in their Draft Audit Points paper. The list of obligations used by the Risk-Based Assessment Framework (RBAF) also formed the basis for determining which obligations require audit points. It is important to note that not all required reporting is assessed under the CMS so the list of obligations covered by audit points will differ slightly from the overall reporting requirements.

Consistent with the **SUGGESTED CHECKLIST** document, the draft audit points in this document are grouped by sub themes, with each individual obligation having an additional obligation category of Implementation (I), Report (R), or Quantitative Limit (L). Deadline (D) obligations are not included in the audit points work because of the Commission's agreement that the Secretariat's assessment of whether a deadline has been met would be automatically accepted by the TCC in its review of the draft Compliance Monitoring Report (dCMR).

This document sets out the WCPFC Secretariat's current evaluation criteria and notes¹ compared to the draft audit points submitted by the FFA. A third column lists for each obligation the current data sources for verifying implementation or compliance, relevant deadline, and template or required reporting format, if any.

A fourth column labeled "DECISION POINTS" identifies any key issues arising from my initial assessment of the WCPFC evaluation notes, the FFA draft audit points, or any other areas of note. The information in the "DECISION POINTS" column is not exhaustive and is meant to serve as a starting point for CMS-IWG discussions. Not all audit points have decision points at this stage.

Note that the approach to each category of obligations (Implementation/Report/Limit) is generally the same. Each category has its unique set of issues, implications, and considerations but in general, the issues within each category are consistent. For example, compliance with Report obligations is generally measured by the submission of a report (on deadline, if applicable). Contents of said reports are not part of the compliance review in many cases, which may warrant further consideration depending on how reported information is used to advance the objectives of the Commission.

¹ Some of the Secretariat's evaluation notes have been lightly edited for brevity.

II. Background

What are audit points? Audit points are criteria for evaluating and assessing compliance with an obligation. They should be objective and transparent and minimize question or ambiguity as to whether a CCM has met the obligation's requirements. Importantly, reviewing compliance against objective, transparent audit points means that compliance scores are being applied consistently and fairly across the WCPFC membership.

The work to develop CMS audit points began in 2019. Prior to this, TCC had generally been conducting compliance review using a combination of the WCPFC Secretariat's evaluation notes and TCC discussions to determine compliance outcomes for CCMs. Essentially, unless the Secretariat flagged an issue in the dCMR for TCC's review, their assessment of CCMs' implementation and compliance based on available data and information, is/was accepted.

As the CMS has continued to grow and evolve over the last 10 years, so has TCC's approach to reviewing CCM compliance with obligations. Some of this evolution of compliance review is reflected in the current CMS CMM 2021-03, especially in paragraph 7 which provides guidance on the criteria to be used for assessment of compliance against obligations with quantitative limits (L), and those obligations that require national CCM-level actions to demonstrate implementation (I).

FFA Members submitted a Discussion Paper in 2021 containing draft audit points for 158 obligations, largely following the approach taken by the WCPFC Secretariat. The FFA paper also included a template for developing audit points for new obligations.

III. Options for Progressing CMS Audit Points

The volume of information in front of the IWG in all of the CMS work requires a practical, strategic approach to ensure progress is made against the IWG's agreed work plan. The draft audit points in this document are not necessarily new and should be familiar to officials who have participated in any of the dCMR reviews. At this stage, a confirmation of compliance criteria against obligations is likely all that is needed, though there will be some obligations for which new audit points are required or that additional consideration is needed.

There are at least three options for making progress on audit points in the next few months leading up to TCC18, each with its own pros and cons. At a minimum, the IWG Work Plan commits us to preparing a draft set of audit points for 60 obligations agreed to by WCPFC18 for the 2023 CMS. But how the IWG approaches review of the remaining obligations is still subject to some flexibility.

Option 1: Address audit points for all obligations contained in this document, including any additional obligations that the IWG deems necessary for inclusion. This would include the list of 60 obligations agreed to by the Commission for review in the 2023 CMS. This

approach would likely require considerable time and resources by CCMs to ensure a proper, thorough review is undertaken of all 150+ audit points in a relatively short timeframe. On the other hand, it would represent considerable progress by the Commission in advancing the CMS work and allow the Commission to trial all draft audit points in 2023 through the preparation of the draft CMR.

Therefore, TCC18 would focus its time on finalizing all audit points to recommend to the Commission for trialing in 2023, including the list of 60 obligations it agreed to be assessed in the 2023 CMS.

Option 2: Choose one or two categories of obligations on which to focus the IWG's efforts, i.e. Quantitative Limits (L) and Report (R) obligations, and leave Implementation (I) obligations for after TCC or 2023 intersessional work, or some other combination of obligations. This would allow for a less voluminous review in the coming months and would cover two of three categories of obligations. In addition, the IWG would focus on the 60 obligations across all three obligation categories that were agreed by WCPFC18 to be reviewed in the 2022 CMR. So this would be a review of audit points for 60 (I), (R), and (L) obligations, as well as any remaining (R) or (L) or (I) obligations (as agreed) that are not included in the set of 60.

Therefore, TCC18 would focus on finalizing audit points for the set of 60 obligations to be reviewed in the 2023 CMS, as well as remaining obligations in one or two of the three obligation categories.

Option 3: Only focus on the 60 obligations across all three categories that were agreed to by the Commission to be reviewed in the 2023 CMR. This option will reduce the IWG's 2022 workload by ~100 obligations for which to review audit points, which will still need to be addressed at some other time, which could extend the work of the CMS IWG beyond 2023 depending on progress.

Therefore, TCC18 would focus only on the 60 obligations to be reviewed in the 2023 CMS.

IV. Additional Points for Consideration

I expect that part of our work in the CMS-IWG will be to ascertain the utility of evaluating compliance against some obligations in terms of utility for the Commission's work and serving the Convention's core objective. Compliance review is most useful where the necessary information is available and where review is transparent and objective. The biggest gap in the WCPFC's compliance review arguably lies in its assessment of compliance with catch limits. The absence of independent data to verify self-reported catch levels weakens the Commission's compliance review of critical obligations.

The CMS CMM provides some guidance on how to approach compliance assessment of quantitative limits and other obligations in paragraph 7, which reads as follows:

7. The Commission shall undertake an annual assessment of compliance by CCMs during the previous calendar year with the priority obligations identified under paragraph 6. Such assessment shall be determined based on the following criteria:

(i) For a CCM-level quantitative limit or collective CCM quantitative limit, such as a limit on fishing capacity, fishing effort, or catch, verifiable data indicating that the limit has not been exceeded.

(ii) For other obligations:

a. Implementation – where an obligation applies, the CCM is required to provide information showing that it has adopted, in accordance with its own national policies and procedures, binding measures that implement that obligation; and

b. Monitor and ensure compliance – the CCM is required to provide information showing that it has a system or procedures to monitor compliance of vessels and persons with these binding measures, a system or procedures to respond to instances of non-compliance and has taken action in relation to potential infringements.

For quantitative limit or collective CCM quantitative Limit (L) obligations, para 7(i) calls for **verifiable data** to show that the limit has not been exceeded, yet for a number of these obligations, verifiable data does not currently exist.

With respect to Implementation (I) obligations, paragraph 7(ii)(a) provides the necessary guidance for CCMs in terms of what type of information is required for compliance, and this is reflected both in the WCFPC Secretariat's evaluation criteria as well as the FFA's draft audit points. The FFA draft audit points introduce templates for "Statements of Implementation" to further standardize reporting against (I) obligations. Important to note is that CCMs have already reported on national implementation of most obligations and per Commission agreement, reporting is only required once and "held on file" with the WCFPC Secretariat. Only updates or changes to national implementation of obligations need be reported. On adoption of Audit Points, the WCPFC Secretariat will likely be required to review existing CCM submissions of national implementation of obligations and identify any potential gaps to satisfy the relevant audit point.

One area requiring further discussion by the IWG is in relation to the final part of the last sentence of 7(ii)(b), "...and has taken action in relation to potential infringements." This may require amendment to clarify its intent, whether it's meant to refer to cases in the Compliance Case File System (CCFS) or some other source of information on potential infringements by CCM flagged vessels.

The RBAF work highlights certain obligations for which there is no compliance history, or which have been incorporated into CMMs, as in the case of most of the relevant Convention Articles. The obligations noted through the RBAF work as having no compliance history are indicated in the Decision Points column for the relevant obligations. In general, if an obligation “encourages” action or is voluntary in nature, it does not have a draft audit point. For those obligations with no compliance history, the approach can be as with others in terms of ensuring the criteria are clear and the required information is available to make objective assessments.

For Convention Articles, the IWG should consider whether those obligations are sufficiently incorporated into current CMMs.

It is also worth the CMS-IWG revisiting the guidance in paragraph 7 of the CMS CMM to ensure that the criteria is most relevant and useful for yielding outcomes that contribute to the Convention Objective, while being mindful of Article 30 of the Convention and the Special Requirements of Developing States.

V. Some Guidance for Reviewing this Document

1. Become familiar with the general approach taken by the WCPFC Secretariat and the FFA to each category of obligations (Limit/Implementation/Report) and the guidance in CMM 2021-03 paragraph 7.
2. Depending on the preferred Option in [Section III](#) above, review the relevant obligation draft audit points by FFA and the WCPFC evaluation criteria, as well as relevant data sources, deadlines, and templates for each obligation.
3. Consider whether there are any missing elements in the audit points, i.e. verifiable data for catch limits, reporting guidance, template, etc., that potentially weaken a robust, transparent compliance review.
4. Consider and/or identify relevant Decision Points to finalize audit points, including whether any audit points can be consolidated to simplify and streamline compliance review for obligations within a single CMM.
5. Reminder: Obligations marked with an asterisk (*) are on the List of Obligations to be Reviewed in the 2022 Draft Compliance Monitoring Report in 2023 (covering 2021 activities).
6. Note comments and feedback in the “DECISION POINTS” column.

REVIEW OF AUDIT POINTS

Part A: OVERARCHING REPORTING REQUIREMENTS

MCS Data Rules	MCS Data Rules and Procedures (2009)			
	<p style="color: red; margin: 0;">MCS Data Rules 44</p> <p style="margin: 0;">Category: Report (R)</p>	<p>Short description of obligation: Report information on domestic measures to ensure confidentiality of data received pursuant to Data RaP, via statement in ARPt2 affirming compliance with retention and destruction requirements, and a summary report of status of investigation until complete.</p> <p>Applicability: CCMs whose nominated MCS entities have requested and received WCPFC data during the previous calendar year, or if any WCPFC data from previous requests was retained for the purpose of an investigation, judicial or administrative proceeding</p>		
	WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>Confirm, particularly for the current reporting year, that the {Secretariat published Administration of Data Rules and Procedures website summary at https://www.wcpfc.int/administration-wcpfc-data-access-rules-and-procedures } has been checked and where needed CCM has liaised with the Secretariat to resolve any issues, particularly for the current reporting year</p> <p>Provide additional information / details such as an annual statement of compliance in reference to 2009 RULES AND PROCEDURES FOR ACCESS TO AND DISSEMINATION OF HIGH SEAS NON-</p>	None	Reporting is through ARPt2	Consider whether this is an obligation that requires compliance review under CMS.	

PUBLIC DOMAIN DATA AND INFORMATION.			
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Convention Article 23(2c): Annual Report Part 2

<p>Convention Art 23(2c) Category: Report (R)</p>	<p>Short description of obligation: Report on CCM steps to implement conservation and management measures in the Convention area (Annual Report Part 2) Applicability: All CCMs</p>		
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WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>CCM has checked, and has as needed updated their statement of implementation of prior year obligations (REPORT ON IMPLEMENTATION OF OBLIGATIONS THAT APPLIED IN PRIOR YEARS), and confirms that the information therein is current for this reporting year</p> <p>WCPFC11 agreed that CCMs will confirm if they have nothing to report on obligations when completing Annual Reports to make it clear to the Secretariat that this obligation has been considered (para 501 WCPFC11 summary report).</p>	None		Confirm that compliance with this obligation is through submission of a complete ARPt2

Convention Article 23(4): Obligations of Members of the Commission

<p>Convention Art 23(4) Category: Report (R)</p>	<p>Short description of obligation: Inform Commission of measures adopted for regulating activities of flagged vessels. Applicability: flag CCMs</p>		
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WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
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<p>Confirm whether obligation was implemented</p> <p>Provide additional information / details such as applicable measure adopted for regulating activities of vessels flying its flag that fish in the Convention Area. Provide the information as an attachment, where possible.</p>	<p>None</p>	<p>Reporting is through ARPt2</p>	<p>Consider whether reporting against this obligation is satisfied through specific reporting obligations contained in CMMs or Commission Decisions.</p>
<p>Convention Article 25(8): Compliance and Enforcement</p>			
<p style="color: red;">Convention Art 25(8)</p> <p>Category: Report (R)</p>	<p>Short description of obligation: Submit annual statement of compliance measures and any sanctions issued for violations.</p> <p>Applicability: flag CCMs</p>		
<p>WCPFC Secretariat Criteria</p>	<p>FFA Draft Audit Point</p>	<p>Notes (template, deadline, sources for verification)</p>	<p>DECISION POINTS</p>
<p>Provide an Annual Statement of Compliance Measures including imposition of sanctions</p> <p>Provide the information as an attachment, where possible</p>	<p>None</p>	<p>Reporting is through ARPt2</p>	<p>A standardized template would assist with this requirement, which could also satisfy the requirement in CMM 2021-03 (CMS) paragraph 7(ii)(b). An annual statement could list all relevant measures taken and sanctions issued for Commission obligations.</p>

2013-06 CMM 2013-06: Criteria for the Consideration of Conservation and Management Proposals			
2013-06 01 Category: Implementation (I)	Short description of obligation: Requirement to cooperate, either directly or through the Commission, to enhance the ability of developing States, particularly the least developed among them and SIDS and Territories, to develop their own fisheries for HMFS. Applicability: all CCMs		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
Confirm whether obligation was implemented Provide additional information / details that confirms the adoption by a CCM, in accordance with its own national policies and procedures, of binding measures on their implementation of the requirement to cooperate, either directly or through the Commission, to enhance the ability of developing States, particularly the least developed among them and SIDS and Territories, to develop their own fisheries for HMFS	None		Compliance against this obligation is subjective and dependent on needs articulated by SIDS/PT. How will implementation be measured? Could be partially addressed through SIDS Strategic Plan?
2013-06 03 Category: n/a	Short description of obligation: Commission to determine nature and extent of impact of proposal on SIDS/T by addressing set of questions relating to proposed measures. Applicability: any CCM that introduces a new proposal to the Commission		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
N/A	1. CCM submitted a 2013-06 checklist against CCM's proposed obligation(s) at the time the new proposal was submitted AND	Current data sources: 2013-06 checklist Deadline: prior to submission of proposal	Should compliance be submission of a completed checklist, or is compliance about the process for completing the checklist?

	<p>2. The checklist was completed through consultation with SIDS/T, either through FFA, PNA, or other appropriate mechanism that included a representative group of SIDS/T CCMs</p> <p>AND</p> <p>3. CCM completed the checklist using guidance provided in the Views on the Implementation of CMM 2013-06 contained at WCPFC15-2018-DP12_rev1, dated 6 December 2018 and found here: https://www.wcpfc.int/file/225126/download?token=jrm86Cpn</p> <p>NOTE: In practice, this obligation has been implemented through individual CCMs completing the checklist and attaching it to proposed new obligations.</p> <p>In 2018, FFA members submitted its views on how the checklist should be completed by CCMs, stating at that time and in previous meetings that the only meaningful way to implement this obligation is through consultation with FFA members. Some non-SIDS/T CCMs objected to the consultation requirement citing reasons relating to logistics, practicality, and the language of the obligation in paragraph 3. Other non-SIDS/T CCMs (e.g. Japan) have made concerted efforts over the years to work more closely with FFA members during their development of new proposals. At</p>	<p>Template: FFA guidance document</p>	
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	<p>present, the process that most non-SIDS/T CCMs are using to complete their 2013-06 checklists continues to fall short of FFA members' expectations.</p> <p>The draft audit points are designed to clarify FFA members' expectations and interpretation of this obligation.</p>		
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2013-07	CMM 2013-07: Special Requirements of SIDS and Territories			
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<p style="color: red; margin: 0;">2013-07 19</p> <p style="margin: 0;">Category: Report (R)</p>	<p>Short description of obligation: Provide an annual report (in Part 2) on the implementation of this CMM.</p> <p>Applicability: non-SIDS/T CCMs (SIDS/T CCMs may report on specific needs and requests and the nature of any support that was provided)</p>		
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WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>Provide information / details of types of assistance provided to SIDS related to this category of provisions, with an emphasis on the reporting year</p> <p>SIDS CCMs may provide details on assistance needs that are specific to this category of provisions</p>	<p>CCM submitted information in AR Pt 2 on any assistance it provided to SIDS/T in accordance with this CMM</p>	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: included in ARPt2 online facility; six questions covering paras 1-18 of CMM</p>	<p>Reporting standards or more specific guidance may help reduce subjectivity in assessing compliance with this requirement</p>

2018-06	CMM 2018-06: Record of Fishing Vessels			
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<p style="color: red; margin: 0;">2018-06 16</p> <p style="margin: 0;">Category: Report (R)</p>	<p>Short description of obligation: CCMs to advise of the results of their annual review of implementation of paragraph 1 of CMM</p> <p>Applicability: flag CCMs</p>		
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WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS

2021-03

<p>Flag CCMs shall report annually on the results of their review of their internal actions and measures taken pursuant to CMM 17-05 paragraph 1, including sanctions and punitive actions...and in a manner consistent with domestic law as regards disclosure</p>	<p>None</p>	<p>Reporting is through ARPt2</p>	<p>Unclear how reporting would be assessed for compliance, whether the substance of the report would be more useful to review versus submission of a report. If compliance is measured by the submission of a report, then consider utility of assessing in CMS.</p>
<p>CMM 2021-03: Compliance Monitoring Scheme</p>			
<p style="color: red; text-align: center;">2021-03 17</p> <p>Category: Report (R)</p>	<p>Short description of obligation: CCMs to report annually on progress under the Capacity Development Plan</p> <p>Applicability: CCMs with active Capacity Development Plans</p>		
<p style="text-align: center;">WCPFC Secretariat Criteria</p>	<p style="text-align: center;">FFA Draft Audit Point</p>	<p style="text-align: center;">Notes (template, deadline, sources for verification)</p>	<p style="text-align: center;">DECISION POINTS</p>
<p>CCMs should provide their report, which is to be included in AR Part 2</p>	<p>1. CCM submitted a report in its AR Pt 2 of its progress under its CDP</p> <p>AND</p> <p>2. Secretariat confirms that the required report has been submitted in AR Pt 2</p>	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	<p>Consideration of how to review contents of a report, i.e. where no progress is made.</p> <p>**RBAF: no compliance history</p>
<p style="color: red; text-align: center;">2021-03 45</p> <p>Category: Report (R)</p>	<p>Short description of obligation: Report on actions taken to address non-compliance identified in previous years' CMRs</p> <p>Applicability: CCMs with scores of "non-compliant" or "priority non-compliant" in previous reporting year</p>		
<p style="text-align: center;">WCPFC Secretariat Criteria</p>	<p style="text-align: center;">FFA Draft Audit Point</p>	<p style="text-align: center;">Notes (template, deadline, sources for verification)</p>	<p style="text-align: center;">DECISION POINTS</p>
<p>Provide report in AR Part 2 on actions taken to address non-compliance identified in CMRs from previous years</p>	<p>1. CCM submitted information in AR Pt 2 on actions it has taken to address its non-compliance with obligations in previous years' CMRs</p>	<p>Reporting is through ARPt2</p>	<p>Consideration of how to review contents of a report i.e. where no action is taken.</p> <p>**RBAF: no compliance history</p>

	AND 2. Secretariat confirms that the required information has been provided in AR Pt 2		
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Part B: QUANTITATIVE LIMITS IN CMMs FOR TUNA AND BILLFISH

2006-04

CMM 2006-04: SW Striped Marlin

***2006-04 01**

Category: Limit (L)

Short description of obligation: Limit number of fishing vessels fishing for MLS south of 15S to 2000 – 2004 levels

Applicability: CCMs with flagged vessels fishing for striped marlin S15S

WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. AR Pt 2, including report on implementation of CMM 2006-04 04 report, should provide additional information / details providing verifiable data applicable to the reporting year that confirms the applicable vessel limit was not exceeded</p> <p>2. check other sources eg SPC ACE tables or otherwise relevant summary data on level of vessels based on submissions of scientific data to be provided. Any catches reported as h/s transhipped in RY?</p> <p>3. check other sources eg CCM may also include catch or effort statistics in AR Pt 1</p>	<p>1. CCM-reported number of flagged fishing vessels fishing for MLS south of 15S provided in paragraph 4 does not exceed the number of CCM's total number of fishing vessels operating in any one year between the period 2000-2004</p> <p>AND</p> <p>2. CCM provided information on its adoption of a national binding instrument that limits the number of its flagged fishing vessels fishing for MLS south of 15S</p> <p>AND</p> <p>3. Secretariat review of SPC data on operational level catch and effort data does not conflict with information reported by CCM</p>	<p>Current data sources: OCE/ACE data; AR Part 1</p> <p>Deadline: AR Pt 1</p> <p>Template/format: None</p>	<p>The use of the term “fished for” affects the reporting by CCMs on this obligation due to the lack of agreement among CCMs on interpretation</p> <p>FFA draft AP includes additional requirement to submit evidence of a national binding instrument to adhere to relevant limits</p>

<p>*2006-04 04</p> <p>Category: Report (R)</p>	<p>Short description of obligation: Provide information (in Annual Report Part 1) on the number of CCM vessels that have fished for MLS south of 15°S, during the period 2000 – 2004; nominate the maximum number of vessels that shall continue to be permitted to fish for striped marlin south of 15°S; report annual catch levels of CCM vessels that have taken MLS as a bycatch as well as the number and catch levels of vessels fishing for MLS south of 15°S</p> <p>Applicability: CCMs with flagged vessels fishing for striped marlin S15S</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>Based on Secretariat records, and/or advice from SPC-OFP:</p> <p>a. did CCM submit equivalent and complete scientific data has not been submitted to SPC-OFP?</p> <p>b. was the required report submitted?</p> <p>c. what was the level of catch and number of vessels for RY reported and as confirmed by SPC?</p>	<p>1. CCM submitted an annual report with MLS catch data, including MLS bycatch; and number of vessels fishing for MLS and their catch levels S15S</p> <p>AND</p> <p>2. WCPFC Secretariat review of SPC operational level catch and effort data does not conflict with data submitted by CCM</p>	<p>Current data sources: OCE/ACE;</p> <p>Deadline: AR Pt 1 deadline</p> <p>Template/format: AR Pt 1</p>	<p>The use of the term “fished for” and “fishing/for” affects the reporting by CCMs on this obligation due to the lack of agreement on interpretation</p> <p>Limited availability of independent data to verify self-reported catch levels</p>

2009-03	CMM 2009-03: Swordfish			
	<p>*2009-03 01</p> <p>Category: Limit (L)</p>	<p>Short description of obligation: Limit number of vessels fishing for SWO south of 20S to the number in any one year between 2000-2005.</p> <p>Applicability: Flag CCMs listed in Annex 1 plus flag CCMs who have vessels operating S20S (noting SIDS+T are exempted under para 5)</p>		
	WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. AR Pt 2, should provide additional information / details providing verifiable data applicable to the reporting year that confirms the applicable vessel limit was not exceeded</p>	<p>1. CCM-reported number of flagged vessels fishing for SWO south of 20S <u>does not exceed</u> any one year between 2000-2005 (listed in Annex 1 of the CMM)</p>	<p>Current data sources: OCE/ACE;</p> <p>Deadline: ARPt 1</p>	<p>The use of the term “fishing for” affects the reporting by CCMs on this obligation due to the lack of agreement on interpretation</p>	

<p>2. compare applicable limit with report on implementation of CMM 2009-03 08 report in AR Pt 1</p> <p>3. check other sources eg SPC ACE Tables or otherwise summary data on level of vessels based on submissions directly in reference to CMM 09-03 08 reporting requirement in AR Pt1. Any catches reported as h/s transhiped in RY?</p>	<p>AND</p> <p>2. CCM provided information on its adoption of a national binding measure to limit the number of its flagged vessels fishing for SWO S20S</p> <p>AND</p> <p>3. Secretariat review of SPC data and CCM report provided in para 8 of CMM 2009-03 shows that the CCMs limit has not been exceeded.</p>	<p>Template/format: ARPt 1</p>	
<p style="text-align: center;">*2009-03 02</p> <p style="text-align: center;">Category: Limit (L)</p> <p>Short description of obligation: Limit the catch of SWO by its vessels in area south of 20S to the amount in any one year during 2000-2006. NOTE: "Total catch" refers to both targeted and bycatch catches of SWO (WCPFC11 decision).</p> <p>Applicability: Flag CCMs listed in Annex 1 plus flag CCMs who have vessels operating S20S (noting SIDS+T are exempted under para 5)</p>			
<p style="text-align: center;">WCPFC Secretariat Criteria</p>	<p style="text-align: center;">FFA Draft Audit Point</p>	<p style="text-align: center;">Notes (template, deadline, sources for verification)</p>	<p style="text-align: center;">DECISION POINTS</p>
<p>1. AR Pt 2, should provide additional information / details providing verifiable data applicable to the reporting year that confirms the applicable catch limit was not exceeded</p> <p>2. compare applicable limit with report on implementation of CMM 2009-03 08 report in AR Pt 1,</p> <p>3. check other sources eg SPC ACE tables or otherwise any summary data on level of catches based on submissions directly in reference to CMM 09-03 08 reporting requirement in AR Pt1. Any catches reported as h/s transhiped in RY?</p>	<p>1. CCM-reported catch by flagged vessels in area south of 20S does not exceed catch in any one year between 2000-2006</p> <p>AND</p> <p>2. CCM provided information on its adoption of a national binding measure to limit the catch by its flagged vessels fishing for SWO S20S</p> <p>AND</p> <p>3. Secretariat verifies reported number using SPC data and CCM report provided in para 8 of CMM 2009-03</p>	<p>Current data sources: OCE/ACE; CCM's ARPT1</p> <p>Deadline: ARPt1, ARPt2</p> <p>Template: none</p>	<p>Limited availability of independent data to verify self-reported catch limits</p> <p>FFA draft AP includes additional requirement to submit evidence of national binding instrument to limit catch</p>

<p>*2009-03 03</p> <p>Category: Implementation (I)</p>	<p>Short description of obligation: No shift in fishing effort to the area north of 20S, as a result of this measure. NOTE: No baseline effort limits have been identified for any CCM</p> <p>Applicability: Flag CCMs listed in Annex 1 plus flag CCMs who have vessels operating S20S (noting SIDS+T are exempted under para 5)</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement for CCMs not to transfer fishing effort not shift their fishing effort for SWO to the area north of 20°S</p> <p>2. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p> <p>3. compare the LL ACE Tables report for S20S catches, with the WCPFC sheet catches for SWO. See if there is any</p>	<p>1. CCM submitted a Statement of Implementation that confirms CCM’s implementation through adoption of a national binding measure that prohibits CCM flagged vessels from shifting fishing effort (for swordfish) to the area north of 20S</p> <p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that CCM flagged vessels do not shift their effort for swordfish to the area north of 20S</p> <p>AND</p>	<p>Current data sources: ARPT2</p> <p>Deadline: ARPT2</p> <p>Template: none</p>	<p>Lack of identified baseline limits for applicable CCMs potentially weakens compliance assessment</p>

discernable trend indicating a possible growth in effort N of 20S from 2016 - 2020 that may need an explanation	3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.		
<p style="text-align: center;">*2009-03 08</p> <p style="text-align: center;">Category: Report (R)</p> <p>Short description of obligation: Report in AR Part 1 the total number of vessels that fished for swordfish and total catch* of swordfish for:</p> <ul style="list-style-type: none"> a. CCM-flagged vessels operating S20S other than vessels operating under charter, lease or similar as part of domestic fishery of another CCM b. Vessels operating under charter, lease or similar as part of CCM domestic fishery S20S c. Any other vessels fishing within CCM waters S20S <p><i>*WCPFC11 confirmed a common understanding that "total catch" in this reporting requirement refers to both targeted and bycatch catches of swordfish.</i></p> <p>Applicability: Flag CCMs listed in Annex 1 plus flag CCMs who have vessels operating S20S (noting SIDS+T are exempted under para 5)</p>			
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. AR PT 1 should include a report should meet the template in CMM 09-03 08 Annex 2.</p> <p>2. Check if we can access data from SPC for S20S to check the CCMs report?</p>	<p>1. CCM has submitted the required report in AR Part 1</p> <p>AND</p> <p>2. The report was provided in the form of the template in Annex 2 of this CMM</p> <p>AND</p> <p>3. The report covers the period 2000-2009, and was updated each year after 2009, including the most recent Reporting Year</p>	<p>Current data sources: ARPT1</p> <p>Deadline: ARPT1</p> <p>Template: Annex 2 of CMM</p>	

CMM 2010-01: NP Striped Marlin

<p style="text-align: center;">*2010-01 05</p> <p style="text-align: center;">Category: Limit (L)</p>	<p>Short description of obligation: Limit catches of North Pacific Striped Marlin north of the equator to specified levels</p> <p>Applicability: CCMs with fishing vessels fishing in Convention Area north of the equator</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. AR Pt 2, including report on implementation of CMM 2010-05 08 report, should provide additional information / details providing verifiable data applicable to the reporting year that confirms the applicable catch limit was not exceeded</p> <p>2. check ACE TABLES xx Mt based on June ACE tables</p> <p>3. Any other sources eg CCM may also include catch or effort statistics in AR Pt 1, Any catches reported as h/s transhipped in 2020?</p>	<p>1. CCM has identified and confirmed its applicable catch limit, and the limit is 20% less than CCM's highest catch between 2000-2003</p> <p>AND</p> <p>2. CCM reported catch levels that do not exceed its applicable limit</p> <p>AND</p> <p>3. CCM submitted information on its adoption of a national binding instrument to require CCM flagged vessels not to exceed CCM's applicable catch limit</p> <p>AND</p> <p>4. Secretariat review of AR Pt 1 data submission and other relevant sources does not conflict with information reported by the CCM</p>	<p>Current data sources: ACE; ARPT1, ARPt2;</p> <p>Deadline:</p> <p>Template:</p>	<p>Limited availability of independent data to verify self-reported catch levels</p>
<p style="text-align: center;">2010-01 08</p> <p style="text-align: center;">Category: Report (R)</p>	<p>Short description of obligation: Report on implementation of measure, including measures applied to flagged/chartered vessels to reduce catch and the total catch taken against established limits</p> <p>Applicability: all CCMs with fishing vessels on the RFV fishing in Convention Area north of the equator</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS

<p>1. AR Pt 2 response to CMM 2010-01 05 should include implementation of CMM 2010-01 NORTH PACIFIC STRIPED MARLIN, including the measures applied to flagged/chartered vessels to reduce their catch and the total catch taken against the limits established under paragraphs 5 and 7 of CMM 2010-01.</p> <p>2. AR Pt 2 should also provide verifiable data applicable to the reporting year that confirms the applicable catch limit for NP Striped Marlin was not exceeded (CMM 2010-01 05)</p> <p>3. check other sources eg CCM may also include catch or effort statistics in AR Pt 1</p>	<p>1. CCM submitted information on its adoption of national binding measures it applied to flagged/chartered vessels to reduce catch and total catch</p> <p>AND</p> <p>2. Secretariat review of AR Pt 1 data submission and other relevant sources does not conflict with information submitted by CCM</p>	<p>Current data sources: ARPT1, ARPT2; OCE/ACE data</p> <p>Deadline: ARPT2</p> <p>Template: none</p>	<p>Note para 7 requirement for CCMs to have advised of verifiable information on catches north of the equator by CCM flagged/chartered vessels by 30 April 2011.</p> <p>Limited availability of independent data to verify self-reported catch levels</p>
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2015-02

CMM 2015-02: South Pacific Albacore

2015-02 01

Category: Limit (L)

Short description of obligation: Limit number of vessels actively fishing for South Pacific Albacore in area S20S (below 2005 levels or 2002-2004 levels)

Applicability: CCMs with fishing vessels actively fishing for SP albacore in the Convention Area S20S; exemptions for SIDS and PT

NOTE: The use of the term “actively fishing for” affects the reporting by CCMs on this obligation

WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. AR Pt 2, including report on implementation of CMM 2015-02 04 report, should provide additional information / details providing verifiable data applicable to the reporting year that confirms the applicable catch limit was not exceeded</p>	<p>1. CCM-reported number of vessels actively fishing for South Pacific Albacore in area S20S is below 2005 levels or 2002-2004 levels</p> <p>AND</p> <p>2. CCM provided information on its adoption of a national binding instrument</p>	<p>Current data sources: ARPT1, ARPT2; OCE/ACE data;</p> <p>Deadline: ARPT2</p> <p>Template: none</p>	<p>Use of the term “actively fishing for” affects CCM reporting due to lack of agreement on interpretation</p> <p>Limited availability of independent information to verify self-reported catch levels</p>

<p>2. check other sources eg SPC ACE tables or otherwise summary data on level of vessels based on submissions directly in reference to CMM 2015-02 04 reporting requirement to WCPFC or SPC, and may include submissions by SPC members of operational level catch and effort data</p> <p>3. CCM may also include catch or effort statistics in AR Pt 1</p>	<p>that limits the number of CCM’s flagged vessels that can actively fish for SP Albacore in area S20S</p> <p>AND</p> <p>3. Secretariat review of data submissions to SPC or the Secretariat by CCM through report required in paragraph 2 of this CCM, AR Pt 1 effort data information, and any other relevant sources matches information reported by CCM in respect of its limit.</p>		<p>FFA draft AP requirement of submission of evidence of a national binding instrument to enforce CCM limit</p>
<p>*2015-02 04</p> <p>Category: Report (R)</p>	<p>Short description of obligation: Annual report on catch levels of South Pacific albacore, as well as number of vessels actively fishing for South Pacific albacore south of 20°S; specifications for catch reporting</p> <p>Applicability: flag CCMs with flagged fishing vessels fishing in the Convention Area S20S, with fishing vessels that have taken south Pacific albacore and/or that are actively fishing for south Pacific albacore.</p>		
<p>WCPFC Secretariat Criteria</p>	<p>FFA Draft Audit Point</p>	<p>Notes (template, deadline, sources for verification)</p>	<p>DECISION POINTS</p>
<p>Based on Secretariat records, and/or advice from SPC-OFP:</p> <p>a. did CCM submit equivalent and complete scientific data has not been submitted to SPC-OFP?</p> <p>b. was the required report submitted?</p> <p>c. what was the level of catch and number of vessels for RY reported and as confirmed by SPC?</p>	<p>1. CCM submitted a report that contains the following information:</p> <p>a. Annual catch levels taken by each of CCM’s fishing vessels that has taken SP albacore with catch further broken down and reported by species groups, as follows:</p> <ul style="list-style-type: none"> i. Albacore tuna ii. Bigeye tuna iii. Yellowfin tuna iv. Swordfish v. Other billfish vi. Sharks <p>b. Number of CCM flagged vessels actively fishing for SP albacore S20S</p>	<p>Current data sources: operational or other scientific data; ARPt1 and ARPt2</p> <p>Deadline: April 30; ARPt1 and ARP2</p> <p>Template: N/A</p>	<p>Lack of agreed definition of “actively fishing for” affects CCM reporting</p>

	<p>c. Report covers the relevant RY AND</p> <p>2. CCM has submitted a report containing information in 1(a-c) covering the period 2006-2014, and an updated report in each year subsequent (i.e. 2015, 2016, 2017, 2018, 2019)</p> <p><i>The reporting requirement may be met through the submission of equivalent and complete scientific data to SPC-OFP and/or to the Commission. Otherwise, a report should be submitted to the Secretariat directly, or via SPC-OFP</i></p> <p>AND</p> <p>3. Secretariat confirms CCM submission of required information (noting alternative reporting options) and a review of SPC data on catch and effort matches information submitted by CCM in required report.</p>		
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2021-01	CMM 2021-01: Bigeye, Skipjack, and Yellowfin			
	<p>*2021-01 24 (2020-01 25)</p> <p>Category: Limit (L)</p>	<p>Short description of obligation: Limit purse seine effort or catches of skipjack, yellowfin, and bigeye tuna within coastal CCM EEZs.</p> <p>Applicability: Coastal CCMs in the Convention Area (PNA + Tokelau - collective limit), Cook Islands, Fiji, Niue, Samoa, Tonga, Vanuatu, Australia, French Polynesia, Indonesia, Japan, Korea, NZ, New Caledonia, Philippines, Chinese Taipei, United States, Wallis and Futuna</p>		
	WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
1. AR Pt 2 should provide additional information / details providing verifiable data applicable to the reporting year that	1. Coastal CCM has notified its relevant EEZ limits to the Commission, or PNA	Current data sources: OCE data, ARPt1, ARPt2, communications to Secretariat	FFA draft AP requirement for submission of evidence of a	

<p>confirms the applicable limit was not exceeded:- limit on purse seine effort in their EEZs is specified in Table 1 of Attachment 1 of CMM 2020-01</p> <p>Note those coastal CCMs who had not notified limits prior to development of Table 1 of Attachment 1 of CMM 2020-01 should have notified limits by 31 December 2018</p> <p>2. check other sources eg SPC ACE tables or other summary data based on submissions by SPC members of operational level catch and effort data</p> <p>3. CCM may also include catch or effort statistics in AR Pt 1</p>	<p>Office has notified the collective PNA+Tokelau effort limit</p> <p>AND</p> <p>2. Coastal CCM EEZ limit or PNA+Tokelau collective effort limit has not been exceeded during the relevant Reporting Year</p> <p>AND</p> <p>3. Coastal CCM provided information on its adoption of a national binding requirement that ensures its total purse seine effort or catches in its EEZ does not exceed its notified limit, or for PNA+Tokelau, information was provided on their adoption of a binding collective limit for their EEZs</p> <p>AND</p> <p>4. Secretariat confirms that the coastal CCM or PNA Office has notified its limit and collective limit, and the Secretariat review of SPC operational level catch and effort data, AR Pt 1 information, or other relevant sources of data confirms that the respective limits have not been exceeded</p>	<p>Deadline: Notify EEZ limits to Commission by 31 Dec 2022</p> <p>Template: N/A</p>	<p>national binding instrument to enforce CCM limit</p>
<p>*2021-01 25 (2020-01 26)</p> <p>Category: Limit (L)</p>		<p>Short description of obligation: High seas purse seine effort limits in the area 20N to 20S.</p> <p>Applicability: China, Chinese Taipei, Ecuador, El Salvador, European Union, Indonesia, Japan, Korea, NZ, Philippines and USA (SIDS flagged vessels are exempt (not chartered vessels))</p>	
<p>WCPFC Secretariat Criteria</p>	<p>FFA Draft Audit Point</p>	<p>Notes (template, deadline, sources for verification)</p>	<p>DECISION POINTS</p>
<p>1. AR Pt 2 should have provided verifiable data applicable to the reporting year that</p>	<p>1. CCM HS PS effort limit for the relevant RY has not been exceeded</p>	<p>Current data sources: OCE data, ARPt1, ARPt2</p>	<p>FFA draft AP requirement for submission of evidence of a</p>

<p>confirms the applicable limit was not exceeded:-</p> <p>either: :- a.limit on purse seine effort in their EEZs is specified in Table 1 of Attachment 1 of CMM 2020-01 (EU and CNMs limit applies only to WCPFC CA excluding overlap area with IATTC)</p> <p>or b. for PHP only:- total effort PH flag fishing vessels operating in the HSP-1 does not exceed 4,659 days or 36 catcher vessels</p> <p>2. Check other sources: AR Pt 1 and SPC ACE tables or summary data based on submissions by members of operational level catch and effort data</p>	<p>AND</p> <p>2. CCM provided information on adoption of a national binding instrument to reflect the CCM HS PS effort limit</p> <p>AND</p> <p>3. Secretariat review of relevant data sources matches information provided by CCM with respect to its level of HS PS effort</p>	<p>Deadline:</p> <p>Template: N/A</p>	<p>national binding instrument to enforce CCM limit</p>
<p>*2021-01, Att 2 03 (2020-01 Att 2 03)</p> <p>Category: Report (R)</p>	<p>Short description of obligation: Philippines vessels Entry/Exit reports for HSP1-SMA.</p> <p>Applicability: Philippines</p>		
<p>WCPFC Secretariat Criteria</p>	<p>FFA Draft Audit Point</p>	<p>Notes (template, deadline, sources for verification)</p>	<p>DECISION POINTS</p>
<p>1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the entry and exit reporting requirements for the HSP-1 SMA</p> <p>2. CCM should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p>	<p>1. CCM submitted reports to the Secretariat at least 24 hours prior to entry and no more than 6 hours prior to exiting HSP1-SMA in the format required:</p> <p style="padding-left: 40px;">VID/Entry or Exit: Date/Time; Lat/Long</p> <p>AND</p> <p>2. Secretariat review of VMS alerts for CCM vessels operating in HSP1-SMA</p>	<p>Current data sources: Entry/Exit reports; VMS</p> <p>Deadline: at least 24 hours prior to entry and no more than 6 hours prior to exiting HSP1-SMA</p> <p>Template: VID/Entry or Exit: Date/Time; Lat/Long</p>	<p>Consider implementation requirements in Secretariat's criteria vs FFA criteria</p>

<p>3. Based on Secretariat databases and datamarts make a determination as to</p> <p>a. whether all expected entry/exit reports were submitted? [compare reports received with VMS alerts (assumes all vessels are reporting correctly to WCPFC VMS)]</p> <p>b. whether all relevant vessels are fitted with VMS and reporting? [were any vessels identified as having VTAF data gaps or other VMS reporting anomalies]</p>	<p>against received entry/exit reports does not show any discrepancies</p>		
<p>*2021-01 37 (2020-01 39)</p> <p>Category: Limit (L)</p>	<p>Short description of obligation: Limit annual catches of bigeye by longline vessels.</p> <p>Applicability: China, Indonesia, Japan, Republic of Korea, Chinese Taipei, United States (those CCMs listed in Attachment 1 Table 3 of CMM)</p>		
<p>WCPFC Secretariat Criteria</p>	<p>FFA Draft Audit Point</p>	<p>Notes (template, deadline, sources for verification)</p>	<p>DECISION POINTS</p>
<p>1. AR Pt 2 should provide additional information / details providing verifiable data applicable to the reporting year that confirms the applicable limit was not exceeded:- limit on bigeye longline catches as specified in Table 3 of Attachment 1 of CMM 2020-01</p> <p>2. check other sources</p> <p>a. monthly reporting to WCPFC as per CMM 2020-01 41</p> <p>b. check other sources eg SPC ACE tables (this should exclude notified charters of a flag CCM to PICTs, refer para 8 of CMM 2020-01</p>	<p>1. CCM-reported total bigeye catch does not exceed stated CCM limit</p> <p>AND</p> <p>2. CCM provided information on its adoption of a national binding instrument that reflects CCM LL BE catch limit</p> <p>AND</p> <p>3. Secretariat confirms through review of monthly reporting requirement in para 41 [¶38], SPC operational level catch and effort data, AR Part 1 data, and any other relevant information sources, that CCM has not exceeded its relevant bigeye catch limit</p>	<p>Current data sources: ARPt1 ARPt2; OCE data</p> <p>Deadline: ARPt2, ARPt1</p> <p>Template: N/A</p>	<p>Limited availability of independent data to verify self-reported catch levels</p> <p>FFA draft AP to require submission of evidence of a national binding instrument to enforce CCM limit</p>

3. CCM may also include catch statistics in AR Pt 1			
<p>*2021-01 38 (2020-01 41)</p> <p>Category: Report (R)</p>	<p>Short description of obligation: Monthly reports of the amount of bigeye catch by CCM-flagged vessels by the end of the following month.</p> <p>Applicability: China, Indonesia, Japan, Republic of Korea, Chinese Taipei, United States</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
Based on Secretariat records, were 12 bigeye longline catch reports received for RY?	<p>1. CCM submitted 12 separate, monthly reports to the Secretariat on the amount of bigeye catch by CCM-flagged vessels in the previous RY</p> <p>AND</p> <p>2. Secretariat confirms that it received 12 separate, monthly reports on bigeye catch for each applicable CCM</p>	<p>Current data sources: CCM monthly reports to Secretariat</p> <p>Deadline: monthly report due by end of following month</p> <p>Template: N/A</p>	
<p>*2021-01 40 (2020-01 43)</p> <p>Category: Limit (L)</p>	<p>Short description of obligation: Bigeye longline catch limits by flag for certain other members which caught less than 2000t in 2004</p> <p>Applicability: Australia, European Union, New Zealand, Philippines</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. AR Pt 2 should provide additional information / details providing verifiable data applicable to the reporting year that confirms the applicable limit was not exceeded:- longline catch limits for bigeye tuna during previous calendar year (2,000mt annually) was not exceeded</p> <p>2. check other sources</p> <p>a. SPC will be able to provide summary data based on submissions by SPC</p>	<p>1. CCM-reported total bigeye catch does not exceed 2,000 tons</p> <p>AND</p> <p>2. CCM provided information on a national binding instrument that reflects CCM limit of annual LL BE catches to 2,000 tonnes</p> <p>AND</p>	<p>Current data sources: ARPt1, ARPt2, OCE data</p> <p>Deadline:</p> <p>Template: N/A</p>	<p>Limited availability of independent data to verify self-reported catch levels</p> <p>FFA proposed AP to require evidence of national binding instrument to enforce CCM limit</p>

<p>members of operational level catch and effort data (this should exclude notified charters of a flag CCM to PICTs, refer para 8 of CMM 2018-01)</p> <p>3. CCM may also include catch statistics in AR Pt 1</p>	<p>3. Secretariat review of SPC operational level catch and effort data, AR Part 1 data, and any other relevant information sources confirms that CCM has not exceeded its relevant bigeye catch limit</p>		
<p>*2021-01 42 (2020-01 45)</p> <p>Category: Limit (L)</p>	<p>Short description of obligation: Capacity limits for purse seine vessels larger than 24m with freezing capacity operating between 20N and 20S.</p> <p>Applicability: Australia, Canada, China, European Union, Ecuador, El Salvador, Japan, Korea, New Zealand, Philippines, Chinese Taipei, United States of America (CCMs other than SIDS and Indonesia)</p>		
<p>WCPFC Secretariat Criteria</p>	<p>FFA Draft Audit Point</p>	<p>Notes (template, deadline, sources for verification)</p>	<p>DECISION POINTS</p>
<p>1. AR Pt 2 should provide additional information / details providing verifiable data applicable to the reporting year that confirms the applicable limit was not exceeded:- Limit by flag on number of purse seine vessels >24m with freezing capacity between 20N and 20S.</p> <p>2. check other sources: - ARPt1, SPC may have advice on number of vessels, FFA good standing list may also assist, and list of relevant vessels >24m</p>	<p>1. CCM has identified a baseline limit of the allowed number of CCM flagged PS vessels >24m with freezing capacity and operating between 20N and 20S to the Commission</p> <p>AND</p> <p>2. CCM report of number of flagged PS vessels >24m with freezing capacity and operating between 20N and 20S does not exceed CCM’s identified baseline limit</p> <p>AND</p> <p>3. Secretariat review of ARPt1 data, relevant SPC data, RFV, and other relevant sources confirms that CCM has not exceeded its baseline limit</p>	<p>Current data sources: ARPt1, ARPt2, FFA Register of Good Standing</p> <p>Deadline: ARPt2</p> <p>Template: N/A</p>	

<p style="text-align: center;">2021-01 43</p> <p style="text-align: center;">Category: Limit (L)</p>	<p>Short description of obligation: Limit any replacement of LSPSV to same level of carrying capacity and no increase in catch or effort with replacement vessel.</p> <p>Applicability: Australia, China, European Union, Ecuador, El Salvador, Japan, Korea, New Zealand, Philippines, Chinese Taipei, United States of America (CCMs other than SIDS and Indonesia)</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. AR Pt 2 should provide additional information / details providing verifiable data applicable to the reporting year that confirms the applicable limit was not exceeded:- Limit by flag on number of purse seine vessels >24m with freezing capacity between 20N and 20S.</p> <p>2. check other sources: - ARPt1, SPC may have advice on number of vessels, FFA good standing list may also assist, and list of relevant vessels >24m</p>	<p>none</p>	<p>Current data sources: ARPt2, ARPt1; FFA vessel register</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	
<p style="text-align: center;">*2021-01 44 (2020-01 47)</p> <p style="text-align: center;">Category: Limit (L)</p>	<p>Short description of obligation: Capacity limits for longline vessels with freezing capacity targeting bigeye.</p> <p>Applicability: Australia, Canada, China, European Union, Japan, Korea, New Zealand, Philippines, Chinese Taipei, United States of America</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. AR Pt 2 should provide additional information / details providing verifiable data applicable to the reporting year that confirms the applicable limit was not exceeded:- Limit: by flag on number of longline vessels with freezing capacity targetting bigeye above the current level</p> <p>2. check other sources: - ARPt1, SPC may have advice on number of vessels, FFA</p>	<p>1. CCM has identified its baseline limit of number of flagged LL vessels with freezing capacity and targeting bigeye</p> <p>AND</p> <p>2. CCM report of number of flagged LL vessels with freezing capacity and targeting bigeye does not exceed CCM's identified baseline limit</p>	<p>Current data sources: ARPt1; RFV; ARPt2</p> <p>Deadline:</p> <p>Template: N/A</p>	

<p>good standing list may also assist, and list of relevant vessels</p>	<p>AND</p> <p>3. CCM provided information on its adoption of a national binding instrument that limits the number of its LL vessels with freezing capacity targeting BE</p> <p>AND</p> <p>4. Secretariat review of ARPt1 data, relevant SPC data, RFV, and other relevant sources confirms that CCM has not exceeded its baseline limit</p>		
<p>*2021-01 45 (2020-01 48)</p> <p>Category: Limit (L)</p>	<p>Short description of obligation: Capacity limits for ice-chilled longline vessels targeting bigeye and landing exclusively fresh fish.</p> <p>Applicability: China, Japan, Philippines, United States of America</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. AR Pt 2 should provide additional information / details providing verifiable data applicable to the reporting year that confirms the applicable limit was not exceeded:- Limit: by flag on number of ice-chilled longline vessels targetting bigeye and landing exclusively fresh fish above the current level or above the number of current licenses under established limited entry programmes</p> <p>2. check other sources: - ARPt1, SPC may have advice on number of vessels, FFA good standing list may also assist, and list of relevant vessels</p>	<p>1. CCM has identified its baseline limit of number of flagged ice-chilled LL vessels targeting bigeye and landing exclusively fresh fish</p> <p>AND</p> <p>2. CCM report of number of flagged ice-chilled LL vessels targeting bigeye and landing exclusively fresh fish does not exceed CCM’s identified baseline limit</p> <p>AND</p> <p>3. CCM provided information on its adoption of a national binding instrument that limits the number of</p>	<p>Current data sources: ARPt1; RFV; ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: N/A</p>	

	<p>its ice-chilled LL vessels targeting BE and landing exclusively fresh fish</p> <p>AND</p> <p>4. Secretariat review of ARPt1 data, relevant SPC data, RFV, and other relevant sources confirms that CCM has not exceeded its baseline limit</p>		
<p>2021-01 47 (2020-01 51)</p> <p>Category: Limit (L)</p>	<p>Short description of obligation: Limits on total catch of certain other commercial tuna fisheries that take less than 2,000 tonnes of bigeye, yellowfin, and skipjack.</p> <p>Applicability: Indonesia (Handline- large-fish), Japan (pole-and-line fishery) and Philippines (Handline-large-fish)</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. AR Pt 2 should provide additional information / details providing verifiable data applicable to the reporting year that confirms a CCM has taken necessary measures to ensure that the total catch of their respective other commercial tuna fisheries (that take > 2000 Mt of BET, YFT and SKJ) did not exceed the average level for the period 2001-2004 or 2004</p> <p>2. check other sources - SPC will be able to provide summary data based on submissions by these three members for their other commercial fisheries</p>	<p>1. <i>CCM report of total catch in its specified "other commercial tuna fishery" does not exceed CCM's relevant limit for that fishery</i></p> <p>AND</p> <p>2. <i>CCM provided information on its adoption of a national binding instrument that limits its total catch by CCM flagged vessels in its other commercial tuna fisheries</i></p> <p>AND</p> <p>3. <i>Secretariat review of SPC summary data based on CCM data submissions for their respective fisheries confirms that CCM has not exceeded its baseline limit</i></p>		<p>NEED UPDATE</p> <p>This paragraph was assigned "CMM Review" in 2020 CMR with requests to SC and TCC for further work to support clarification of this obligation</p>

CMM 2021-02: Pacific Bluefin Tuna

2021-02 08

Category: Report (R)

Short description of obligation: Submit annual report to WCPFC ED of fishing effort and <30kg and >=30kg catch levels, by fishery, for the previous three years accounting for all catches and discards.

Applicability: CCMs with fishing vessels fishing for Pacific bluefin in the convention area N20N

WCPFC Secretariat Criteria (2018-02 para 4)	FFA Draft Audit Point (2020-02 para 5)	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. Based on Secretariat records was an annual report that fully meets the requirements of the CMM para received for RY?</p> <p>a. 2002–2004 baseline fishing effort and <30 kg and >=30 kg catch levels by fishery, as referred to in paragraphs 2 and 3 for Pacific Bluefin?</p> <p>b. fishing effort and <30 kg and >=30 kg catch levels, by fishery, for the previous 3 year, accounting for all catches, including discards?</p> <p>2. Were any supplementary reports included in AR Pt 1 and/or AR Pt 2 and/or to the Northern Committee?</p>	<p>1. CCM submitted a report to the ED on total fishing effort and catch levels of PBT by fishery for the previous three years and catch information includes discards</p> <p>AND</p> <p>2. WCPFC ED confirms report was submitted and complete</p>	<p>Note modified language in <u>CMM 2021-02 08</u>: “CCMs shall report to the Executive Director by 31 July each year their fishing effort and <30 kg and >=30 kg catch levels, by fishery, for the previous 3 year, accounting for all catches, including discards. CCMs shall report their annual catch limits and their annual catches of PBF, with adequate computation details, to present their implementation for paragraph 5 and 6, if the measures and arrangements in the said paragraphs and relevant footnotes applied. The Executive Director will compile this information each year into an appropriate format for the use of the Northern Committee.”</p> <p><u>CMM 2018-02 04</u>: “CCMs shall report their 2002–2004 baseline fishing effort and =30 kg catch levels for 2013 and</p>	<p>Additional audit point required for revised para 8 of CMM 2021-02; define “adequate”;</p>

		<p>2014, by fishery, as referred to in paragraphs 2 and 3, to the Executive Director by 31 July 2015. CCMs shall also report to the Executive Director by 31 July each year their fishing effort and =30 kg catch levels, by fishery, for the previous 3 year, accounting for all catches, including discards. The Executive Director will compile this information each year into an appropriate format for the use of the Northern Committee”</p> <p><u>CMM 2020-02 05</u>: “CCMs shall report to the Executive Director by 31 July each year their fishing effort and <30 kg and >=30 kg catch levels, by fishery, for the previous 3 year, accounting for all catches, including discards. The Executive Director will compile this information each year into an appropriate format for the use of the Northern Committee.”</p>	
<p>2021-02 02</p> <p>Category: Limit (L)</p>	<p>Short description of obligation: Limit total fishing effort by CCMs vessel fishing for Pacific bluefin tuna in the area north of the 20° N to 2002–2004 annual average levels.</p> <p>Applicability: CCMs with fishing vessels fishing for Pacific bluefin in the convention area N20N; SIDS/PT exempt</p>		
<p>WCPFC Secretariat Criteria (2020-02 02(1))</p>	<p>FFA Draft Audit Point (2020-02 para 2(1))</p>	<p>Notes (template, deadline, sources for verification)</p>	<p>DECISION POINTS</p>

<p>(Japan, Korea and Chinese Taipei have been recognised as having baseline activity, others such as Australia, Canada, China, NZ, Philippines and USA tend to also be assessed)</p> <p>1. CMM 2021-02 para 14 report that was to be submitted Secretariat and NC by 31 July 2022 should provide the report on implementation of CMM 2020-02</p> <p>2. CMM 2021-02 para 8 report that was to be submitted Secretariat and NC by 31 July 2022 should provide additional information / details providing verifiable data applicable to the reporting year that confirms the applicable limit was not exceeded</p> <p>3. CCM may also include catch or effort statistics in AR Pt 1 or AR Pt 2 and/or separately to the NC</p>	<p>1. CCM-reported level of effort by its flagged vessels fishing for PBT N20N does not exceed its baseline level</p> <p>AND</p> <p>2. CCM submitted required reports on effort levels and implementation actions taken to ensure its level was not exceeded</p> <p>AND</p> <p>3. Secretariat review of available operational level catch and effort data does not conflict with information reported by the CCM</p>	<p>Current data sources: past reporting on relevant baseline limits</p> <p>Deadline:</p> <p>Template:</p>	<p>Lack of a specified limit for some applicable CCMs potentially weakens compliance assessment</p>
<p>2021-02 03</p> <p>Category: Limit (L)</p>	<p>Short description of obligation: Catches of PBF <30kg and 30kg or larger shall not exceed annual catch limits as set out in the Table in the CMM.</p> <p>Applicability: Japan, Korea, and Chinese Taipei</p>		
<p>WCPFC Secretariat Criteria 2020-02 02(02)</p>	<p>FFA Draft Audit Point</p>	<p>Notes (template, deadline, sources for verification)</p>	<p>DECISION POINTS</p>
<p>Note: Japan and Korea and have been recognised as having baseline activity, others such as Chinese Taipei have a baseline of 0, Australia, Canada, China, NZ, Philippines and USA tend to also be assessed</p>			<p>CMM 2020-02 was amended and the reformulation of some obligations in the current CMM 2021-02 requires further review by the IWG for the appropriate audit point.</p>

<p>1. CMM 2021-02 para 14 report that was to be submitted Secretariat and NC by 31 July 2022 should provide the report on implementation of CMM 2020-02</p> <p>2. CMM 2021-02 para 5 report that was to be submitted Secretariat and NC by 31 July 2022 should provide additional information / details providing verifiable data applicable to the reporting year that confirms the applicable limit was not exceeded</p> <p>3. CCM may also include catch or effort statistics in AR Pt 1 or AR Pt 2 and/or separately to the NC</p>			<p>As a Limit (L) obligation, general approach should be consistent with other (L) obligations and guidance in the CMS CMM 2021-03 para 7(i).</p>
<p style="text-align: center;">2021-02 04</p> <p style="text-align: center;">Category: Limit (L)</p>	<p>Short description of obligation: Allowable increase in catch of PBF 30kg or larger by 15% above 2002-2004 annual average levels. Applicable CCMs with a baseline catch of 10 tons or less of PBF 30kg or larger may increase catch but not exceed 10mt per year.</p> <p>Applicability: CCMs except for Japan, Korea, and Chinese Taipei</p>		
<p style="text-align: center;">WCPFC Secretariat Criteria</p>	<p style="text-align: center;">FFA Draft Audit Point</p>	<p style="text-align: center;">Notes (template, deadline, sources for verification)</p>	<p style="text-align: center;">DECISION POINTS</p>
<p style="text-align: center;">None</p>	<p style="text-align: center;">None</p>		<p>CMM 2020-02 was amended and the reformulation of some obligations in the current CMM 2021-02 requires further review by the IWG for the appropriate audit point.</p> <p>As a Limit (L) obligation, general approach should be consistent with other (L) obligations and guidance in the CMS CMM 2021-03 para 7(i).</p>

2021-02 14 Category: Report (R)	Short description of obligation: Report annually to Executive Director by 31 July on measures used to implement paragraphs 2, 3, 4, 7, 8, 10, 11 13 and 16 of CMM; CCMs shall also monitor the international trade of products derived from Pacific bluefin tuna and report results to Executive Director by 31 July annually. Applicability: flag CCMs with fishing vessels that have taken Pacific bluefin tuna or are fishing for Pacific bluefin tuna in the previous calendar year		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
1. Based on Secretariat records was an annual report that fully meets the requirements of the CMM para received for RY? 2. Were any supplementary reports included in AR Pt 1 and/or AR Pt 2 and/or to the Northern Committee?	1. CCM submitted report on national binding measures it adopted to implement paragraphs 2, 3, 4, 5, 7, 8, 10, and 13 of the CMM, including a report on its international trade of products derived from PBT AND 2. WCPFC ED confirms report was submitted and complete	Current data sources: CCM reports; ARPt1, ARPt2 Deadline: 31 July Template: none NOTE: FFA draft audit point reflects relevant paras in CMM 2020-02.	

2019-03	CMM 2019-03: North Pacific Albacore			
	2019-03 02 Category: Limit (L)	Short description of obligation: Limit level of fishing effort for vessels fishing for North Pacific albacore to annual average levels in 2002-2004. Applicability: flag CCMs operating in fisheries that fish for NP Albacore (Canada, China, Chinese Taipei, Japan, Korea, Philippines, and USA)		
	WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
1. AR Pt 2 should provide additional information / details providing verifiable data applicable to the reporting year that confirms the applicable limit was not exceeded:- level of fishing effort by vessels fishing for NP ALB was not increased 2. check other sources	1. CCM-reported level of fishing effort does not exceed its applicable limit AND 2. CCM provided information on its adoption of a national binding	Current data sources: ARPt1, ARPt2, CCM reporting in para 3 Deadline: Template:	FFA additional requirement to submit evidence of a national binding instrument to enforce CCM limits Philippines does not have a defined/specified limit	

<p>a. Secretariat records of CMM 2019-03 03 reports for relevant RY should also provide data that verifies if the applicable limit was or was not exceeded.</p> <p>b. AR Pt1 may contain information on Annual Effort Estimates for NP Albacore</p> <p>c. ACE Tables prepared based on Apr 30 Scientific data submissions may provide catch estimate that can be used</p>	<p>instrument that limits the level of fishing effort by its flagged vessels fishing for NP albacore to CCM’s applicable limit</p> <p>AND</p> <p>3. Secretariat review of reports submitted pursuant to paragraph 3 of this CCM provides data that confirms CCM’s applicable limit was not exceeded, and review of AR Pt 1 data submission contains information that confirms CCM’s annual fishing effort estimate for NP Albacore.</p>		
<p style="text-align: center;">2019-03 03</p> <p style="text-align: center;">Category: Report (R)</p>	<p>Short description of obligation: Annual report of all catches and fishing effort north of the equator in fisheries directed at albacore, by gear type. Report catches by weight and effort by gear type and days fished, using Annex 1 template.</p> <p>Applicability: flag CCMs with flagged fishing vessels fishing in the Convention Area north of the equator</p> <p><i>*WCPFC10 clarified that the reporting responsibility lies with the flag State (not coastal States)</i></p>		
<p style="text-align: center;">WCPFC Secretariat Criteria</p>	<p style="text-align: center;">FFA Draft Audit Point</p>	<p style="text-align: center;">Notes (template, deadline, sources for verification)</p>	<p style="text-align: center;">DECISION POINTS</p>
<p>1. Based on Secretariat records and/or ACE Tables was an annual report that fully meets the requirements of the CMM para received for RY?</p> <p>a. catch (in weight) and effort was provided for ALB?</p> <p>b. for the area specified ie. North of equator?</p> <p>c. by gear type?</p> <p>d. including the number of vessel-days fished?</p> <p>and be submitted based on the template in Annex 1 of CMM 2019-03</p>	<p>1. CCM provided a catch report covering its flagged vessels engaged in fisheries directed at albacore north of the equator and the information was provided in terms of catch by weight and gear type</p> <p>AND</p> <p>2. CCM provided a report on its level of fishing effort by CCM flagged vessels engaged in fisheries directed at</p>	<p>Current data sources:</p> <p>Deadline:</p> <p>Template: Annex 1 of CMM</p>	<p>**RBAF: no compliance history</p>

2. Were any supplementary reports included in AR Pt 1 and/or AR Pt 2 and/or separately to the NC?	albacore north of the equator and the report was in the format of Annex 1		
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Part C: ADDITIONAL MEASURES FOR TROPICAL TUNAS

2021-01

CMM 2021-01: Bigeye, Skipjack, and Yellowfin

2021-01 29
(2020-01 31)
with 2009-02 08-12
(HS Catch Retention)

Category: Implementation (I)
and Report (R)

Short description of obligation 2021-01 29: Requires CCM flagged purse seine vessels fishing in EEZs and on the high seas in the Convention Area bounded by 20N and 20S to retain on board and then land or transship at port all bigeye, skipjack, and yellowfin tuna (with exceptions).

Short description of obligation 2009-02 08-12: Rules for determining where fish should not be retained on board, recording of discarded species, and reporting requirements of discards

Applicability: flag CCMs of purse seine vessels operating in EEZs and on the high seas between 20N and 20S.

WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the High Seas Rules for purse seine catch retention: requirement for purse seine vessels fishing in areas bounded by 20N and 20S to retain on board and then land or transship at port all BET, SKJ and YFT(The only exceptions is as stated in the CMM 18-01 para 31 a, b and c)</p> <p>2. CCM should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p> <p>3. Based on Secretariat database records how many h/s purse seine fishery catch retention reports were received for RY?</p>	<p>1. CCM submitted a Statement of Implementation that confirms CCM’s implementation through adoption of a national binding measure of the requirement for CCM’s flagged purse seine vessels fishing in EEZs and on the high seas between 20N and 20S to retain on board and then land or transship at port all BE, SJ, and YF tuna. The Statement must include information on CCM’s implementation of the requirements for its PS operators of vessels on the high seas to submit a report to the ED within 48-hours after any discard.</p> <p>**If a discard report was submitted, the report contained all the information at CMM 2009-02 para 12(a-k), confirmed by the WCPFC Secretariat**</p>	<p>Current data sources: ARPt2; HS catch retention reports; ROP</p> <p>Deadline: discard reports due within 48 hours of any discard</p> <p>Template: Discard reports must contain information in CMM2009-02 12(a-k)</p> <p>**WCPFC10 noted that consistent with PNA 3IA, purse seine catch discard reporting to WCPFC should only be required where it occurs in high seas waters</p>	

	<p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that its flagged PS vessels are following the requirements for catch retention when operating in EEZs and the high seas and are submitting reports to the ED when on the high seas and where required.</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p>		
<p>*2021-01 14 (2020-01 16)</p> <p>Category: Implementation (I)</p>	<p>Short description of obligation: Purse seine 3-month FAD closure (1 July to 30 September) in EEZs and high seas between 20N and 20S.</p> <p>Applicability: flag CCMs of purse seine vessels operating in EEZs and on the high seas between 20N and 20S.</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the required purse seine 3 months FAD closure (July, August, September 2021)</p>	<p>1. CCM submitted a Statement of Implementation that confirms CCM's implementation through adoption of a national binding measure of the requirement for its flagged purse seine vessels not to fish on FADs in EEZs or high seas from 1 July to 30 September of the previous RY. CCM's</p>	<p>Current data sources: ARPt2</p> <p>Deadline: For PNA members, submit notification within 15 days of approving non-application of the FAD closure to its domestic vessels operating in EEZ</p>	<p>Guidance on Implementation Statements as proposed by FFA members</p>

<p>2. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p>	<p>Statement of Implementation also confirms CCM’s adoption of a national binding measure to ensure its flagged PS vessels adhere to the rules for the high seas FAD closure.</p> <p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that its PS vessels are not fishing on FADs in EEZ or the high seas during the 3-month closure and that CCM PS vessels are adhering to the high seas FAD closure rules</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM’s mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p> <p>----</p> <p>1. FOR PNA MEMBERS THAT NOTIFY EXEMPTIONS AS PER FOOTNOTE 1: PNA member submitted a notification to the WCPFC ED within 15 days of its approval of an arrangement to which domestic vessels that the 3-month FAD closure will not apply in PNA member EEZ</p> <p>AND</p>	<p>Template: none</p>	
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	<p>2. Submitted Statement of Implementation, Statement of Procedures for Monitoring Compliance, and Statement of System or Procedures for Responses to Non-Compliance in respect of its flagged vessels operating in other EEZs and on the high seas</p>		
<p>*2021-01 15 (2020-01 17)</p> <p>Category: Implementation (I)</p>	<p>Short description of obligation: Advice on choice and implementation of two additional month high seas FAD closure (April-May or Nov-Dec)</p> <p>Applicability: flag CCMs with flagged purse seine fishing vessels that fished in the high seas of the Convention Area in the previous calendar year N20N and S20S.</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement for additional reduction on FAD sets during current year, except Kiribati flag when fishing in the high seas adjacent to Kiribati EEZ and Philippines operating in HSP1 in accordance with Attachment 2</p> <p>2. If not already made, CCM may provide in AR Pt2 their choice of consecutive month high seas FAD closure (<i>CCMs were to have made their notification by March 1 2018, but in 2019 some CCMs have notified a different choice of two sequential months to that notified in 2018</i>)</p> <p>3. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation</p>	<p>1. CCM notified its choice of which additional, consecutive two months of high seas FAD closure will be applied to its flagged PS vessels, and such notification was made to the Secretariat by March 1 of the previous RY</p> <p>AND</p> <p>2. CCM submitted a Statement of Implementation that confirms CCM's implementation through adoption of a national binding measure of the requirement for its flagged purse seine vessels not to fish on FADs on the high seas during its notified additional two months of the previous RY. CCM's Statement of Implementation also confirms CCM's adoption of a national binding measure to ensure its flagged PS</p>	<p>Current data sources: ARPt2</p> <p>Deadline: For PNA members, submit notification within 15 days of approving non-application of the FAD closure to its domestic vessels operating in EEZ</p> <p>Template: none</p>	

<p>and has taken action in response to any potential infringements</p>	<p>vessels adhere to the rules for the high seas FAD closure.</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that its PS vessels are not fishing on FADs on the high seas during its notified additional two months closure</p> <p>AND</p> <p>4. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p>		
<p>*2021-01 21 (2020-01 23)</p> <p>Category: Implementation (I)</p>	<p>Short description of obligation: Each purse seine vessel is limited to no more than 350 FADs with activated instrumented buoys- Flag CCM responsibility</p> <p>Applicability: applies to flag CCMs with flagged purse seine fishing vessels that "fished" in the previous calendar year between 20N and 20S</p>		
<p>WCPFC Secretariat Criteria</p>	<p>FFA Draft Audit Point</p>	<p>Notes (template, deadline, sources for verification)</p>	<p>DECISION POINTS</p>
<p>1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement that at any one time, each flagged purse seine vessel shall have no more than 350 drifting FADs with activated instrumented buoys</p>			

<p>2. AR Pt 2 should include a statement that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement to ensure that its vessels operating in the waters of a coastal State comply with the laws of that Coastal State relating to FAD management, including FAD tracking</p> <p>3. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p>			
<p>*2021-01 26 (2020-01 27)</p> <p>Category: Implementation (I)</p>	<p>Short description of obligation: CCMs not to transfer fishing effort in days fished in the purse seine fishery to areas N20N and S20S - Flag CCM Responsibility</p> <p>Applicability: applies to flag CCMs with flagged purse seine fishing vessels that "fished" in the previous calendar year N20N and S20S</p>		
<p>WCPFC Secretariat Criteria</p>	<p>FFA Draft Audit Point</p>	<p>Notes (template, deadline, sources for verification)</p>	<p>DECISION POINTS</p>
<p>1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement for CCMs not to transfer fishing effort in days fished in the purse seine fishery to areas N20N and S20S</p> <p>2. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p>			

Part D: ADDITIONAL MEASURES FOR PACIFIC BLUEFIN TUNA

No additional obligations; see Part B for relevant audit points on CMM 2021-02: Pacific Bluefin Tuna.

Part E: MITIGATING IMPACTS OF FISHING, INCLUDING ON SPECIES OF SPECIAL INTEREST

2008-04	CMM 2008-04: Prohibition on High Seas Driftnet Fishing			
	2008-04 02	Short description of obligation: take measures necessary to prohibit use of large-scale driftnets by CCM fishing vessels operating on high seas in Convention Area Applicability: flag CCMs		
Category: Implementation (I)				
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS	
<p>Confirm whether obligation was implemented</p> <p>Provide additional information / details that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement to take measures to prohibit large-scale driftnets in the high seas CMM 2008-04</p> <p>CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p>	<ol style="list-style-type: none"> 1. CCM submitted a Statement of Implementation that confirms CCM’s implementation through adoption of a national binding measure that prohibits CCM flagged vessels operating on the high seas from using large scale driftnets <p>AND</p> <ol style="list-style-type: none"> 2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that CCM’s flagged vessels are not using large scale driftnets on the high seas <p>AND</p> <ol style="list-style-type: none"> 3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM’s mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement. 	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: n/a</p>	<p>**RBAF: no compliance history</p>	

2008-04 05	Short description of obligation: Report in ARPt2 on monitoring, control, and surveillance actions related to large-scale driftnet fishing on the high seas in the Convention Area		
Category: Report (R)	Applicability: CCMs that undertook any MCS activities relating to large scale driftnet fishing on the high seas		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
CCMs shall include in Part 2 of their Annual Reports a summary of monitoring, control, and surveillance actions related to large-scale driftnet fishing on the high seas in the Convention Area	CCM provided summary report in its AR Pt 2 of its MCS actions relating to large scale driftnet fishing on the high seas	Current data sources: ARPt2; other CCM reports of related MCS activities Deadline: ARPt2 Template: N/A	

2011-03

CMM 2011-03: Protection of Cetaceans from Purse Seine Fishing Operations			
*2011-03 01	Short description of obligation: Prohibit flagged vessels from setting a purse seine net on a school of tuna associated with a cetacean, if sighted prior to commencement of the set.		
Category: Implementation (I)	Applicability: flag CCMs		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement to prohibit their flagged vessels from setting a purse seine on a school of tuna associated with a cetacean if the animal is sighted prior to the commencement of the set as per (CMM 2011-03) PROTECTION OF CETACEANS 2. CCMs should also provide information showing that it has a system to monitor	1. CCM submitted a Statement of Implementation that confirms CCM's implementation through adoption of a national binding measure that prohibits CCM flagged PS vessels from setting on a school of tuna associated with a cetacean, if sighted prior to commencement of the set AND 2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that CCM	Current data sources: ARPt2; ROP Deadline: ARPt2 Template: none	ROP data would potentially identify whether obligation was adhered to; compliance assessment would be against national implementation via a legally-binding measure

<p>and ensure compliance with this obligation and has taken action in response to any potential infringements</p>	<p>flagged PS vessels are not setting on a school of tuna associated with a cetacean, if sighted prior to commencement of the set</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p>		
<p>*2011-03 *02 and 03 Category: Implementation (I)</p>	<p>Short description of obligation: Requirements of vessel master in the event that a cetacean is unintentionally encircled in the purse seine net; follow safe release guidelines</p> <p>Applicability: flag CCMs</p>		
<p>WCPFC Secretariat Criteria 11-03 02</p>	<p>FFA Draft Audit Point</p>	<p>Notes (template, deadline, sources for verification)</p>	<p>DECISION POINTS</p>
<p>1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the two requirements in the event of unintentional encircling of cetaceans in the purse seine net, including taking of reasonable steps to ensure safe release and incident reporting requirements as per (CMM 2011-03) PROTECTION OF CETACEANS</p> <p>2. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p>	<p>1. CCM submitted a Statement of Implementation that confirms CCM's implementation through adoption of a national binding measure that requires vessel masters of CCM flagged PS vessels to take reasonable steps to ensure safe release (in accordance with WCPFC guidelines), including stopping the net roll and not resuming fishing operation until the animal has been released and is no longer at risk of capture, and; requires that the vessel master reports the incident to the relevant flag State authority</p>	<p>Current data sources: ARPt2; ROP</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	<p>ROP data would potentially identify whether obligation was adhered to; compliance assessment would be against national implementation via a legally-binding measure</p> <p>**RBAF: no compliance history</p>

	<p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that in the event a cetacean is unintentionally encircled in the purse seine net, the vessel masters of CCM flagged PS vessels take reasonable steps to ensure safe release, including stopping the net roll and not resuming fishing operation until the animal has been released and is no longer at risk of capture, and; the vessel master reports the incident to the relevant flag State authority</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p>		
<p>2011-03 05</p> <p>Category: Report (R)</p>	<p>Short description of obligation: Annual report of any instances in which cetaceans have been encircled by the purse seine nets of flagged vessels and as reported in ARPt1 under para 2(b) of CMM</p> <p>Applicability: flag CCMs</p>		
<p>WCPFC Secretariat Criteria</p>	<p>FFA Draft Audit Point</p>	<p>Notes (template, deadline, sources for verification)</p>	<p>DECISION POINTS</p>
<p>Flag CCMs are to annually confirm that the {Annual Report on cetacean purse seine fishery interactions} (reporting any instances in which cetaceans have been</p>	<p>1. CCM provided a report in their AR Pt 1 of instances when CCM's flagged PS vessels encircled a cetacean in their</p>	<p>Current data sources: ARPt1; ROP, if/when available</p> <p>Deadline: ARPt1</p>	<p>Consideration of availability of ROP data to verify CCM reports</p>

<p>encircled by the purse seine nets of their flagged vessels, reported under paragraph 2(b) of (CMM 2011-03) has been submitted to the Secretariat in Annual Report Part 1 for the current reporting year. If this report was not included in Annual Report Part 1, a revision of AR Pt1 report should be issued that includes this report</p>	<p>purse seine net and the report includes details of the species (if known), number of individuals, location and date of encirclement, steps taken to ensure safe release, and an assessment of the life status of the animal on release including, if possible, whether the animal was released alive but subsequently died</p> <p>AND, IF AVAILABLE</p> <p>2. Secretariat confirms through review of ROP reports that CCM has provided the required information</p> <p><i>NOTE: ROP data may not be immediately available to support review of information reported by CCM against this obligation; requires further discussion.</i></p>	<p>Template: N/A</p>	
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2017-04	CMM 2017-04: Marine Pollution			
	2017-04 02	Short description of obligation: No discharging of any plastics (including plastic packaging, items containing plastic and polystyrene) but not including fishing gear		
	Category: Implementation (I)	Applicability: flag CCMs		
	WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement prohibit their fishing vessels operating within the WCPFC Convention Area from discharging any plastics (including plastic packaging, items</p>	<p>1. CCM submitted a Statement of Implementation that confirms CCM’s implementation through adoption of a national binding measure that prohibits CCM vessels from discharging of any plastics (including</p>	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	<p>Reporting is required in 2022 for paras 4, 5, and 10 which <u>encourage</u> CCMs to undertake certain actions in respect of mitigating marine pollution. Consider whether these provisions are</p>	

<p>containing plastic and polystyrene) but not including fishing gear.</p> <p>footnote 1: Fishing gear, for the purposes of this measure, that are released into the water with the intention of later retrieval such as FADs, traps and static nets, are not considered garbage as per (CMM 2017-04) MARINE POLLUTION</p> <p>2. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p>	<p>plastic packaging, items containing plastic and polystyrene)</p> <p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that CCM vessels are not discharging any plastics (including plastic packaging, items containing plastic and polystyrene)</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM’s mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p>		<p>appropriate for compliance assessment under CMS.</p>
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2018-03	CMM 2018-03: Seabirds			
	2018-03 02 (under the “Resolves” section of CMM)	Short description of obligation: Report on implementation of IPOA Seabirds, including NPOAs for reducing incidental catch of seabirds in longline fisheries		
	Category: Implementation (I)	Applicability: flag CCMs		
	WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
CCMs are encouraged to report on their implementation of the IPOA-Seabirds, and as appropriate, the status of their National Plans of Action for Reducing Incidental Catches of Seabirds in Longline Fisheries	None	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	Reporting is required in ARPt2; the language in the paragraph says “CCMs should report...”; consider utility of assessing for	

			compliance in CMS and appropriate audit point.
2018-03 01, 02, 06, 08 Category: Implementation (I) and Report (R)	Short description of obligation: Required seabird mitigation measures for longline vessels fishing south of 30S, between 25S-30S, and north of 23N, and reporting on which mitigation measures CCM is applying in relevant areas Applicability: flag CCMs		
WCPFC Secretariat Criteria (01, 02 and 06 are separately considered)	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
Para 01: Note: applies to flag CCMs with flagged longline fishing vessels that "fished" on the RFV in RY south of 30S 1. AR Pt 2 should include a statement the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the mitigation measure requirements for vessels fishing south 30 S (noting the inclusion of the option for hook-shielding devices was introduced in 2019) 2. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements 3. CCMs should have included in AR Pt 2 the relevant part of the CMM 2018-03 para 8 required report describing which mitigation measures they required their vessels to use in area south of 30S during the reporting year, as well as the technical specifications for each of those mitigation measures. For subsequent years	For the relevant area (e.g. south of 30S, north of 23N, etc) applicable to CCM, submit: <ol style="list-style-type: none"> 1. Statement of Implementation 2. Statement of System or Procedures for Monitoring Compliance 3. Statement of System or Procedures for Responses to Non-Compliance FFA Draft AP covers paragraphs 1, 2, and 6		Confirm the requirement to be assessed for compliance: implementation of requirements in national laws/regs, or reporting that mitigation measures are being required and applied by CCMs vessels, or both.

<p>information should also be provided about any changes to its required mitigation measures of technical specifications for those measures.</p> <p>Para 02: Note: applies to flag CCMs with flagged longline fishing vessels that "fished" on the RFV in RY between 25S and 30S. Note paragraph 2 does not apply in EEZs of French Polynesia, New Caledonia, Tonga, Cook Islands and Fiji due to the low risk to seabirds. (para 4 encourages these CCMs to increase observer coverage rates and collect data on seabird interactions, and implement seabird mitigation measures)</p> <ol style="list-style-type: none"> 1. AR Pt 2 should include a statement the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the mitigation measure requirements for vessels fishing in area 25S to 30S (noting the requirement for use of mitigation measures in area 25S to 30S was introduced on 1 Jan 2020) 2. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements 3. CCMs should have included in AR Pt 2 the relevant part of the CMM 2018-03 para 8 required report describing which mitigation measures they required their vessels to use in in area 25S to 30S during the reporting year, as well as the technical specifications for each of those mitigation measures. For subsequent years 			
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<p>information should also be provided about any changes to its required mitigation measures of technical specifications for those measures.</p> <p>Para 06: Note: applies to flag CCMs with flagged longline fishing vessels that "fished" on the RFV in RY north of 23N</p> <ol style="list-style-type: none"> 1. AR Pt 2 should include a statement the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the mitigation measure requirements for longline vessels > 24m fishing N23N and vessels <24m fishing N23N (noting the inclusion of the option for hook-shielding device was introduced in 2019) 2. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements 3. CCMs should have included in AR Pt 2 the relevant part of the CMM 2018-03 para 8 required report describing which mitigation measures they required their vessels to use in the area north of 23N during reporting year, as well as the technical specifications for each of those mitigation measures. For subsequent years information should also be provided about any changes to its required mitigation measures of technical specifications for those measures. <p>Para 08: None</p>			
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<p>2018-03 13</p> <p>Category: Report (R)</p>	<p>Short description of obligation: Report in AR Pt1 on seabird interactions reported or collected by observers; reporting template in Annex 2.</p> <p>Applicability: flag CCMs</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>Confirm that the {Annual Report on seabird interactions} (of all available information on fishery interactions with seabirds reported or collected by observers to enable estimation of seabird mortality in all fisheries to which the Convention applies) has been submitted using the required template (in Annex 2 of CMM 2018-03 CONSERVATION AND MANAGEMENT MEASURE TO MITIGATE THE IMPACT OF FISHING FOR HIGHLY MIGRATORY FISH STOCKS ON SEABIRDS) to the Secretariat in Annual Report Part 1 for the current reporting year.</p> <p>If this report was omitted from Annual Report Part 1, a revision of AR Pt 1 should be issued that includes this report</p>	<ol style="list-style-type: none"> 1. CCM provided information in its AR Pt1 using the Annex 2 template in the CMM <p>AND</p> <ol style="list-style-type: none"> 2. Secretariat confirms receipt of information in the required format <p>AND, IF AVAILABLE</p> <ol style="list-style-type: none"> 3. Secretariat review of ROP data and seabird interactions by CCMs is matched with a CCM report of seabird interactions <p><i>NOTE: ROP data may not be immediately available to support review of information reported by CCM against this obligation; requires further discussion.</i></p>	<p>Current data sources: ARPt1; ROP</p> <p>Deadline: ARPt1</p> <p>Template: Annex 2 of CMM</p>	
<p>CMM 2018-04: Sea Turtles</p>			
<p>2018-04 02 and 03</p> <p>Category: Report (R)</p>	<p>Short description of obligation: 02 Report on implementation of CMM including information collected on interactions with sea turtles; 03 all data collected by the WCPFC ROP on sea turtle interactions to be reported under relevant Commission data collection provisions</p> <p>Applicability: flag CCMs</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS

2018-04

None	(for para 2, only) CCM reported in AR Pt 2 on its implementation of the CMM and any sea turtle interactions by CCM flagged vessels	Current data sources: ARPt2 Deadline: ARPt2 Template: none	Consider guidelines for reporting to assist with consistency or setting an appropriate reporting standard.
<p style="text-align: center;">2018-04 05 a-d</p> <p>Category: Implementation (I) and Report (R)</p>	<p>Short description of obligations: Rules for CCM purse seine vessels and reporting requirements for vessels involved in sea turtle interactions</p> <p>Applicability: flag CCMs</p>		
WCPFC Secretariat Criteria (Para 5a, only)	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. AR Pt 2 should include a statement the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures to implement sea turtle mitigation requirements for purse seine vessels as per (CMM 2018-04) CMM OF SEA TURTLES, specifically to</p> <p>i. To the extent practicable, avoid encirclement of sea turtles, and if a sea turtle is encircled or entangled, take practicable measures to safely release the turtle.</p> <p>ii. To the extent practicable, release all sea turtles observed entangled in fish aggregating devices (FADs) or other fishing gear.</p> <p>iii. If a sea turtle is entangled in the net, stop net roll as soon as the turtle comes out of the water; disentangle the turtle without injuring it before resuming the net roll; and to the extent practicable, assist the recovery of the turtle before returning it to the water.</p>	<p>Implementation (I) obligation in paragraphs 5a and 5b:</p> <p>1. CCM submitted a Statement of Implementation that confirms CCM’s implementation through adoption of a national binding measure that requires CCM flagged PS vessels to follow safe handling and release guidelines, avoid encirclement of sea turtles, and carry and employ dip nets</p> <p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that CCM flagged PS vessels follow safe handling and release guidelines, avoid encirclement of sea turtles, and carry and employ dip nets</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Responses to Non-</p>	<p>Current data sources: Scientific Data submissions</p> <p>Deadline: April 30 annually</p> <p>Template: none</p>	<p>**RBAF: para 5(c) has no compliance history</p>

<p>iv. Carry and employ dip nets, when appropriate, to handle turtles.</p> <p>2. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p> <p>3. CCMs should have included in AR Pt 2 either as a response to this question or as CMM 2018-04 para 2 required report (2) information collected on interactions with sea turtles in fisheries managed under the Convention, (3) confirmation that vessels are required to record all incidents involving sea turtles during fishing operations, and the results of such reporting is provided to the Commission in accordance with paragraph 5(e) and 7(d) of CMM 2018-04 through annual reporting of Scientific Data to be Provided to the Commission, and (4) all ROP observer data collected on interactions with sea turtles is provided to the Commission in accordance with CMM 2018-04 paragraph 3.</p> <p>4. check SPC DORADO report for reported instances of sea turtle interactions in purse seine fisheries</p>	<p>Compliance that describes the CCM’s mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p> <p>Report (R) obligation in paragraph 5c:</p> <p>CCM submitted information on all PS vessel interactions with sea turtles during fishing operations and confirmation that such interactions were reported to the appropriate CCM authorities.</p>		
<p>*2018-04 06</p> <p>Category: Implementation (I)</p>	<p>Short description of obligations: Longline vessels fishing for species covered by the Convention carry and use line cutters and de-hookers to handle and promptly release sea turtles caught or entangled, in accordance with WCPFC guidelines; vessel operators carry and use dip-nets in accordance with WCPFC guidelines</p> <p>Applicability: flag CCMs</p>		
<p>WCPFC Secretariat Criteria</p>	<p>FFA Draft Audit Point</p>	<p>Notes (template, deadline, sources for verification)</p>	<p>DECISION POINTS</p>
<p>1. AR Pt 2 should include a statement the adoption by a flag CCM, in accordance with its own national policies and</p>	<p>1. CCM submitted a Statement of Implementation that confirms CCM’s</p>		

<p>procedures, of binding measures to (1) require that the operators of all such longline vessels carry and use line cutters and de-hookers to handle and promptly release sea turtles caught or entangled, and that they do so in accordance with WCPFC guidelines, and (2) ensure that operators of such vessels are, where appropriate, required to carry and use dip-nets in accordance with these WCPFC guidelines.</p> <p>2. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p> <p>3. CCMs should have included in AR Pt 2 either as a response to this question or as CMM 2018-04 para 2 required report (2) information collected on interactions with sea turtles in fisheries managed under the Convention, (3) confirmation that vessels are required to record all incidents involving sea turtles during fishing operations, and the results of such reporting is provided to the Commission in accordance with paragraph 5(e) and 7(d) of CMM 2018-04 through annual reporting of Scientific Data to be Provided to the Commission, and (4) all ROP observer data collected on interactions with sea turtles is provided to the Commission in accordance with CMM 2018-04 paragraph 3.</p> <p>4. check SPC DORADO report for reported instances of sea turtle interactions in longline fisheries</p>	<p>implementation through adoption of a national binding measure that requires CCM flagged LL vessel operators to carry and when required, use line cutters, de-hookers, and dip-nets to handle and promptly release sea turtles caught or entangled, in accordance with WCPFC guidelines</p> <p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that CCM flagged LL vessel operators are carrying and when necessary, using line cutters, de-hookers, and dip-nets to handle and promptly release sea turtles caught or entangled, in accordance with WCPFC guidelines</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p>		
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<p>*2018-04 07 *a-e</p> <p>Category: Implementation (I) and Report (R)</p>	<p>Short description of obligations: Rules for CCM longline vessels that fish in a shallow-set manner and report vessel interactions with sea turtles</p> <p>Applicability: pursuant to paragraph 07c of the CMM, flag CCMs which have established their own operational definitions of shallow-set longline fisheries, large circle hooks, and any measures approved by the Commission (paragraph 07.a.iii and 12)</p>		
<p>WCPFC Secretariat Criteria (Para 7a, only)</p>	<p>FFA Draft Audit Point</p>	<p>Notes (template, deadline, sources for verification)</p>	<p>DECISION POINTS</p>
<p>1. AR Pt 2 should include a statement the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures to (1) require that the operators of all such longline vessels carry and use line cutters and de-hookers to handle and promptly release sea turtles caught or entangled, and that they do so in accordance with WCPFC guidelines, and (2) ensure that operators of such vessels are, where appropriate, required to carry and use dip-nets in accordance with these WCPFC guidelines.</p> <p>2. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p> <p>3. CCMs should have included in AR Pt 2 either as a response to this question or as CMM 2018-04 para 2 required report (2) information collected on interactions with sea turtles in fisheries managed under the Convention, (3) confirmation that vessels are required to record all incidents involving sea turtles during fishing operations, and the results of such reporting is provided to the Commission in accordance with paragraph 5(e) and 7(d)</p>	<p>Implementation (I) obligation in paragraph 7a</p> <p>**Applicable flag CCM has reported its operational definitions of shallow-set swordfish longline fisheries, large circle hooks, and any measures under para 7(a)(iii) or 12 in AR Pt 2**</p> <p>1. CCM submitted a Statement of Implementation that confirms CCM’s implementation through adoption of a national binding measure that requires CCM flagged vessel operators to employ at least one of the mitigation methods contained in paragraph 7(a) of the CMM</p> <p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that CCM flagged vessel operators are employing at least one of the mitigation methods contained in paragraph 7(a) of the CMM</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM’s</p>	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: None</p>	<p>**RBAF: para 7(e) has no compliance history</p>

<p>of CMM 2018-04 through annual reporting of Scientific Data to be Provided to the Commission, and (4) all ROP observer data collected on interactions with sea turtles is provided to the Commission in accordance with CMM 2018-04 paragraph 3. 4. check SPC DORADO report for reported instances of sea turtle interactions in longline fisheries</p>	<p>mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p> <p>Report (R) obligation in paragraph 7e:</p> <p>CCM submitted information on all LL vessel interactions with sea turtles during fishing operations and confirmation that such interactions were reported to the appropriate CCM authorities</p>		
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2019-04	CMM 2019-04: Sharks			
	*2019-04 23	Short description of obligation: Advise on implementation of CMM in AR Pt 2, in accordance with Annex 2 of CMM		
	Category: Report (R)	Applicability: flag CCMs		
	WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
	<p>1. AR P2 (RY Specific) response for RY should have included responses to eight (8) RY specific questions under heading of REQUIRED REPORT: SHARKS CMM 2019-04 PARA 23 & ANNEX 2 (Q-051(R) - Q-059(R))</p> <p>2. AR P2 (Implementation Obligations) response should have included responses to six (6) implementation questions under heading of MEASURE : (CMM 2019-04) SHARKS (Pr-113 - Pr-118)</p>	<p>1. CCM provided information in its Part 2 report that covers each of the elements set out in Annex 2 of the CMM:</p> <ul style="list-style-type: none"> a. Description of alternative measures in para 5, if applicable; b. Results of assessment of the need for a NPOA-Sharks c. Details of NPOA-Sharks d. With respect to para 9 of CMM, whether sharks or shark parts are retained on board and how they are handled and stored; where sharks are retained by CCMs with requirements for fins to be naturally attached to 	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: Annex 2 of CMM</p>	

	<p>carcasses, the CCM's monitoring and enforcement system in place; where sharks are retained and CCM requires other than fins naturally attached, the system in place to monitor and enforce it and an explanation of why this fin-handling practice has been adopted</p> <ul style="list-style-type: none"> e. A management plan reference in para 16 that includes specific authorizations to fish and measures to avoid or reduce catch and maximize live release of species whose retention is prohibited by the Commission f. A report on sampling programs for oceanic whitetip sharks and silky sharks that form part of a CCM's observer sampling program g. An estimate of the number of releases of oceanic whitetip shark and silky shark caught in the Convention Area, including the status upon release h. Description of any compatible measures adopted for fishing activities in EEZs of CCMs N30N i. Any instances in which whale sharks have been encircled 		
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	<p>by PS nets including that the required report was submitted to the relevant authority</p> <p>AND</p> <p>2. Secretariat confirms that the information provided in CCM's AR Pt2 contains the information required in a-i, in accordance with the requirements detailed in the CMM</p>		
<p>*2019-04 07-13</p> <p>Category: Implementation (I) and Report (R)</p>	<p>Short description of obligation: Implement requirements for shark retention, full utilization, and finning prohibition, including any alternative measures, and enforcement and compliance monitoring activities; Report on implementation of measures taken to ensure that all sharks retained on board are fully utilized and shark finning is prohibited, including any alternative measures, and enforcement and compliance monitoring activities</p> <p>Applicability: flag CCMs</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>Implementation (I) obligation in paragraphs 07-10:</p> <p>1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirements as per (CMM 2019-04) SHARKS</p> <p>* take measures necessary to require all sharks retained on board their vessels are fully utilized and that the practice of finning is prohibited (para 7) AND</p> <p>* require vessels to land sharks with fins naturally attached to the carcass (para 8) or require alternative measures to ensure individual shark carcasses and their</p>	<p>Implementation (I) obligation in paragraphs 07-10:</p> <p>1. CCM submitted a Statement of Implementation that confirms CCM's implementation through adoption of a national binding measure that requires its flagged vessels to fully utilize any sharks that are retained on board and to ensure that no finning takes place. CCM that apply alternative measures received endorsement from TCC and submitted a Statement of Implementation that confirms CCM's implementation of alternative measures through adoption of a national binding measure.</p>	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	

<p>corresponding fins can be easily identified on board the vessel at any time (para 9 and para 10)</p> <p>2. AR P2 (RY Specific) response for RY should have included responses to Q-053(R) CMM 2019-04 07 - 10 under heading of REQUIRED REPORT: SHARKS CMM 2019-04 PARA 23 & ANNEX 2 which</p> <p>a. details their implementation of the measures in paragraph 8 or paragraph 9 as applicable. The report by CCMs shall contain a detailed explanation of implementation of paragraph 8 or paragraph 9 as applicable including how compliance has been monitored. CCMs are encouraged to report to TCC any enforcement difficulties that they encountered in the case of the alternative measures and how they have addressed risks such as monitoring at sea, species substitution, etc.</p> <p>b. where para 9 is applicable that also provides the information specified in CMM 2019-04 Annex 2 paragraph 4</p> <p>3. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p> <p>Report (R) obligation in paragraph 11:</p> <p>1. AR P2 (RY Specific) response for RY should have included responses to Q-053(R) CMM 2019-04 07 - 10 under heading of REQUIRED REPORT: SHARKS CMM 2019-04 PARA 23 & ANNEX 2 which</p>	<p>AND</p> <p>2. CCM submitted a <i>Statement of System or Procedures for Monitoring Compliance</i> that describes how CCM is monitoring and ensuring that its vessels are not retaining, transshipping, landing or trading in any fins harvested in contravention of this CMM</p> <p>AND</p> <p>3. CCM submitted a <i>Statement of System or Procedures for Responses to Non-Compliance</i> that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p> <p>Report (R) obligation in paragraph 11:</p> <p>1. CCM provided a report on its implementation of measures it has taken to require its vessels to land sharks with fins naturally attached to the carcass</p> <p>AND</p> <p>2. Report contains a detailed explanation of implementation of paras 8 and 9, including how compliance is being monitored.</p> <p>Implementation (I) obligation in paragraph 12:</p> <p>1. CCM submitted a <i>Statement of Implementation</i> that confirms CCM's implementation through adoption of a national binding measure that prohibits its flagged vessels from retaining, transshipping, landing, or trading in any</p>		
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<p>a. details their implementation of the measures in paragraph 8 or paragraph 9 as applicable. The report by CCMs shall contain a detailed explanation of implementation of paragraph 8 or paragraph 9 as applicable including how compliance has been monitored. CCMs are encouraged to report to TCC any enforcement difficulties that they encountered in the case of the alternative measures and how they have addressed risks such as monitoring at sea, species substitution, etc.</p> <p>b. where para 9 is applicable that also provides the information specified in CMM 2019-04 Annex 2 paragraph 4</p> <p>Implementation (I) obligation in paragraph 12:</p> <p>1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures to prohibit its fishing vessels from retaining on board, transhiping, landing or trading any fins harvested in contravention of (CMM 2019-04) SHARKS</p> <p>2. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p> <p>Implementation (I) obligation in paragraph 13:</p>	<p>fins harvested in contravention of this CMM.</p> <p>AND</p> <p>2. CCM submitted a <i>Statement of System or Procedures for Monitoring Compliance</i> that describes how CCM is monitoring and ensuring that its vessels are not retaining, transshipping, landing, or trading in any fins harvested in contravention of this CMM</p> <p>AND</p> <p>3. CCM submitted a <i>Statement of System or Procedures for Responses to Non-Compliance</i> that describes the CCM’s mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement</p> <p>Implementation (I) obligation in paragraph 13:</p> <p>1. CCM submitted a Statement of Implementation that confirms CCM’s implementation through adoption of a national binding measure that requires its flagged vessels to land or transship all shark carcasses with their corresponding fins and in a manner that enables inspectors to verify.</p> <p>AND</p> <p>2. CCM submitted a <i>Statement of System or Procedures for Monitoring Compliance</i> that describes how CCM is monitoring and ensuring that its vessels are land or transship all shark carcasses with their</p>		
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<p>1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures to ensure shark carcasses and their corresponding fins are landed or transhipped together, in a manner that allows inspectors to verify in accordance with (CMM 2019-04) SHARKS</p> <p>2. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p>	<p>corresponding fins and in a manner that enables inspectors to verify.</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p>		
<p>*2019-04 14 and 15</p> <p>Category: Implementation (I) and Report (R)</p>	<p>Short description of obligation: Notify of which one of two options in para 14 will be implemented to minimize bycatch of sharks in longline fisheries, and whether implementation will be on a vessel-by-vessel basis or CCM; notify any changes to selected option</p> <p>Applicability: flag CCMs</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. Where applicable, AR P2 (Implementation obligations) response should have included response to Pr-115 under heading of MEASURE: (CMM 2019-04) SHARKS</p> <p>2. Secretariat should have also have received reporting in accordance with CMM 2019-04 para 15, advising of selected option and when it changes - this should accord with AR P2 report.</p> <p>3. AR Pt 2 should also include a statement that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding</p>	<p>1. CCM has notified the Commission of which of the following two options it is requiring of which of its vessels, or as a CCM</p> <p style="padding-left: 40px;">Option 1: do not use or carry wire trace as branch lines or leaders, or</p> <p style="padding-left: 40px;">Option 2: do not use branch lines running directly off the longline floats or drop lines, known as shark lines</p> <p>AND</p>	<p>Current data sources: CCM report</p> <p>Deadline: 31 March 2021 for first notification; thereafter, when option changes</p> <p>Template: none</p>	

<p>measures that implement the selected option/s as per (CMM 2019-04) SHARKS</p> <p>4. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p>	<p>2. Based on CCM’s notification of option(s), CCM submitted a Statement of Implementation that confirms CCM’s implementation through adoption of a national binding measure that requires its flagged LL vessels targeting tuna and billfish not to (1) use or carry wire trace as branch lines or leaders; or (2) use branch lines running directly off the LL floats or drop lines</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that its flagged LL vessels targeting tuna and billfish are not (1) using or carrying wire trace as branch lines or leaders, or (2) using branch lines running directly off the LL floats or drop lines</p> <p>AND</p> <p>4. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM’s mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p>		
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<p>*2019-04 16</p> <p>Category: Report (R)</p>		<p>Short description of obligation: Develop and report management plans for longline fisheries targeting sharks</p> <p>Applicability: flag CCMs</p>	
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. Where applicable, AR P2 (RY Specific) response for RY should have included responses to Q-053(R) under heading of REQUIRED REPORT: SHARKS CMM 2019-04 PARA 23 & ANNEX 2 which includes a management plan for longline fisheries targetting sharks that is developed in accordance with CMM 2019-04 para 16.</p> <p>2. The reporting of the management plan should be in accordance with CMM 2019-04 Annex 2 para 5.</p> <p>REPORT REQUIREMENTS:</p> <p>Annex 2: Template for reporting implementation of this CMM. Each year CCM shall include the following information in Part 2 of its annual report:</p> <p>5. The management plan in para 16 that includes:</p> <p>(1) specific authorizations to fish such as a license and a TAC or other measure to limit the catch of shark to acceptable levels;</p> <p>(2) measures to avoid or reduce catch and maximize live release of species whose retention is prohibited by the Commission;</p> <p>3. AR Pt 2 should also include a statement that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding</p>	<p>CCM provided a report in its AR Pt 2 of its management plan for CCM LL vessels targeting sharks</p>	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: Para 5 of Annex 2 of CMM provides specific reporting guidance:</p> <p>(1) specific authorizations to fish such as a license and a TAC or other measure to limit the catch of shark to acceptable levels;</p> <p>(2) measures to avoid or reduce catch and maximize live release of species whose retention is prohibited by the Commission;</p>	

<p>measures that implement management plan for longline fisheries targetting sharks as per (CMM 2019-04) SHARKS</p> <p>4. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p>			
<p>*2019-04 18</p> <p>Category: Implementation (I)</p>	<p>Short description of obligation: Ensure that when sharks are caught and not being retained, they are hauled alongside the vessel before being cut free in order to facilitate species ID; only when an observer or electronic monitoring camera is present</p> <p>Applicability: flag CCMs</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement when an observer or electronic monitoring camera is present, to ensure that sharks that are caught are not to be retained, hauled alongside the vessel before being cut free in order to facilitate a species identification as per (CMM 2019-04) SHARKS</p> <p>2. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p>	<p>1. CCM submitted a Statement of Implementation that confirms CCM’s implementation through adoption of a national binding measure that requires its flagged vessels with observers or electronic monitoring cameras on board and in the event that a shark is caught and not being retained, the shark is hauled alongside the vessel before being cut free to facilitate species ID</p> <p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that its flagged vessels with observers or electronic monitoring cameras on board, in the event that a shark is caught and not being retained, the</p>	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	

	<p>shark is hauled alongside the vessel before being cut free to facilitate species ID</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM’s mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p>		
<p>*2019-04 20 and Annex 2:07</p> <p>Category: Implementation (I) and Report (R)</p>	<p>Short description of obligation: Implementation and reporting requirements for oceanic whitetip sharks and silky shark</p> <p>Applicability: flag CCMs</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>Para 20(01):</p> <p>1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM and a chartering CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement to prohibit its flagged and/or chartered vessels from retaining on board, transhiping, storing or landing any oceanic whitetip shark or silky shark, in whole or in part as per (CMM 2019-04) SHARKS</p> <p>2. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p>	<p>1. CCM submitted a Statement of Implementation that confirms CCM’s implementation through adoption of a national binding measure that requires its flagged vessels or vessels it charters to:</p> <ul style="list-style-type: none"> a. Not retain, tranship, store on board, or land in whole or in part any oceanic whitetip or silky shark b. Release any oceanic whitetip or silky shark that is caught as soon as possible and in accordance with applicable safe release guidelines for these species c. Surrender in whole any unintentionally caught 	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: para 6-7 of Annex 2 of CMM requires:</p> <p>6. A report on sampling programs for oceanic whitetip sharks and silky shark as a CCM project as referred to in para 20(4)</p> <p>7. Estimated number of releases of oceanic whitetip shark and silky shark caught in Convention Area, including the status upon release (dead or alive), through data collected from observer programs and other means.</p>	

<p>Para 20(02):</p> <p>1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM and/or chartering CCM, in accordance with its own national policies and procedures, of binding measures that implement the obligation to require flag or chartered vessels to release any oceanic whitetip shark or silky shark, that is caught as soon as possible after the shark is brought alongside the vessel, and to do so in a manner that results in as little harm to the shark as possible, following any applicable safe release guidelines for these species as per (CMM 2019-04) SHARKS</p> <p>2. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p> <p>Para 20(03):</p> <p>1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM and/or chartering CCM, in accordance with its own national policies and procedures, of binding measures that implement the obligation in accordance with national laws and regulations, and notwithstanding 20(1) and 20(2) to require flag or chartered purse seine vessels to surrender the whole oceanic whitetip shark or silky shark, to Government authorities or to discard them at the point of landing or transshipment as per (CMM 2019-04) SHARKS</p>	<p>oceanic whitetip or silky shark that are frozen as part of a PS vessels' operation, to the responsible government authorities or discard them at the point of landing or transshipment. In this case, any oceanic whitetip shark or silky shark surrendered may not be sold or bartered but may be donated for domestic human consumption</p> <p>d. Allow observers on board the vessel to collect biological samples from any oceanic whitetip sharks and silky sharks that are dead on haulback to be used as part of CCMs or an SC research project. In this case, CCM must report it in AR Pt 2.</p> <p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that its flagged vessels or vessels it charters is adhering to requirements in the CMM with respect to oceanic whitetip sharks and silky sharks</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM's mechanisms and processes to respond</p>		
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<p>2. CCMs should confirm that any oceanic whitetip shark or silky shark surrendered in this manner, are not able to sold or bartered, but may be donated for purpose of human consumption.</p> <p>3. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements.</p>	<p>to potential infringements or instances of non-compliance with this requirement.</p>		
<p>*2019-04 21 and Annex 2:09</p> <p>Category: Implementation (I) and Report (R)</p>	<p>Short description of obligation: Implementation and reporting requirements for whale sharks</p> <p>Applicability: flag CCMs</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>Para 21(01-07):</p> <p>1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM and chartering CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement to prohibit their flagged and chartered vessels from setting a purse seine on a school of tuna associated with a whale shark if the animal is sighted prior to the commencement of the set as per (CMM 2019-04) SHARKS</p> <p>2. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p>	<p>1. CCM submitted a Statement of Implementation that confirms CCM’s implementation through adoption of a national binding measure that requires its flagged vessels or vessels it charters to:</p> <ul style="list-style-type: none"> a. Not set a purse seine on a school of tuna associated with a whale shark if the animal is sighted prior to the commencement of a set* b. Not retain on board, tranship, or land any whale shark caught in the Convention Area, in whole or in part, in the fisheries covered by the Convention c. Ensure that all reasonable steps are taken to ensure the 	<p>Current data source: ARPt2; ROP</p> <p>Deadline: ARPt2</p> <p>Template: para 8 of Annex 2 of CMM provides reporting guidance:</p> <p>8. Description of compatible measures as referred to in para 21(4).</p> <p>9. Any instances in which whale sharks have been encircled by purse seine nets of their flagged vessels, including the details required under para 21 (5)(b).</p>	<p>Consider obligation category; see Report requirement in para 21(4)</p>

<p>Para 21(04):</p> <p>1. AR P2 (Implementation Obligations) response should have also included a response to implementation question Pr-118 under heading of MEASURE : (CMM 2019-04) SHARKS indicating an alternative approach to implementation in EEZ north of 30N deemed to be consistent with a prohibiting their flagged vessels from setting a purse seine on a school of tuna associated with a whale shark if the animal is sighted prior to the commencement of the set.</p> <p>2. AR P2 (RY Specific) response for RY should have included responses to Q-056(R) under heading of REQUIRED REPORT: SHARKS CMM 2019-04 PARA 23 & ANNEX 2 which describes the compatible measures applied in EEZs north of 30N</p>	<p>safe release of whale sharks incidentally encircled in the purse seine net and report the incident to the relevant authority of the flag State, including information on the number of individuals, details of how and why the encirclement happened, where it occurred, steps taken to ensure safe release, and an assessment of the life status of the whale shark on release, and encourage CCM vessel masters to follow the WCPFC guidelines for the Safe Release of Encircled Whale Sharks</p> <p>d. Ensure that the safety of the crew remains paramount when employing safe release techniques of whale sharks</p> <p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that its flagged vessels or vessels it charters is adhering to requirements in the CMM with respect to whale sharks</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM's mechanisms and processes to respond to potential infringements or</p>		
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	<p>instances of non-compliance with this requirement.</p> <p>AND</p> <p>4. The Secretariat’s required report on the implementation of this CMM paragraph on the basis of observer reports corresponds with information required to be submitted by a CCM and requirements of CCM vessel masters in the implementation of this paragraph</p> <p>* If CCM has vessels authorized to fish in the exclusive economic zone of any member of the Parties to the Nauru Agreement (PNA), the CCM’s Statement of Implementation shall include the requirement for this prohibition to be in accordance with the Third Arrangement implementing the Nauru Agreement;</p> <p>*If CCM has vessels authorized to fish in EEZs of CCMs north of 30N, CCM shall implement this measure or compatible measures consistent with obligations in this CMM. Where a CCM has applied compatible measures, a description of these measures shall be annually provided to the Commission in CCM’s AR Pt 2</p>		
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2019-05	CMM 2019-05: Mobulid Rays			
	2019-05 03	Short description of obligation: Prohibit targeted fishing of or intentional setting on mobulid rays		
	Category: Implementation (I)	Applicability: flag CCMs		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS	

None	<p>1. CCM submitted a Statement of Implementation that confirms its adoption of a national binding measure that prohibits CCM vessels from targeted fishing or intentional setting on mobulid rays</p> <p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is ensuring that its flagged vessels are not targeting or intentionally setting on mobulid rays</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p>	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	<p>**RBAF: no compliance history</p>
<p>*2019-05 04-08, 10</p> <p>Category: Implementation (I) and Report (R)</p>	<p>Short description of obligation: Prohibit retaining on board, transshipping, or landing any part or whole carcass of mobulid rays (04); prompt and safe release (encourage Annex 1 safe handling practices) (05); if mobulid ray is caught and landed, surrender animal to government authorities (06) after observer collects biological samples (10); inform/educate fishers and encourage handling practices in Annex 1 of CMM (08); advise on implementation (07).</p> <p>Applicability: flag CCMs</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS

<p>Paragraphs 04-06, 08, 10:</p> <p>1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirements as per (CMM 2019-05) PROTECTION OF MOBULIDS</p> <ul style="list-style-type: none"> * prohibit vessels from retaining, transshipping or landing any part * require vessels to promptly release alive and unharmed to the extent practicable, encourage use of handling guidelines *in purse seine where unintentionally caught and landed as part of PS vessel operation, vessel must surrender to approp authority or discard where possible *ensure that fishers are aware of proper mitigation, identification, handling and release techniques, encouraged to use handling practices in Annex I * observers may collect biological samples when mobulid is dead at haulback <p>2. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p>	<p>1. CCM submitted a Statement of Implementation that confirms its adoption of a national binding measure that prohibits CCM vessels from retaining on board, transshipping, or landing any part or whole carcass of a mobulid ray. The measure must also require a CCM vessel to promptly release alive and unharmed any mobulid ray that is caught by CCM vessel, following handling practices in the CMM to the extent possible and in consideration of crew safety. The measure must also require CCM PS vessel operators to surrender any unintentionally caught and landed mobulid rays to the relevant government authorities at the point of landing or transshipment, or discard them where possible. CCM national binding measure must also ensure that CCM PS vessel operators allow observers to collect biological samples of mobulid rays that are caught and dead at haul-back.</p> <p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is ensuring that its CCM vessels are not retaining on board, transshipping, or landing any part or whole carcass of a mobulid ray. The Statement must also describe how CCM is monitoring and ensuring that its vessels promptly release alive and unharmed any mobulid ray that is caught by CCM vessel, following handling practices in the CMM to the extent possible and in consideration of crew safety. Statement must also describe</p>	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	<p>**RBAF: no compliance history</p>
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	<p>how CCM is monitoring and ensuring its PS vessel operators surrender any unintentionally caught and landed mobulid rays to the relevant government authorities at the point of landing or transshipment, or discard them where possible, and that observers are being allowed to collect biological samples of mobulid rays that are caught and dead at haul-back.</p> <p>AND</p> <p>3. CCM submitted a <i>Statement of System or Procedures for Responses to Non-Compliance</i> that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p>		
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Part F: OPERATIONAL REQUIREMENTS FOR FISHING VESSELS

2014-02
and SSPs

CMM 2014-02 and SSPs: Vessel Monitoring System

***2014-02 09a; VMS SSPs**
***2.8, 2.13, 7.2.2**

Category: Implementation (I)
and Report (R)

Short description of obligation: Rules for fishing vessels on the high seas using Commission VMS (9a); reporting on periodic audits of ALC/MTU (SSP 2.13 and 7.2.2); providing complete ALC/MTU “VTAF” data (SSP 2.8)

Applicability: flag CCMs with vessels operating on the high seas in the Convention Area

WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>Paragraph 9a:</p> <p>1. AR Pt 2 should follow CMM 2014-02 Annex 2 template for reporting on implementation, and include a statement that confirms the adoption by a flag CCM, of national measures or management plans to implement CMM 2014-02 9a. CCMs should detail and specify the mechanism/s used to implement the requirement for its flagged vessels to install ALC units that are on the Commission ALC/MTU Approval List.</p> <p>2. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements. Note that CMM 2014-02 Annex 2 footnote 4 may also be useful as guidance: Monitoring CCMs'</p>	<p>Report: VMS SSP 2.8</p> <p>1. Secretariat confirms that each of the CCM flagged vessels is on the FFA Good Standing list</p> <p>OR</p> <p>2. Secretariat review of its VMS records shows that the flag CCM has provided complete VTAF details</p> <p>AND</p> <p>3. Secretariat confirmed successful activation of the MTU/ALC</p> <p>Report: VMS SSPs 7.2.2 (covers SSP 2.13)</p> <p>1. CCM submitted complete information through AR Pt 2 MTU AUDIT INSPECTIONS ONLINE LIST</p> <p>AND</p>	<p>Current data sources: reports to Secretariat; FFA Vessel Register; ARPt2</p> <p>Deadline: ARPt 2</p> <p>Template:</p>	

<p>compliance with this item can be streamlined if 1) CCMs monitor and update their vessel's status (e.g., "In Port", "Out of Convention Area", "Manual Reporting", "new VTAF data submitted to Secretariat", etc.) using the new interactive utility in the VRST at least every 31 days, and 2) the Secretariat updates all vessels' VTAF submission status on a daily basis as outlined in the draft revised VMS SOPs. In that case, CCMs may simply refer to their VRST review/update process in response to relevant AR Pt 2 questions.</p> <p>3. Based on Secretariat records,</p> <p>a. what were the number of vessels flagged to each CCM that were on RFV in RY?</p> <p>b. what was the count of vessels reported to have fished in RY?</p> <p>c. what was the count of vessels with VMS manual reporting in RY?</p> <p>d. what is the count of vessels identified as having potential VMS reporting anomalies / count reported to have 'fished' by gear type?</p> <p>e. what is the average days per year of vessels that 'fished' by gear type, that are identified as having potential VMS reporting anomalies?</p> <p>"Potential VMS reporting anomaly":=</p> <p>a. did CCM advise that vessel 'fished'? if no, then no issue.</p> <p>b. if yes, was vessel in good standing on FFA vessel register for entire RY? if yes, then ok</p> <p>c. if no, for days that it was not on FFA vessel register for good standing in RY,</p>	<p>2. Secretariat confirmed that information submitted by CCM was complete.</p> <p>Implementation: Para 9a</p> <p>1. CCM submitted a Statement of Implementation that confirms CCM's implementation through adoption of a national binding measure that requires its fishing vessel operators to comply with the Commission standards for WCPFC VMS including being fitted with ALCs/MTUs that meet Commission requirements</p> <p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that its vessel operators are complying with the Commission standards for WCPFC VMS including being fitted with ALCs/MTUs that meet Commission requirements</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p> <p>AND</p>		
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<p>was a VTAF data submitted and was vessel showing regular VMS reporting counts? if yes, then ok d. if no, did the vessel submit manual reports regularly over the days? if yes, then ok e. if no, was the VTAF undergoing process of activation by the Secretariat ? if yes, then explained f. if no, did the flag CCM provide another explanation eg in dry dock, outside convention area. if yes, then explained g. if no, this would appear to be a "potential VMS reporting anomaly."</p> <p>VMS SSPs 2.8:</p> <p>1. AR Pt 2 should follow CMM 2014-02 Annex 2 template for reporting on implementation, and include a statement that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement to provide specified ALC/MTU VTAF information to the Secretariat for each of its vessels required to report to the Commission VMS</p> <p>2. CCMs should also provide in AR Pt2 information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements Note that CMM 2014-02 Annex 2 footnote 5 may also be useful as</p>	<p>4. Secretariat review of its records does not show any VMS reporting anomalies for CCM's implementation of the Commission standards for WCPFC VMS</p> <p>NOTE: WCPFC10 agreed that flag CCM vessels that are listed on the FFA Regional Register of Good Standing are exempt from submitting VTAF data to the WCPFC Secretariat.</p>		
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<p>guidance: Monitoring CCMs' compliance with this requirement can now be automated via the VRST if 1) CCMs monitor and update their vessel's status (e.g., "In Port", "Out of Convention Area", "Manual Reporting", "new VTAF data submitted to Secretariat", etc.) using the interactive utility in the VRST at least every 31 days, and 2) the Secretariat updates all vessels' VTAF submission status on a daily basis as outlined in the draft revised VMS SOPs.</p> <p>3. Based on Secretariat records,</p> <p>a. what were the number of vessels flagged to each CCM that were on RFV in RY?</p> <p>b. what was the count of vessels reported to have fished in RY?</p> <p>c. For all vessels that 'fished' had CCM submitted to WCPFC either the required VTAF data OR were the vessel(s) on FFA Register with status of Good Standing?</p> <p>VMS SSPs 7.2.2:</p> <p>1. Check AR Pt 2 if CCM said YES or NO</p> <p>2. If YES, check MTU audit table was completed</p> <p>3. If NO, check if reason for no audits was provided (see section 2 para 9 - 10)</p>			
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<p style="text-align: center;">2014-02 04</p> <p>Category: Implementation (I)</p>	<p>Short description of obligation: fishing vessels operating N20N and W175E to keep ALCs activated and reporting to the Commission</p> <p>Applicability: flag CCMs with vessels operating in the Convention area N20N and W175E</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>Applicable Flag CCMs are to confirm whether obligation was implemented.</p> <p>Provide additional information / details that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement that vessels should keep MTUs / ALCs activated and continue to report to the Commission VMS after moving into the northern quadrant (north of 20N and west of 175E)</p> <p>CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p>	<ol style="list-style-type: none"> 1. CCM submitted a <i>Statement of Implementation</i> that confirms CCM’s implementation through adoption of a national binding measure that requires its flagged fishing vessels to keep their ALC’s activated and continue to report to the Commission if they move into the area north of 20N and west of 175E. <p>AND</p> <ol style="list-style-type: none"> 2. CCM submitted a <i>Statement of System or Procedures for Monitoring Compliance</i> that describes how CCM is monitoring and ensuring that its flagged fishing vessels are keeping their ALC’s activated and continuing to report to the Commission if they move into the area north of 20N and west of 175E. <p>AND</p> <ol style="list-style-type: none"> 3. CCM submitted a <i>Statement of System or Procedures for Responses to Non-Compliance</i> that describes the CCM’s mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement. 	<p>Current data sources: Commission VMS; ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	

2021-01

	<p>AND</p> <p>4. Secretariat review of its VMS data confirms that CCM flagged vessels continued to report VMS information to the Commission if they moved into the area north of 20N and west of 175E.</p>		
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CMM 2021-01 Bigeye, Skipjack, and Yellowfin

<p>2021-01 31 (2020-01 33)</p> <p>Category: Implementation (I)</p>	<p>Short description of obligation: Purse seine vessels are not to operate under VMS manual reporting procedures during FAD closure period - Flag CCM responsibility</p> <p>Applicability: applies to flag CCMs with flagged purse seine fishing vessels that "fished" in the previous calendar year between 20N and 20S</p>
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WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement that flag CCMs ensure that purse seine vessels shall not operate under manual reporting during the FAD closure period</p> <p>2. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p> <p>3. Based on Secretariat records, did any purse seine vessels provide VMS</p>	<p>1. CCM submitted a Statement of Implementation that confirms CCM's implementation through adoption of a national binding measure of the requirement for CCM flagged purse seine vessels to not operate under VMS manual reporting during FAD closure periods</p> <p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that its flagged PS vessels do not operate under VMS manual reporting during the FAD closure period</p> <p>AND</p>	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: noe</p>	

<p>manual reports during the applicable months of the FAD closure?</p>	<p>3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM’s mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p> <p>AND</p> <p>Secretariat confirms through review of VMS manual reports submitted by CCM PS vessel operators that none of those reports were submitted during FAD closure periods.</p>		
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2004-03	<p>CMM 2004-03: Vessel Markings and Specifications</p>			
	<p style="color: red; text-align: center;">2004-03 03</p> <p>Category: Implementation (I)</p>	<p>Short description of obligation: vessel markings; WIN; technical specifications</p> <p>Applicability: flag CCMs</p>		
	<p style="text-align: center;">WCPFC Secretariat Criteria</p>	<p style="text-align: center;">FFA Draft Audit Point</p>	<p style="text-align: center;">Notes (template, deadline, sources for verification)</p>	<p style="text-align: center;">DECISION POINTS</p>
<p>Confirm whether obligation was implemented.</p> <p>Provide additional information / details that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the fishing vessel marking and technical specification requirements (CMM 2004-03) MARKING AND IDENTIFICATION OF FISHING VESSELS.</p>	<p>1. CCM submitted a Statement of Implementation that confirms CCM’s implementation through adoption of a national binding measure that requires CCM flagged vessel operators to mark their vessels in accordance with the requirements of the CMM, including all technical specifications required by the CMM.</p> <p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring</p>	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: none</p>		

<p>CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements.</p>	<p>Compliance that describes how CCM is monitoring and ensuring that CCM flagged vessel operators are marking their vessels in accordance with the requirements of the CMM</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p>		
<p>2004-03 03</p> <p>Category: Report (R)</p>	<p>Short description of obligation: Enter the WIN into the RFV</p> <p>Applicability: flag CCMs</p>		
<p>WCPFC Secretariat Criteria</p>	<p>FFA Draft Audit Point</p>	<p>Notes (template, deadline, sources for verification)</p>	<p>DECISION POINTS</p>
<p>Confirm whether obligation was implemented.</p> <p>Provide additional information / details that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement to include WIN for fishing vessels on RFV (CMM 2004-03) MARKING AND IDENTIFICATION OF FISHING VESSELS</p> <p>CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements.</p>	<p>1. Each of CCM's entry of flagged vessels on the RFV contains a WIN</p> <p>AND</p> <p>2. Secretariat confirms that each CCM flagged vessel on the RFV contains a WIN and that the WIN is in line with the requirements in paragraph 2.1.1 (a) or (b)</p>	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	

CMM 2018-06: Record of Fishing Vessels

2018-06 07

Category: Implementation (I)

Short description of obligation: Requirement to notify any additions, modifications, and deletions of vessels from the Record, including vessel details in para 6 of CMM

Applicability: flag CCMs

WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>*Note in practice, and through adoption of the RFV SSPs flag CCM users are to submit updates with respect to their vessels listed on the Record of Fishing Vessels in accordance with the standards, specifications and procedures for the RFV (refer CMM 2013-03 / CMM 2014-03).</p> <p>**MS Excel files that meet requirements of RFV SSPs can be submitted to: contact.rfv@wcpfc.int</p> <p>**Authorised CCM users are able to use the online reporting tool provided at https://intra.wcpfc.int</p> <p>1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of measures to notify any additions, modifications and deletions of Vessels from the record, including for each vessel all details as set out in paragraph 6 of this CMM</p> <p>2. CCMs should also provide information showing that it has a</p>	<p>1. CCM provided complete record of required information for each of its vessels authorized to fish beyond CCM area of national jurisdiction, in the Convention Area</p> <p>AND</p> <p>2. CCM provided its complete record of authorized vessels within 72 hours before commencement of fishing activities by its vessels</p> <p>AND</p> <p>3. Secretariat confirms that the information provided by the CCM in respect of its authorized vessels is complete and that the Secretariat does not have any information to show that CCM flagged vessel commenced operating in the Convention Area without complete vessel data in the Record and less than 72 hours prior to its commencement of operations</p>	<p>Current data sources: ARPt2; WCPFC RFV submissions; relevant CCM communications to the Secretariat; absence of information to show fishing occurred prior to required authorizations by CCM</p> <p>Deadline: complete RFV information for CCM no later than 72 hours before CCM fishing activities begin</p> <p>Template/format: RFV SSPs</p>	

<p>system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements.</p> <p>3. Summarise the number of vessels on the RFV where CCM made modifications/updates in RY</p>			
<p>*2018-06 09</p> <p>Category: Report (R)</p>	<p>Short description of obligation: Submission by Member to ED a list of all vessels on national record in previous year, noting "fished" or "did not fish" for each vessel (fished and did not fish report)</p> <p>Applicability: flag CCMs</p>		
<p>WCPFC Secretariat Criteria</p>	<p>FFA Draft Audit Point</p>	<p>Notes (template, deadline, sources for verification)</p>	<p>DECISION POINTS</p>
<p>1. Based on Secretariat records was a fished and did not fish report using the template provided by the Secretariat received for RY?</p> <p>2. Based on Secretariat records what were the # of vessels, by vessel type eg carriers, longliners, purse seine that were reported to have "fished" in RY?</p>	<p>1. CCM submitted fished/did not fish report using Secretariat template</p> <p>AND</p> <p>2. Secretariat review of VMS and operational level catch and effort data matches the CCM-reported number of CCM vessels, by vessel type, reported to have "fished" in RY</p>	<p>Current data sources: CCM submissions</p> <p>Deadline: before 1 July each year</p> <p>Template: provided by Secretariat to CCM RFV contacts</p>	
<p>2018-06 02</p> <p>Category: Implementation (I)</p>	<p>Short description of obligation: Ensure flagged fishing vessels only tranship to/from, engage in bunkering activities with, or are otherwise supported by other CCM flag vessels, non CCM flag vessels that are on Interim Register, or vessels operated under charter</p> <p>Applicability: flag CCMs</p>		
<p>WCPFC Secretariat Criteria</p>	<p>FFA Draft Audit Point</p>	<p>Notes (template, deadline, sources for verification)</p>	<p>DECISION POINTS</p>
<p>1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM, in accordance with its own</p>	<p>1. CCM submitted a Statement of Implementation that confirms CCM's implementation through adoption of</p>	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p>	

<p>national policies and procedures, of binding measures that implement the requirement for 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</p> <p>2. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements.</p>	<p>a national binding measure that prohibits its flagged vessels from transshipping to/from, engaging in bunkering activities with, or otherwise receiving support by non-CCM flagged vessels, vessels not on the WCPFC Interim Register, or vessels not operating under charter, lease, or similar mechanisms to a CCM</p> <p>AND</p> <p>2. CCM submitted a <i>Statement of System or Procedures for Monitoring Compliance</i> that describes how CCM is monitoring and ensuring that its flagged vessels are not engaging in transshipment, bunkering, or other support activities with non-CCM flagged vessels, vessels not on the WCPFC Interim Register, or vessels not chartered or leased by CCMs</p> <p>AND</p> <p>3. CCM submitted a <i>Statement of System or Procedures for Responses to Non-Compliance</i> that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p>	<p>Template: none</p>	
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<p>*2018-06 03 and 04</p> <p>Category: Implementation (I)</p>	<p>Short description of obligation: Prohibit fishing by CCM flagged vessels beyond areas of national jurisdiction without appropriate CCM authorization (03); CCM authorizations for flag vessels to set out specific permissions (04)</p> <p>Applicability: flag CCMs</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>Para 03:</p> <p>1. AR Pt 2 should include a statement the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures to not allow any fishing vessel entitled to fly its flag to be used for fishing in the Convention Area beyond areas of national jurisdiction unless it has been authorized to do so by the appropriate authority or authorities of that member.</p> <p>2. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p> <p>Para 04:</p> <p>1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the vessel authorization to fish</p>	<p>Para 03:</p> <p>1. CCM submitted a Statement of Implementation that confirms CCM’s implementation through adoption of a national binding measure that prohibits its flagged vessels from operating beyond CCM’s areas of national jurisdiction without the appropriate CCM authorization</p> <p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that its flagged vessels are not operating beyond CCM’s areas of national jurisdiction without the appropriate CCM authorization</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM’s mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p>	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	

<p>requirements specified in CMM 17-05 paragraph 4</p> <p>2. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements.</p>	<p>Para 04:</p> <p>CCM submitted a <i>Statement of Implementation</i> that confirms CCM's implementation through adoption of a national binding measure that ensures the authorizations it issues to its vessels to fish beyond its areas of national jurisdiction and in the Convention Area contain the following information:</p> <ul style="list-style-type: none"> a. the specific areas, species and time periods for which the authorization is valid; b. permitted activities by the vessel; c. a prohibition of fishing, retention on board, transshipment or landing by the vessel in areas under the national jurisdiction of another State except pursuant to any license, permit or authorization that may be required by such other State; d. the requirement that the vessel keep on board the authorization issued pursuant to paragraph 1 above, or certified copy thereof; any license, permit or authorization, or certified copy thereof, issued by a coastal State, as well as a valid certificate of vessel registration; and e. any other specific conditions to give effect to the provisions of the Convention and conservation and management 		
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	measures adopted pursuant to it.		
2018-06 17	<p>Short description of obligation: Flag CCM to ensure its FVs have been placed on the RFV is accordance with this CMM. Vessels not on RFV shall be deemed not to be authorized to fish for, retain on board, transship or land HMFS in the CA beyond the national jurisdiction of its flag CCM</p> <p>Applicability: flag CCMs</p>		
Category: Implementation (I)			
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement to ensure its FVs have been placed on the RFV is accordance with CMM 2017-05</p> <p>Vessels not on RFV shall be deemed not to be authorized to fish for, retain on board, transship or land HMFS in the Convention Area beyond the national jurisdiction of its flag State</p> <p>2. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements.</p>	<p>1. CCM submitted a Statement of Implementation that confirms CCM's implementation through adoption of a national binding measure that deems any vessels flying CCM flag and not on the RFV to be unauthorized to fish for, retain on board, transship, or land highly migratory fish stocks caught in the Convention Area beyond CCM's national jurisdiction, and requires authorized CCM flagged vessels to be placed on the RFV in accordance with this CMM</p> <p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is ensuring that its authorized vessels are placed on the RFV in accordance with the CMM and that CCM vessels not authorized through placement on the RFV are not fishing for, retaining on board, transshipping, or</p>		

	<p>landing HMFS in the Convention Area beyond CCM's national jurisdiction</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p>		
<p>2018-06 18</p> <p>Category: Implementation (I)</p>	<p>Short description of obligation: Prohibit landing at CCM ports or transshipment to its flagged vessels by vessels not entered on the Record or the Register</p> <p>Applicability: flag CCMs and port State CCMs</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>Applicable CCMs are to confirm whether obligation was implemented.</p> <p>Provide additional information / details that confirms the adoption by a CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement to prohibit landings in their ports or transshipment activities with vessels not on RFV</p> <p>CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in</p>	<p>1. CCM submitted a Statement of Implementation that confirms CCM's implementation through adoption of a national binding measure that prohibits landing at its ports or transshipment to its flagged vessels of HMFS caught in the Convention Area by vessels that are not entered on the Record or the Register</p> <p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that vessels not on the Record or the Register are not landing at its ports</p>	<p>Current data sources: ARPt2; transshipment reports; port monitoring data</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	

<p>response to any potential infringements</p>	<p>and that vessels not on the Record or the Register are not transshipping to CCM's flagged vessels</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p>		
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Convention Article	Convention Article 24.3: Flag State Duties			
	<p>Conv. Art. 24.3</p> <p>Category: Report (R)</p>	<p>Short description of obligation: Requirement that condition of every authorization issued by flag CCM that the fishing vessel operates (i) in the high seas in accordance with Annex III and (ii) in areas under national jurisdiction only if it has required license/permits from coastal CCM</p> <p>Applicability: flag CCMs</p>		
	<p>WCPFC Secretariat Criteria</p>	<p>FFA Draft Audit Point</p>	<p>Notes (template, deadline, sources for verification)</p>	<p>DECISION POINTS</p>
<p>Applicable Flag CCMs are to confirm whether obligation was implemented.</p> <p>Provide additional information / details that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement that the vessel operate in the high seas in accordance with Annex III of the Convention.</p> <p>CCMs should also provide information showing that it has a system to monitor</p>	<p>None</p>	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	<p>Confirm whether this is covered in relevant CMM on fishing authorizations</p>	

and ensure compliance with this obligation and has taken action in response to any potential infringements			
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Part G: ACTIVITY RELATED REQUIREMENTS

SciData	Scientific Data to be Provided to the Commission (SciData)	
	*SciData 01, 02, 03, 05 Category: Report (R)	Short description of obligation: Annual Catch Estimates (01); Number of Active Vessels (02); Operational Level Catch and Effort Data (03); Size Composition Data (05) Applicability: flag CCMs
	WCPFC Secretariat Criteria	Based on Tier-Scoring Evaluation Level as determined by SPC-OFP
	FFA Draft Audit Point	Assessment is in accordance with Tier-Scoring Evaluation Level:
		<ul style="list-style-type: none"> • A Tier Score of III = COMPLIANT • A Tier Score of I or II = NON-COMPLIANT/PRIORITY
I		No data are provided, or data have been provided but they have been evaluated as 'unusable' (instances where none of the data provided can be used in assessments). This level of data gap is the most severe and has by far the greatest impacts on the scientific work of the Commission.
II	Data have been provided, most of which can be used for the scientific work of the Commission, but (i) there are one or several (minimum-standard) data fields not provided an/or (ii) the coverage of the data is not according to the requirements. In these cases, some of the scientific work of the Commission cannot be undertaken. The % value assigned in this category represents the estimated proportion of the key attribute data provided compared to the full set of key attribute data required as stipulated in the WCPFC data submission guidelines.	
III	Data have been provided, there are no gaps in the data provided and the coverage of data is according to the requirements.	
Notes (template, deadline, sources for verification)	Current data sources: CCM submissions; RFV; ROP; Commission VMS Deadline: 30 April	

2021-01
Data

	Template:		
DECISION POINTS			
Scientific Data Provision: CMM 2021-01 BE/YF/SJ			
<p>2021-01 48 (2020-01 52)</p> <p>Category: Report (R)</p>	<p>Short description of obligation: Operational level catch and effort data for EEZ and high seas south of 20N</p> <p>Applicability: China, Japan, Korea, Philippines, Chinese Taipei (**Does not apply to Indonesia until it changes its laws so that it can provide such data (no later than 31 Dec 2025))</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. AR Pt 2 should include a statement that confirms the submission of Operational Level Catch and Effort Data relating to all fishing in EEZs and high seas south of 20N subject to this CMM except for artisanal small-scale vessels shall be provided to the Commission. Data should have been submitted in accordance with the specified requirements, for the previous calendar year, due April 30 of current year</p> <p>2. Based on SPC advice were operational level catch and effort data for EEZ and high seas S20N submitted?</p>	<p>1. CCM submitted operational level catch and effort data in accordance with the Standards for the Provision of Operational Level Catch and Effort Data for all its flagged vessels' fishing activities in EEZs and high seas S20N</p> <p>AND</p> <p>2. Secretariat confirms that it has received operational level catch and effort data in accordance with the Standards from each applicable CCM covering CCM flagged vessel activities in EEZs and high seas S20N</p>	<p>Current data sources: ARPt2; SciData submissions</p> <p>Deadline: April 30; ARPt2</p> <p>Template: none</p> <p>*footnote 9: = CCMs which had domestic legal constraints under CMM 2014-01 shall provide operational level data as of the date on which those domestic legal constraints were lifted.</p>	

<p style="text-align: center;">2021-01 50</p> <p>Category: Report (R)</p>	<p>Short description of obligation: 1 x 1 aggregate data for vessels fishing in EEZs and high seas N 20 N, and where requested, cooperated in providing operational level data to SPC for stock assessment in accordance with a data handling agreement.</p> <p>Applicability: China, Indonesia, Japan, Korea, Philippines, and Chinese Taipei</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement to submit 1 x 1 aggregated catch and effort data for fisheries relevant to CMM for area north of 20N related to previous calendar year, and, in cooperating to provide operational level data in case of Commission’s stock assessment of tropical tuna stocks under a data handling agreement to be separately made between each CCM and the Scientific Provider</p> <p>2. Based on SPC advice,</p> <p>a. were 1 x 1 data for Convention area N 20 N submitted for stock assessment purposes?</p> <p>b. did CCM cooperate in providing operational level data under a separate data handling arrangement with SPC?</p>	<p>1. CCM provided 1x1 aggregated catch and effort data for its flagged vessels that operate in EEZs and on the high seas N20N</p> <p>AND IF THE CCM WAS REQUESTED,</p> <p>2. CCM cooperated with Scientific Provider in concluding a data handling agreement that enabled the CCM to provide its operational level data to the Commission.</p>	<p>Current data sources: ARPt2; Scientific Services Provider</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	

Scientific Data Provision: CMM 2019-08 Charter Notifications

<p>*2019-08 07</p> <p>Category: Report (R)</p>		<p>Short description of obligation: Report annually to ED the catch and effort of chartered vessels in the previous year (unless specifically provided in other CMMs)</p> <p>Applicability: Chartering CCMs that notified vessels as operating under charter</p>	
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. Check AR Pt 2 if CCM said YES or N/A</p> <p>2. If YES, check if there were any Charters notifications by this CCM for RY</p> <p>3. If N/A, check if there were any Charters notifications by this CCM for RY</p>	<p>Chartering CCM submitted a report of catch and effort for its vessels notified as operating under charter arrangement, where required (i.e. not covered under other CMMs), and confirmed by SPC that required report was received.</p>	<p>Current data sources: SPC; CCM submissions; RFV</p> <p>Deadline: 30 April</p> <p>Template:</p>	
<p>2019-08 *02 and 03</p> <p>Category: Report (R)</p>		<p>Short description of obligation: Notification of charter arrangements made to the ED (02) and updated information when arrangements change (03)</p> <p>Applicability: Chartering CCMs that notified vessels as operating under charter</p>	
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>Para 02:</p> <p>1. Check AR Pt 2 if CCM said YES or N/A</p> <p>2. If YES, check if there were any Charters notified by this CCM for RY</p> <p>3. If N/A, check if there were any Charters notified by this CCM for RY</p> <p>Para 03:</p> <p>1. Check AR Pt 2 if CCM said YES or N/A</p>	<p>Para 02:</p> <p>1. Chartering CCM provided notification to ED of of which vessels are to be identified as operating pursuant to charter arrangement</p> <p>AND</p> <p>2. Chartering CCM provided complete information on the vessel(s) it notified as operating under a charter</p>	<p>Current data sources: CCM submissions; RFV</p> <p>Deadline: within 15 days or within 72 hours before commencement of fishing activities under charter arrangement</p> <p>Template: none</p>	

<p>2. If YES, check if there were any Charters modifications notified by this CCM for RY</p> <p>3. If N/A, check if there were any Charters modifications notified by this CCM for RY</p>	<p>arrangement (confirmed by Secretariat)</p> <p>Para 03:</p> <ol style="list-style-type: none"> 1. Chartering CCM provided complete information of any additional vessel(s) to be identified as operating pursuant to charter arrangement <p>OR</p> <ol style="list-style-type: none"> 2. Chartering CCM provided complete information in respect of any changes made in respect of any chartered vessel previously notified to the WCPFC ED <p>OR</p> <ol style="list-style-type: none"> 3. Chartering CCM provided notice of termination of any chartered vessel previously notified to the WCPFC ED 		
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2006-08	CMM 2006-08: High Seas Boarding and Inspection			
	<p style="text-align: center; color: red;">2006-08 41</p> <p>Category: Report (R)</p>	<p>Short description of obligation: Submit information on actions taken in response to HSBI of their fishing vessels that resulted in observation of alleged violations, including proceedings and sanctions</p> <p>Applicability: flag CCMs whose vessels were part of an HSBI event that resulted in observation of alleged violations</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS	
<p>Authorities of fishing vessels are to annually confirm, particularly for the current reporting year, that the [Article 25(2) online compliance case file system] has been checked and where</p>	<p>CCM provided information in its Part 2 Annual Report on any actions it took in response to alleged violations resulting from HSBI events</p>	<p>Current data sources: ARPt2; CCFS</p> <p>Deadline: ARPt2</p> <p>Template: none</p>		

needed CCM has made appropriate updates directly into the online system			
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CMM 2009-05: Data Buoys

2009-05 01, 03, 05

Category: Implementation (I)

Short description of obligation: Prohibit fishing and interacting within 1nm of data buoy in high seas (01); prohibit taking on board a data buoy unless authorized by buoy owner (03); remove entangled fishing gear to minimize damage to data buoy (05)

Applicability: flag CCMs

WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>Para 01, 03, 05:</p> <p>Applicable Flag CCMs are to confirm whether obligation was implemented.</p> <p>Provide additional information / details that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement to prohibit their fishing vessels from fishing within 1 nautical mile of a data buoy in the high seas, or from interacting with a data buoy in the high seas; 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; and implement the requirement for reporting any incidents of entanglement with a data buoy and to remove the entangled fishing gear with as little damage to the data buoy as</p>	<p>Para 01:</p> <ol style="list-style-type: none"> 1. CCM submitted a Statement of Implementation that confirms CCM’s implementation through adoption of a national binding measure that prohibits CCM flagged vessels from interacting with or fishing within 1nm of any data buoy <p>AND</p> <ol style="list-style-type: none"> 2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that CCM flagged vessel operators are not interacting with or fishing within 1nm of any data buoy <p>AND</p> <ol style="list-style-type: none"> 3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM’s mechanisms and 	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	<p>**RBAF: No compliance history</p>

<p>possible, CCMs shall notify the Secretariat of all such reports.</p> <p>CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p>	<p>processes to respond to potential infringements or instances of non-compliance with this requirement.</p> <p>Para 03:</p> <ol style="list-style-type: none"> 1. CCM submitted a Statement of Implementation that confirms CCM’s implementation through adoption of a national binding measure that prohibits CCM flagged vessels from taking on board a data buoy without proper authorization <p>AND</p> <ol style="list-style-type: none"> 2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that CCM flagged vessels are not taking on board data buoys without proper authorization <p>AND</p> <ol style="list-style-type: none"> 3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM’s mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement. <p>Para 05:</p> <ol style="list-style-type: none"> 1. CCM submitted a Statement of Implementation that confirms CCM’s implementation through adoption of a national binding measure that requires CCM flagged vessels in the 		
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	<p>event of entanglement with a data buoy, to remove entangled fishing gear such that minimal damage occurs to the data buoy</p> <p>AND</p> <p>2. CCM submitted a <i>Statement of System or Procedures for Monitoring Compliance</i> that describes how CCM is monitoring and ensuring that CCM flagged vessels that become entangled with a data buoy remove entangled fishing gear with minimal damage to the data buoy</p> <p>AND</p> <p>3. CCM submitted a <i>Statement of System or Procedures for Responses to Non-Compliance</i> that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p>		
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2009-09	CMM 2009-09: Vessels Without Nationality			
	2009-09 05	Short description of obligation: Report by CCM on any sightings of fishing vessels without nationality fishing in high seas of Convention Area for WCPFC species.		
	Category: Report (R)	Applicability: flag CCMs		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS	
Any additional information / details regarding implementation of the reporting requirement	If CCM sighted any fishing vessels without nationality operating in the high seas of the Convention Area, a report was submitted to the WCPFC Secretariat.	Current data sources: CCM reports	Likely difficult to assess whether a sighting occurred and was not reported	

		Deadline: as soon as possible, where relevant Template: none	**RBAF: no compliance history
CMM 2009-06: Transhipment			
*2009-06 29 Category: Limit (L)	Short description of obligation: Limit on purse seine vessels transhipment outside of port to vessels that have received an exemption from the Commission. Where applicable, flag CCM authorization should be vessel-specific and address any specific conditions identified by the Commission. Applicability: flag CCMs		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. Flag CCM should have provided in AR Pt 2 information / details providing verifiable data applicable to the reporting year that confirms the applicable limit was not exceeded:- any authorisations of purse seine vessels to engage in transhipment in the Convention Area outside of port as per CMM 2009-06 REGULATION OF TRANSHIPMENT requirements</p> <p>2. CCMs should have also provided AR Pt 2 information in response to COVID-19 B. 01(1) and 01(2) which clarifies their approach to implementation of the suspension from 20 April - 31 Dec 2021</p> <p>3. Secretariat records and datamart tools can be used to check the list of vessels with "YES PS Tranship" and "YES PS HSTranship". This may indicate</p>	<p>1. CCM provided information on its adoption of a national binding requirement that prohibits its flagged PS vessels from conducting transhipment outside of port without an exemption from the Commission</p> <p>AND</p> <p>2. CCM reported the number of its purse seine vessels that transhipped outside of port and the number does not exceed its limit (if an exemption was granted by the Commission)</p> <p>AND</p> <p>3. Secretariat review of RFV and other relevant records indicates confirmation that CCM PS vessels have not transhipped outside of port beyond any applicable limits</p>	<p>Current data sources: Exemptions granted by the Commission pursuant to para 26 of CMM; RFV; ARPt2</p> <p>Deadline: July 1 to apply for exemptions; ARPt2</p> <p>Template: none</p>	

<p>that the PS vessel had been permitted to transship at sea.</p> <p>Note PHP may have had exemption as per relevant tropical tuna CMM, and in these cases the expectation is vsl_under charter = NO. If vsl_under_charter = YES: CCM-flagged (then this may suggest fishing in EEZ waters outside of HSP1-SMA)</p>			
<p>*2009-06 11</p> <p>Category: Report (R)</p>	<p>Short description of obligation: 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 (Annex II).</p> <p>Applicability: flag CCMs who WCPFC received high seas transshipment authorisations in RY and those who authorised their vessels to tranship in ports or EEZs</p> <p>***The provisions of CMM 2009-06 shall apply to all transshipment in the Convention Area of all highly migratory fish stocks covered by the Convention. CCMs that tranship outside the Convention Area highly migratory fish stocks covered by the Convention taken in the Convention Area shall provide the information related to those activities, as required in paragraphs 10, 11 and 12. (CMM 2009-06 para 2)</p>		
<p>WCPFC Secretariat Criteria</p>	<p>FFA Draft Audit Point</p>	<p>Notes (template, deadline, sources for verification)</p>	<p>DECISION POINTS</p>
<p>1. AR PT 1 should include a report should meet the guidelines at CMM 09-06 Annex II and be submitted based on the template that was approved at WCPFC15.</p> <p>2. Based on Secretariat databases and datamarts, what were the reported quantities and number of high seas transshipments (transshipments occurring beyond areas of national jurisdiction) in RY?</p>	<p>1. CCM provided a report in Annual Report Part 1 that contains all the following information in the following format (Annex II of CMM 2009-06; template at Attachment O of WCPFC15 Summary Report):</p> <p>(1) the total quantities, by weight, of highly migratory fish stocks covered by this measure that were transhipped by fishing vessels the CCM is responsible for reporting against.</p>	<p>Current data sources: ARPt1</p> <p>Deadline: ARPt1</p> <p>Template: Annex II of CMM</p>	

	<p>(2) the number of transshipments involving highly migratory fish stocks covered by this measure.</p> <p>AND</p> <p>2. Secretariat confirms that report is complete, i.e. no missing information in any data fields, including "N/A" where requested information is not applicable</p> <p>AND</p> <p>3. Secretariat review of high seas transshipment events matches information reported by CCM</p>		
<p>*2009-06 34</p> <p>Category: Limit (L)</p>	<p>Short description of obligation: Ban on high seas transshipment, unless a CCM has determined impracticability in accordance with para 37 guidelines and has advised the Commission of such.</p> <p>Applicability: flag CCMs that had "YES" in high-seas authorization field on RFV during RY</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. Flag CCM should have provided verifiable data applicable to the reporting year that confirms the applicable limit was not exceeded:- ban on high seas transshipment, unless the CCM has determined impracticability in accordance with (CMM 2009-06) REGULATION OF TRANSHIPMENT para 37 guidelines, and has advised the Commission of such</p> <p>2. Based on Secretariat records and datamart tools how many vessels were</p>	<p>1. Number of flag CCM vessels that transshipped on the high seas during RY does not exceed number of flag CCM vessels authorized to transship on the high seas, as indicated by flag CCM vessel list on the RFV</p> <p>AND</p> <p>2. Secretariat records and datamarts confirm flag CCM report of number of vessels that transshipped on the high seas does not exceed number of vessels authorized by flag CCM on the RFV</p>	<p>Current data sources: CCM advice to Commission; RFV; VMS; ROP</p> <p>Deadline: ARPt1</p> <p>Template: Annex II of CMM</p>	

<p>reported to have been involved in high seas transshipment activities when the "YES" was NOT entered in high seas tranship authorised field on RFV during RY?</p>			
<p>*2009-06 35 (a)(ii) Category: Report (R)</p>	<p>Short description of obligation: Notification to the Secretariat of a CCMs flagged vessels that are authorized to transship on the high seas Applicability: flag CCMs that had "YES" in high-seas authorization field on RFV during RY and/or those who WCPFC received high seas transshipment authorizations in RY.</p>		
<p>WCPFC Secretariat Criteria</p>	<p>FFA Draft Audit Point</p>	<p>Notes (template, deadline, sources for verification)</p>	<p>DECISION POINTS</p>
<p>1. Based on Secretariat databases and datamarts determine how many vessels were reported to have been involved in high seas transshipment activities when the "YES" was NOT entered in high seas tranship authorised field on RFV during RY 2. If any were not updated at the time of transshipment, check RFV history to see if any updates have been made.</p>	<p>1. CCM identified in its list of vessels on the RFV which vessels it has authorized to transship on the high seas AND 2. CCM provided such identification of its authorized vessels prior to any high seas transshipment taking place AND 3. Secretariat confirms that no CCM flagged vessels have engaged in high seas transshipment that were not identified as authorized on the CCM list of vessels in the RFV, using Secretariat databases and datamarts (data analyses generated from Commission's databases), and RFV data</p>	<p>Current data sources: RFV, ROP, VMS Deadline: RFV deadlines Template: RFV SSPs</p>	

<p>*2009-06 35 (a)(iii) Category: Report (R)</p>	<p>Short description of obligation: WCPFC high seas Transshipment Advance Notification (including fields in Annex III)</p> <p>Applicability: flag CCMs that had "YES" in high-seas authorization field on RFV during RY and/or those who WCPFC received high seas transshipment authorizations in RY.</p> <p>** CMM 2009-06 except where the vessel is operated under charter, lease or other similar mechanisms, as an integral part of the domestic fleet of a coastal state in the Convention Area. In such case, the chartering state shall be the CCM responsible for reporting against the vessel.</p> <p>***The provisions of CMM 2009-06 shall apply to all transshipment in the Convention Area of all highly migratory fish stocks covered by the Convention. CCMs that tranship outside the Convention Area highly migratory fish stocks covered by the Convention taken in the Convention Area shall provide the information related to those activities, as required in paragraphs 10, 11 and 12. (CMM 2009-06 para 2)</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement that the responsible CCM, ensures its offloading and receiving vessel, each provides a notification to the ED at least 36 hours prior to each transshipment event that occurs on the high seas (meeting information requirements of Annex III of (CMM 2009-06) REGULATION OF TRANSHIPMENT or in accordance with WCPFC E-reporting Standards for high seas transshipment declarations and high seas transshipment notices)</p> <p>2. CCM should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in</p>	<p>1. CCM submitted required notification to WCPFC ED at least 36 hours prior to high seas transshipment activity</p> <p>AND</p> <p>2. Notification contained information required in Annex III of CMM 2009-06 or ER HS TS standards</p> <p>AND</p> <p>3. Secretariat reviews the number of advance notification reports for high seas transshipment events that were submitted compared to the number expected and concludes that all expected advance notification reports were submitted to the Secretariat, and information submitted was complete.</p>	<p>Current data sources: CCM notification; VMS; ROP</p> <p>Deadline: at least 36 hours in advance of any transshipment</p> <p>Template: Annex III of CMM</p>	<p>Report or Implementation obligation, or both</p>

<p>response to any potential infringements</p> <p>3. Based on Secretariat databases and datamarts make a determination as to whether all expected advance notification reports were submitted to the Secretariat? [compare notification reports received with transshipment events detected through post-transshipment declarations received by the Secretariat]</p> <p>4. Based on Secretariat database records how many advance notification reports for high seas transshipment events were submitted compared to the number expected?</p>			
<p>*2009-06 35 (a)(iv)</p> <p>Category: Report (R)</p>	<p>Short description of obligation: WCPFC Transshipment Declaration (on completion of transshipment activity) including information in Annex I.</p> <p>Applicability: flag CCMs that had "YES" in high-seas authorization field on RFV during RY and/or those who WCPFC received high seas transshipment authorizations in RY.</p> <p>** CMM 2009-06 except where the vessel is operated under charter, lease or other similar mechanisms, as an integral part of the domestic fleet of a coastal state in the Convention Area. In such case, the chartering state shall be the CCM responsible for reporting against the vessel.</p> <p>***The provisions of CMM 2009-06 shall apply to all transshipment in the Convention Area of all highly migratory fish stocks covered by the Convention. CCMs that tranship outside the Convention Area highly migratory fish stocks covered by the Convention taken in the Convention Area shall provide the information related to those activities, as required in paragraphs 10, 11 and 12. (CMM 2009-06 para 2)</p>		
<p>WCPFC Secretariat Criteria</p>	<p>FFA Draft Audit Point</p>	<p>Notes (template, deadline, sources for verification)</p>	<p>DECISION POINTS</p>
<p>1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of</p>	<p>1. The CCM responsible for reporting against the offloading and receiving vessel each provided a declaration to</p>	<p>Current data sources: CCM notification; VMS; ROP</p>	<p>Report or Implementation obligation, or both</p>

<p>binding measures that implement the requirement that the responsible CCM, ensures its offloading and receiving vessel, each provides a declaration to the ED within 15 days of completion of each transshipment event that occurs on the high seas (Information to be reported is listed in Annex I of (CMM 2009-06) REGULATION OF TRANSHIPMENT or in accordance with WCPFC E-reporting Standards for high seas transshipment declarations and high seas transshipment notices)</p> <p>2. CCM should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p> <p>3. Based on Secretariat databases and datamarts make a determination as to whether all expected post-transshipment declaration reports were submitted to the Secretariat? [compare declaration reports received with transshipment events detected through post-transshipment declarations received by the Secretariat]</p> <p>4. Based on Secretariat database records how many post-declaration reports for high seas transshipment events were submitted compared to the number expected?</p>	<p>the ED within 15 days of completion of each high seas transshipment event</p> <p>AND</p> <p>2. Provided information contained in Annex I of this CMM, or in accordance with WCPFC E-reporting Standards for high seas transshipment declarations and high seas transshipment notices</p> <p>AND</p> <p>3. Secretariat confirms it has declarations for each transshipment event involving flag CCM vessels that it has detected using Secretariat records and datamarts.</p>	<p>Deadline: at least 36 hours in advance of any transshipment</p> <p>Template: Annex III of CMM</p>	
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<p>2009-06 35 (a)(v)</p> <p>Category: Report (R)</p>	<p>Short description of obligation: Submit plan to Commission detailing steps CCM is taking to encourage future transshipment in port</p> <p>Applicability: flag CCMs with vessels engaging in authorized transshipment activities on the high seas</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>If CCM had vessels that transhipped on the high seas, Applicable CCMs should confirm whether a plan detailing what steps it is taking to encourage transshipment to occur in port in the future has been submitted? Yes / No / not applicable</p> <p>Include additional information / details on the implementation of the reporting requirement for CCM responsible for reporting against the offloading and receiving vessel, submit a plan detailing steps taken to encourage transshipment to occur in port in the future as per (CMM 2009-06) REGULATION OF TRANSHIPMENT</p> <p>Note WCPFC14 accepted TCC13 recommendation CCMs comply with the existing data and reporting requirements under the measure. In particular, where CCMs have made a determination of impracticability, those CCMs responsible for reporting against both the offloading and receiving vessels shall 'submit to the Commission a plan detailing what steps it is taking to encourage transshipment to occur in port in the future', as specified under</p>	<p>CCM submitted a detailed plan to the Commission (Secretariat) that details the steps CCM is taking to encourage its vessels to transship in ports in the future</p>	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	<p>A plan template or guideline will reduce subjectivity and support better assessment</p> <p>**RBAF: no compliance history</p>

paragraph 35(a)(v) of the transshipment measure. (TCC13 Summary Report Para 199)			
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2016-02 **CMM 2016-02: Eastern High Seas Pocket**

2016-02 06 Category: Limit (L)	Short description of obligation: As of 1 January 2019, all transshipment activities are prohibited Applicability: flag CCMs
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WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. flag CCM should have provided in AR Pt 2 information / details providing verifiable data applicable to the reporting year that confirms the applicable limit was not exceeded as per CMM 2016-02 EHSP-SMA requirements</p> <p>2. Secretariat transshipment and VMS records and VMS data analysis mapping tool can be used to check if there were any reported or potential transshipment events that occurred in the EHSP-SMA during the RY.</p>	<p>1. CCM provided information on its adoption of a national binding instrument that its vessels are prohibited from transshipping in the Eastern High Seas Pocket as of 1 January 2019</p> <p>AND</p> <p>2. Secretariat review of its records confirms that no CCM flagged vessel has engaged in transshipment activities in EHSP-SMA since 1 January 2019.</p>	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	<p>Could also be an Implementation obligation</p>

2013-05 **CMM 2013-05: High Seas Catch and Effort Reporting**

2013-05 01 Category: Implementation (I)	Short description of obligation: Requirement to ensure the master of each vessel completes an accurate written or electronic log of every day that it spends at sea on the high seas of the Convention Area as specified. Applicability: CCMs with flagged vessels operating on the high seas
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WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
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<p>Confirm whether obligation was implemented.</p> <p>Provide additional information / details that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement to ensure the master of each vessel completes an accurate written or electronic log of every day that it spends at sea on the high seas of the Convention Area as specified</p> <p>CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p>	<ol style="list-style-type: none"> 1. CCM submitted a Statement of Implementation that confirms CCM's implementation through adoption of a national binding measure that requires CCM vessel masters to complete an accurate written or electronic log of every day it spends at sea on the high seas of the Convention Area <p>AND</p> <ol style="list-style-type: none"> 2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that CCM vessel masters complete an accurate written or electronic log of every day it spends at sea on the high seas of the Convention Area <p>AND</p> <ol style="list-style-type: none"> 3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement. 	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	
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<p style="text-align: center; color: red;">2013-05 02</p> <p>Category: Implementation (I)</p>	<p>Short description of obligation: Requirement that information recorded by the master of each vessel each day with fishing operations shall, at a minimum include the information as specified:</p> <p>a. The information specified in sections 1.3 to 1.6 of ANNEX 1 of the Scientific Data to be Provided to the Commission;</p> <p>b. Catch information about other species not listed in those sections, but required to be reported by CCMs under other Commission decisions such as, inter alia, key shark species according to FAO species codes.</p> <p>c. Interaction information about other species not listed in those sections, but required to be reported by CCMs under other Commission decisions such as, inter alia, key cetaceans, seabirds and sea turtles.</p> <p>Applicability: CCMs with flagged vessels operating on the high seas</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>Confirm whether obligation was implemented.</p> <p>Provide additional information / details that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement that information recorded by the master of each vessel each day with fishing operations shall, at a minimum include the information as specified.</p> <p>CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p>	<p>1. CCM submitted a Statement of Implementation that confirms CCM’s implementation through adoption of a national binding measure that requires CCM vessel masters to record the minimum specified information in para 2(a-c)</p> <p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that CCM vessel masters record the minimum specified information in para 2(a-c)</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM’s mechanisms and processes to respond to potential infringements or</p>	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	

	instances of non-compliance with this requirement.		
<p style="color: red; text-align: center;">2013-05 03</p> <p>Category: Implementation (I)</p>	<p>Short description of obligation: Requirement that the master of each vessel fishing in the Convention Area provides an accurate and unaltered original or copy of the required information to its national authority within 15 days of the end of a trip or transshipment, or within the period</p> <p>Applicability: CCMs with flagged vessels operating on the high seas</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>Confirm whether obligation was implemented.</p> <p>Provide additional information / details that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement that the master of each vessel fishing in the Convention Area provides an accurate and unaltered original or copy of the required information to its national authority</p> <p>CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p>	<p>1. CCM submitted a <i>Statement of Implementation</i> that confirms CCM’s implementation through adoption of a national binding measure that requires CCM vessel masters to provide an accurate and unaltered original or copy of the required information to CCM national authority within 15 days of the end of a trip or transshipment, or within a specified period as determined by the CCM</p> <p>AND</p> <p>2. CCM submitted a <i>Statement of System or Procedures for Monitoring Compliance</i> that describes how CCM is monitoring and ensuring that CCM vessel masters provide an accurate and unaltered original or copy of the required information to CCM national authority within 15 days of the end of a trip or transshipment, or within a specified period as determined by the CCM</p> <p>AND</p>	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	<p>**RBAF: no compliance history</p>

	3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.		
<p style="color: red; text-align: center;">2013-05 04</p> <p>Category: Implementation (I)</p>	<p>Short description of obligation: Requirement that the master of each vessel fishing in the Convention Area provides an accurate and unaltered original or copy of the required information pertaining to the current trip on board the vessel at all times during the course of a trip</p> <p>Applicability: CCMs with flagged vessels operating on the high seas</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>Confirm whether obligation was implemented.</p> <p>Provide additional information / details that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement that the master of each vessel fishing in the Convention Area provides an accurate and unaltered original or copy of the required information pertaining to the current trip on board the vessel at all times during the course of a trip.</p> <p>CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p>	<p>1. CCM submitted a Statement of Implementation that confirms CCM's implementation through adoption of a national binding measure that requires CCM vessel masters to provide an accurate and unaltered original or copy of the required information pertaining to the current trip on board the vessel at all times during the course of a trip</p> <p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that CCM vessel masters provide an accurate and unaltered original or copy of the required information pertaining to the current trip on board the vessel at all times during the course of a trip</p>	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	<p>**RBAF: no compliance history</p>

	AND 3. CCM submitted a <i>Statement of System or Procedures for Responses to Non-Compliance</i> that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.		
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Part H: INSPECTION ACTIVITY RELATED REQUIREMENTS

Convention Article	Convention Articles			
	<p>Convention Articles 23(5) and 25(2)</p> <p>Category: Report (R)</p>		<p>Short description of obligation: Control of nationals and fishing vessels, duty to carry out investigations, where requested by any other member, and report on progress within two months of any request to investigate; Summary of outcomes to be provided in Part 2.</p> <p>Applicability: flag CCMs</p>	
	WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>Applicable flag CCMs are to annually confirm, particularly for the current reporting year, that the {Article 25(2) online compliance case file system} has been checked and where needed CCM has made appropriate updates directly online.</p> <p>Note, in practice the Secretariat will periodically include updates on investigations detected by HSBI activities, Port Inspections, Surveillance that are received by email into the relevant case on the online compliance case file system. Flag CCMs and notifying CCMs are able to review and provide comments into the online WCPFC compliance case file system on the progress of investigations, through the online reporting tool provided at https://intra.wcpfc.int</p>	None	<p>Current data sources: ARPt2; HSBI reports; port inspection reports; CCFS entries</p> <p>Deadline: n/a</p> <p>Template: n/a</p>		

2021-03	CMM 2021-03: Compliance Monitoring Scheme			
	2021-03 10, 11, 28 Category: Report (R)	Short description of obligation: Provide information for flagged vessels in the case file system (10) and provide updates on investigation (11); may continue to provide additional clarification and information into the CCFS (28) Applicability: flag CCMs		
	WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
	None	Current data sources: CCFS entries Deadline: n/a Template: n/a	Not likely to be assessed for compliance	

2006-08	CMM 2006-08: High Seas Boarding and Inspection			
	2006-08 40 Category: Report (R)	Short description of obligation: Contracting Parties that authorize inspection vessels, to report annually on HSBI activities and possible observed violations Applicability: Contracting Parties with authorized inspection vessels on the Register of Inspection Vessels		
	WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
*Note: in practice, this is implemented through the reporting in ARPt2 Inspecting CCMs which conducted HSBI activities during the previous calendar year are to annually confirm, particularly for the current reporting year, that:- 1. the [Secretariat published HSBI reporting website summary] at	1. CPs that conducted any HSBI during RY submitted a report annually to the Commission, including any possible violations observed during HSBI activities AND 2. Secretariat confirms receipt of complete report	Current data sources: ARPt2 Deadline: ARPt2 Template: n/a		

<p>https://www.wcpfc.int/hsbi-summary-statistics has been checked and where needed CCM has liaised with the Secretariat to resolve any issues, particularly for the current reporting year?</p> <p>2. the [Article 25(2) online compliance case file system] at https://intra.wcpfc.int has been checked for each relevant HSBI event that they do record the list of possible violations observed, and where needed CCM has made appropriate clarifications directly online? Yes / No / not applicable</p>			
<p style="text-align: center;">2006-08 07</p> <p>Category: Implementation (I)</p>	<p>Short description of obligation: Ensure flag vessels accept boarding and inspection by authorized inspectors; authorized inspectors comply with procedures in conducting activities</p> <p>Applicability: Flag CCMs with vessels authorized to operate on the high seas; Contracting Parties that have vessels on the Register of Inspection Vessels https://www.wcpfc.int/register-inspection-vessels</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>Applicable Flag CCMs are to confirm whether obligation was implemented.</p> <p>Provide additional information / details that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement to ensure its fishing vessels are prepared to accept HSBI boarding by duly authorized inspectors, and as applicable, the implementation by Members to ensure that their</p>	<p><i>For flag CCMs with vessels authorized to operate on the high seas:</i></p> <ol style="list-style-type: none"> CCM submitted a Statement of Implementation that confirms CCM's implementation through adoption of a national binding measure that requires CCM flagged vessels operating on the high seas to accept boarding and inspection by authorized inspectors <p>AND</p>	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: n/a</p>	

<p>inspectors comply with CMM 2006-08 procedures</p> <p>CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p>	<p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that in the event of an HSBI event, CCM flagged vessel are accepting authorized inspectors to carry out their activities</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM’s mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p> <p><i>For Contracting Parties with vessels on the Register of Inspection Vessels:</i></p> <p>1. Contracting Party (CP) submitted a Statement of Implementation that confirms CP’s implementation through adoption of a national binding measure that requires its authorized inspectors to comply with the boarding and inspection procedures in the CMM during the conduct of HSBI operations</p> <p>AND</p> <p>2. CP submitted a Statement of System or Procedures for Monitoring Compliance that describes how CP is monitoring and ensuring that in the event of an HSBI event, authorized inspectors are carrying out their</p>		
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	<p>activities in accordance with the procedures in the CMM</p> <p>AND</p> <p>3. CP submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p>		
<p>2006-08 30 and 32</p> <p>Category: Report (R)</p>	<p>Short description of obligation: Authorized inspectors to complete full report on each HSBI activity and transmit to authorities of the fishing vessel within timeframe</p> <p>Applicability: Contracting Party that has vessels on the Register of Inspection Vessels</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>Applicable CCMs are to confirm whether obligation was implemented.</p> <p>Provide additional information / details that confirms the adoption by a Inspecting Member, in accordance with its own national policies and procedures, of binding measures that implement the requirement for Inspecting Parties to provide a full report on High Seas Boarding and Inspection Activities, where possible, within 3 working days following completion of activity, and for immediate notification of observed serious violations, as per CMM.</p>	<p>1. If a HSBI event took place, the CP authorized inspector completed a full report and submitted it to the authorities of the fishing vessel within three full working days of the completion of the boarding and inspection, or within the timeframe notified by the authorities of the inspection vessel.</p> <p>AND</p> <p><i>If the boarding and inspection of a fishing vessel resulted in observation of a serious violation as defined in paragraph 37 of the CMM,</i></p> <p>2. The authorized inspector immediately notified the authorities of the fishing vessel directly as well</p>	<p>Current data sources: CP report</p> <p>Deadline: within three full working days of completion of B&I</p> <p>Template: n/a</p>	<p>Report or Implementation obligation, or both</p>

	as through the Commission (Secretariat)		
2006-08 33 and 36	Short description of obligation: Receipt of notification of serious violation and immediate response		
Category: Report (R)	Applicability: CCM fishing vessel authorities		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>Applicable Flag CCMs are to confirm whether obligation was implemented.</p> <p>Provide additional information / details that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement that authorities of fishing vessel of requirement to respond no later than 3 full working days to a HSBI observed serious violation notification as per (CMM 2006-08) HIGH SEAS BOARDING AND INSPECTION PROCEDURES</p> <p>CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p>	<ol style="list-style-type: none"> 1. Authorities of the fishing vessel responded to notification within three full working days of its receipt and investigated and took enforcement action against fishing vessel, where warranted <p>AND</p> <ol style="list-style-type: none"> 2. Authorities of the fishing vessel notified authorities of the inspection vessel as well as the Commission <p>OR</p> <ol style="list-style-type: none"> 3. Authorities of the fishing vessel authorized the authorities of the inspection vessel to complete an investigation of the possible violation and notify the Commission (Secretariat) 	<p>Current data sources: CCM report</p> <p>Deadline: within three full working days of receipt of notification of observed serious violation</p> <p>Template: n/a</p>	Report or Implementation obligation, or both

<p style="text-align: center;">2006-08 41</p> <p>Category: Report (R)</p>	<p>Short description of obligation: Submit information on actions taken in response to HSBI of their fishing vessels that resulted in observation of alleged violations, including proceedings and sanctions</p> <p>Applicability: flag CCMs whose vessels were part of an HSBI event that resulted in observation of alleged violations</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>Authorities of fishing vessels are to annually confirm, particularly for the current reporting year, that the "Article 25(2) online compliance case file system" has been checked and where needed CCM has made appropriate updates directly into the online system.</p> <p>Provide additional information / details in the form of an annual report on action taken in response to any HSBI activities which occurred during the previous calendar year and which identified alleged violations of the Convention or CMMs, and some details of any proceedings instituted and sanctions that were applied as per (CMM 2006-08) HIGH SEAS BOARDING AND INSPECTION PROCEDURES</p>	<p>CCM provided information in its Part 2 Annual Report on any actions it took in response to alleged violations resulting from HSBI events</p>	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: n/a</p>	

CMM 2017-02: Port State Measures

2017-02 05

Category: Implementation (I)

Short description of obligation: Flag CCM to require its flagged vessels to cooperate with any port CCM

Applicability: flag CCMs with vessels using CCM ports that are implementing measures under the Convention and CMM

WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>Applicable Flag CCMs are to confirm whether obligation was implemented.</p> <p>Provide additional information / details that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement for its flagged vessels</p> <p>CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p>	<ol style="list-style-type: none"> 1. CCM submitted a Statement of Implementation that confirms CCM's implementation through adoption of a national binding measure that requires its flagged vessels to cooperate with any CCM port that is implementing port state measures under the WCPF Convention and CMM, when in that CCM's port <p>AND</p> <ol style="list-style-type: none"> 2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that when its flagged vessels are in a CCM port where port state measures under the WCPF Convention and this CMM are being implemented, that CCM's flagged vessels are cooperating <p>AND</p> <ol style="list-style-type: none"> 3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM's mechanisms and processes to respond to potential infringements or 	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: n/a</p>	

	instances of non-compliance with this requirement.		
2017-02 08	Short description of obligation: Port CCMs to ensure fisheries inspections are conducted by Government Authorised Inspectors Applicability: CCMs that designate its ports under the CMM and are listed on the WCPFC's record of designated ports		
Category: Implementation (I)			
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>Applicable Flag CCMs are to confirm whether obligation was implemented.</p> <p>Provide additional information / details that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement for its flagged vessels</p> <p>CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p>	<ol style="list-style-type: none"> 1. CCM submitted a <i>Statement of Implementation</i> that confirms CCM's implementation through adoption of a national binding measure that ensures fisheries inspections in its ports are conducted by CCM's Government Authorised Inspectors <p>AND</p> <ol style="list-style-type: none"> 2. CCM submitted a <i>Statement of System or Procedures for Monitoring Compliance</i> that describes how CCM is monitoring and ensuring that fisheries inspections in its ports are conducted by CCM's Government Authorised Inspectors <p>AND</p> <ol style="list-style-type: none"> 3. CCM submitted a <i>Statement of System or Procedures for Responses to Non-Compliance</i> that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement. 	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: n/a</p>	

<p style="color: red; text-align: center;">2017-02 09 and 10</p> <p>Category: Implementation (I)</p>	<p>Short description of obligation: Minimum requirement for vessels to be inspected by Port CCMs</p> <p>Applicability: CCMs that designate its ports under the CMM and are listed on the WCPFC’s record of designated ports</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>Applicable Port CCMs are to confirm whether obligation was implemented.</p> <p>Provide additional information / details that confirms the adoption by certain Port CCMs, in accordance with its own national policies and procedures, of binding measures that implement the requirement</p>	<p>1. CCM submitted a <i>Statement of Implementation</i> that confirms CCM’s implementation through adoption of a national binding measure that requires port inspections of a) any foreign longline, purse seine and carrier vessel that enters their <i>designated port</i> and is not listed on the WCPFC Record of Fishing Vessels, other than in cases where the vessel is authorized with another RFMO that the port CCM is a Party to, as practicable, and b) vessels that appear on the IUU list of an RFMO</p> <p>AND</p> <p>2. CCM submitted a <i>Statement of System or Procedures for Monitoring Compliance</i> that describes how CCM is monitoring and ensuring that port inspections are being carried out for a) any foreign longline, purse seine and carrier vessel that enters their <i>designated port</i> and is not listed on the WCPFC Record of Fishing Vessels, other than in cases where the vessel is authorized with another RFMO that the port CCM is a Party to, as practicable, and b) vessels that appear on the IUU list of an RFMO</p> <p>AND</p>	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: n/a</p>	

	<p>3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p>		
<p>2017-02 13 and 14 Category: Implementation (I)</p>	<p>Short description of obligation: Requirement for Inspection report to be provided if inspection is undertaken by Port CCM by request of another CCM under para 11. Applicability: CCMs that designate its ports under the CMM and are listed on the WCPFC's record of designated ports</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>Applicable Port CCMs are to confirm whether obligation was implemented.</p> <p>Provide additional information / details that confirms the adoption by certain Port CCMs, in accordance with its own national policies and procedures, of binding measures that implement the requirement</p>	<p>1. CCM submitted a Statement of Implementation that confirms CCM's implementation through adoption of a national binding measure that requires provision of a port inspection report to a requesting CCM, the WCPFC Executive Director, and the vessel master of the inspected fishing vessel</p> <p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that where port inspections have been requested, the report is provided to the required parties</p> <p>AND</p>	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: n/a</p>	

	3. CCM submitted a <i>Statement of System or Procedures for Responses to Non-Compliance</i> that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.		
2017-02 15 Category: Implementation (I)	Short description of obligation: Requirement that a flag CCM investigate any alleged IUU fishing, if reported in a Port inspection report Applicability: flag CCMs		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>Applicable Flag CCMs are to confirm whether obligation was implemented.</p> <p>Provide additional information / details that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement</p> <p>CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p>	CCM submitted a <i>Statement of System or Procedures for Responses to Non-Compliance</i> that describes the CCM's mechanisms and processes to respond to potential infringements by its flagged vessels.	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: n/a</p>	
2017-02 17 Category: Implementation (I)	Short description of obligation: Expected actions by Port CCMs where there is sufficient evidence of IUU fishing Applicability: CCMs that designate its ports under the CMM and are listed on the WCPFC's record of designated ports		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS

<p>Applicable Flag CCMs are to confirm whether obligation was implemented.</p> <p>Provide additional information / details that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement</p> <p>CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p>	<ol style="list-style-type: none"> 1. CCM submitted a Statement of Implementation that confirms CCM’s implementation through adoption of a national binding measure that requires its ports to only provide authorized entry to vessels that have committed IUU fishing, or fishing related activities in support of IUU fishing, or is on a RFMO IUU list, for inspection and investigation purposes, and prohibit any activities by such vessels that support fishing operations, including landing, transshipment, and re-provisioning. <p>AND</p> <ol style="list-style-type: none"> 2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that its ports are only providing authorized entry to vessels that have committed IUU fishing, or fishing related activities in support of IUU fishing, or is on a RFMO IUU list, for inspection and investigation purposes, and prohibiting any activities by such vessels that support fishing operations, including landing, transshipment, and re-provisioning. <p>AND</p> <ol style="list-style-type: none"> 3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM’s mechanisms and processes to respond to potential infringements or 	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: n/a</p>	
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	instances of non-compliance with this requirement.		
<p>2017-02 19 and 21</p> <p>Category: Report (R)</p>	<p>Short description of obligation: Requirement to notify and maintain current Port CCM contacts with WCPFC (19) and publication of advice of Port State measures applying in designated ports (21)</p> <p>Applicability: CCMs that designate its ports under the CMM and are listed on the WCPFC’s record of designated ports</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>CCM has checked, and has as needed updated details on (PORT STATE MINIMUM STANDARDS NOTIFICATIONS RECEIVED BY WCPFC https://www.wcpfc.int/wcpfc-port-state-minimum-standards), and confirms that the information therein is current.</p>	<p>Para 19:</p> <ol style="list-style-type: none"> 1. Port CCM notified the Commission of its contact point for purposes of this CMM <p>AND</p> <ol style="list-style-type: none"> 2. WCPFC Executive Director received CCM notification of contact point within 6 months of the date of entry into force of this CMM or within 15 days of CCM’s designation of a point of contact. <p>Para 21:</p> <p>Port CCM publicized its relevant measures adopted pursuant to this CCM in an appropriate manner, within 30 days of entering into force of such measures and notified the Commission for wider distribution.</p>	<p>Current data sources: CCM notifications to the WCPFC ED</p> <p>Deadline: within 15 days of CCM’s designation of a POC</p> <p>Template: n/a</p>	

Part I: OBSERVER ACTIVITY RELATED REQUIREMENTS

2018-05

CMM 2018-05: Regional Observer Program

2018-05 10

Category: Implementation (I)

Short description of obligation: CCMs shall explain to the vessel captain, observer duties relevant to appropriate measures adopted by the Commission

Applicability: flag CCMs with fishing vessels on the RFV that "fished" in the previous calendar year, and within the scope of the Commission ROP

(i) vessels fishing exclusively on the high seas in the Convention Area, and

(ii) vessels fishing on the high seas and in waters under the jurisdiction of one or more coastal states and vessel fishing in the waters under the national jurisdiction of two or more coastal States.

**These obligations shall take into account 2012-03 02 with respect to the applications of the ROP North of 20N.

WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement that CCMs shall explain to the vessel captain, observer duties relevant to appropriate measures adopted by the Commission as per (CMM 2018-05) REGIONAL OBSERVER PROGRAMME</p> <p>2. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p>	<p>1. CCM submitted a Statement of Implementation that confirms CCM's implementation through adoption of a national binding measure that requires its vessel captains to receive information on observer duties relevant to Commission measures, and the manner in which CCM provides the required information to vessel captains (e.g. workshop, pamphlet, etc)</p> <p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that its vessel captains are aware of observer</p>		<p>**RBAF: notes CMM 2012-03 02 has no compliance history</p> <p>Consider whether appropriate to incorporate CMM 2012-03 02 in assessment against this obligation.</p>

	<p>duties relevant to Commission measures</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p>		
<p>2018-05 15(g)</p> <p>Category: Implementation (I)</p>	<p>Short description of obligation: CCMs to ensure vessel operators comply with the Guidelines for the Rights and Responsibilities of Vessel Operators, Captains and Crew</p> <p>Applicability: flag CCMs with fishing vessels on the RFV that "fished" in the previous calendar year, and within the scope of the Commission ROP</p> <p>(i) vessels fishing exclusively on the high seas in the Convention Area, and</p> <p>(ii) vessels fishing on the high seas and in waters under the jurisdiction of one or more coastal states and vessel fishing in the waters under the national jurisdiction of two or more coastal States.</p> <p>**These obligations shall take into account 2012-03 02 with respect to the applications of the ROP North of 20N.</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement that CCMs are to ensure vessel operators comply with the "Guidelines for the rights and responsibilities of vessel operators, captains and crew" (Attachment K Annex B to (CMM 2018-05) REGIONAL OBSERVER PROGRAMME) -</p>	<p>1. CCM submitted a Statement of Implementation that confirms CCM's implementation through adoption of a national binding measure that requires its vessel operators to comply with the Guidelines for the Rights and Responsibilities of Vessel Operators, Captains, and Crew (Annex B of the CMM)</p> <p>AND</p>	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	

<p>**note there are some expanded requirements compared to CMM 2007-01 so a previous year statement may not be sufficient**</p> <p>2. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p>	<p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that its vessel operators are complying with the Guidelines for the Rights and Responsibilities of Vessel Operators, Captains, and Crew</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p>		
<p>2018-05 Annex C 06</p> <p>Category: Implementation (I)</p>	<p>Short description of obligation: Minimum 5% coverage rate and reporting requirement for non- PS fisheries</p> <p>Applicability: flag CCMs with non-PS vessels on the RFV that “fished” in previous calendar year and within scope of ROP; exceptions for small vessels (size not yet determined), troll & pole/line vessels used for fishing for SKJ or ALB, vessels fishing exclusively for fresh fish N2ON.</p>		
<p>WCPFC Secretariat Criteria</p>	<p>FFA Draft Audit Point</p>	<p>Notes (template, deadline, sources for verification)</p>	<p>DECISION POINTS</p>
<p>1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement that CCMs achieve 5% coverage of the effort in each fishery under the jurisdiction of the Commission as per (CMM 2018-05) REGIONAL OBSERVER PROGRAMME</p> <p>2. CCMs should also provide information showing that it has a system to monitor</p>	<p>1. CCM submitted a Statement of Implementation that confirms CCM's implementation through adoption of a national binding measure that it requires a minimum observer coverage rate of 5% for its flagged, non-PS vessels</p> <p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring</p>	<p>Current data sources: ARPt2; SPC Deadline: ARPt2 Template: none</p>	

<p>and ensure compliance with this obligation and has taken action in response to any potential infringements</p> <p>3. WCPFC11 agreed to a reporting procedure for ROP longline coverage (reminder sent in WCPFC Circular 2015-08) - metric to be selected and notified to the Secretariat. CCMs are to include in AR Pt 1 a report on previous year longline observer coverage using the chosen metric and in the agreed format</p> <p>4. Check SPC advice on level of ROP observer coverage achieved in RY, based on ROP data received by WCPFC/SPC</p>	<p>Compliance that describes how CCM is monitoring and ensuring that its flagged non-PS vessels are achieving a minimum observer coverage rate of 5%</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p> <p>AND</p> <p>4. Secretariat review of SPC observer coverage data confirms that the required minimum coverage level was met</p>		
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2021-01	CMM 2021-01 Bigeye, Skipjack, and Yellowfin			
<p style="color: red; text-align: center;">2021-01 32 (2020-01 34)</p> <p>Category: Implementation (I)</p>	<p>Short description of obligation: Requires CCM flagged purse seine vessels fishing between 20N and 20S exclusively on the high seas, on the high seas and in waters under the jurisdiction of one or more coastal States, or vessel fishing in waters under the jurisdiction of two or more coastal States, to carry an observer from the Regional Observer Program.</p> <p>Applicability: flag CCMs with fishing vessels on the RFV that "fished" in the previous calendar year, and within the scope of the Commission ROP</p> <ul style="list-style-type: none"> (i) vessels fishing exclusively on the high seas in the Convention Area, and (ii) vessels fishing on the high seas and in waters under the jurisdiction of one or more coastal states and vessel fishing in the waters under the national jurisdiction of two or more coastal States. <p>**These obligations shall take into account 2012-03 02 with respect to the applications of the ROP North of 20N.</p>			
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS	

<p>1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement for 100% purse seine coverage (between 20N and 20S), specifically the rules that flag CCMs are to implement for vessels operating exclusively in areas under its national jurisdiction.</p> <p>2. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements.</p>	<p>1. CCM submitted a Statement of Implementation that confirms CCM's implementation through adoption of a national binding measure of the requirement for CCM flagged purse seine vessels to carry an ROP observer if they are fishing exclusively on the high seas, on the high seas and in waters under national jurisdiction of one or more coastal States, or in waters under the jurisdiction of two or more coastal States.</p> <p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that its flagged PS vessels are carrying observers from the ROP, as required.</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p> <p>AND</p> <p>4. Secretariat review of its records of ROP placement levels and SPC advice on level of ROP coverage confirms CCM implementation.</p>	<p>Current data sources: ARPt2; SPC</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	
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<p style="text-align: center;">2021-01 33 (2020-01 35)</p> <p>Category: Implementation (I)</p>	<p>Short description of obligation: Requires CCM flagged purse seine vessels fishing solely within CCMs national jurisdiction within the area bounded by 20N and 20S to carry an observer.</p> <p>Applicability: flag CCMs</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>Applicable Flag CCMs are to confirm whether obligation was implemented?</p> <p>Provide additional information / details that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement for 100% purse seine coverage (between 20N and 20S), specifically the rules that flag CCMs are to implement for vessels operating exclusively in areas under its national jurisdiction.</p> <p>CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p>	<ol style="list-style-type: none"> 1. CCM submitted a Statement of Implementation that confirms CCM’s implementation through adoption of a national binding measure of the requirement for CCM flagged purse seine vessels to carry an observer if they are operating solely within the CCMs national jurisdiction within 20N and 20S. <p>AND</p> <ol style="list-style-type: none"> 2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that each of its flagged PS vessels that is operating solely within its national jurisdiction is carrying an observer. <p>AND</p> <ol style="list-style-type: none"> 3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM’s mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement. 	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	

<p>*2021-01 Att 2 05-06 (2020-01 Att 2 05-06)</p> <p>Category: Implementation (I)</p>	<p>Short description of obligation: Requires PI-flagged fishing vessels to employ a WCPFC Regional Observer during the whole duration while vessel is operating in HSP-1 SMA, in accordance with CMM 2018-05.</p> <p>Applicability: Philippines only</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>1. AR Pt 2 should include a statement that confirms the adoption by the CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement for 100% ROP observer coverage on fishing vessels</p> <p>2. AR Pt 2 should also include a statement from the CCM that confirms the adoption of procedures to fulfill the requirements for advance notification of observer deployment needs for activities in HSP1-SMA (noting para 6 gives priority to observers from other ROP programmes)</p> <p>3. CCM should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements</p> <p>4. Based on Secretariat records,</p> <p>a. was a request from the CCM circulated to other CCMs (as per CMM 2020-01 Att 2 para 6)?</p> <p>b. did CCM provide ROP placement information to verify the level of ROP observer coverage achieved?</p>	<p>1. CCM (PI) submitted a Statement of Implementation that confirms its implementation through adoption of a national binding measure of the requirement for its flagged purse seine vessels operating in HSP1-SMA to employ a WCPFC Regional Observer during the full duration of the vessel's operations, in accordance with the CMM for the Regional Observer Program.</p> <p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance describes how CCM is monitoring and ensuring that each of its flagged PS vessels that is operating in HSP1-SMA is carrying an ROP observer.</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM's mechanisms and processes to respond to potential infringements or</p>	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	

	instances of non-compliance with this requirement. AND 4. CCM provided ROP placement information to the Secretariat to verify its level of ROP coverage. The Secretariat will also review CCM's requests to other CCMs through the Secretariat for observer placements.		
CMM 2009-06 Transhipment			
2009-06 13 Category: Implementation (I)	<p>Short description of obligation: CCM shall ensure that vessels they are responsible for carry observers from the WCPFC ROP to observe transshipments at sea.</p> <p>Applicability: flag CCMs with flagged fishing vessels were authorized to transship at sea in the previous calendar year, and within the scope of the Commission ROP</p> <p>Note a WCPFC14 accepted TCC13 recommendation that the Commission requires CCMs to report coverage achieved for their carrier vessels conducting transshipment at sea, in line with the vessel specifications outlined in paragraph 13 of CMM 2009-06, in their AR Pt 2(TCC13 Summary Report para 200)</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
1. AR Pt 2 should include a statement that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement that CCMs shall ensure that vessels they are responsible for carry observers from the WCPFC ROP to observe transshipments at sea as per (CMM 2009-06) REGULATION OF TRANSHIPMENT	1. CCM submitted a Statement of Implementation that confirms CCM's implementation of the requirement for vessels a CCM is responsible for to carry observers from the WCPFC ROP to observer transshipments at sea, through adoption of a nationally binding measure. <p>a. CCM included information on level of observer coverage achieved according to</p>	Current data sources: ARPt2; SPC Deadline: ARPt2 Template: none	

<p>Note a WCPFC14 accepted TCC13 recommendation that the Commission requires CCMs to report coverage achieved for their carrier vessels conducting transshipment at sea, in line with the vessel specifications outlined in paragraph 13 of CMM 2009-06, in their AR Pt 2(TCC13 Summary Report para 200)</p> <p>** Note that to date TCC has not given weight to this criteria, perhaps to a lack of clarity on what was expected**</p> <p>2. CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements.</p> <p>3. The currently available information to the Secretariat is the high seas transshipment reports, where checks can be made of observers reported to be on the carrier vessel.</p> <p>** Final CMR (2019) said "WCPFC16 and TCC15 noted that in addition to a statement of implementation of CMM 2009-06, paragraph 13, where a CCM reported in its high seas transshipment declarations that there was an</p> <p>ROP observer on board a CCM offloading vessel or the receiving vessel, the CCM would be assessed as "Compliant""**</p>	<p>relevant vessel category (13a, 13b, or 13c).</p> <p>b. CCM reported in its high seas transshipment declarations that there was an ROP observer on board a CCM offloading vessel or the receiving vessel (WCPFC16 decision)</p> <p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that vessels it is responsible for are carrying observers from the WCPFC ROP to observe transshipments at sea.</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p>		
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CMM 2017-03 Protection of WCPFC ROP Observers

2017-03 03-06

Category: Implementation (I)

Short description of obligation: Requirement to take specific actions in the event an observer dies, is missing, or presumed fallen overboard; or experiences serious illness or injury; and requirement to notify Maritime Rescue Coordination Centre, observer provider, and Secretariat

Applicability: flag CCMs that employ WCPFC ROP observers

WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>Applicable Flag CCMs are to confirm whether obligation was implemented.</p> <p>Provide additional information / details that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement for its flagged vessels.</p> <p>CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements.</p>	<p>1. CCM submitted a Statement of Implementation that confirms CCM's implementation through adoption of a national binding measure that requires CCM vessel operators, in the event an observer dies, is missing, or presumed fallen overboard, or experiences serious illness or injury, to notify the Maritime Rescue Coordination Center, the CCM observer provider, and the Secretariat</p> <p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that in the event an observer dies, is missing, or presumed fallen overboard, or experiences serious illness or injury, the CCM vessel operator notifies/d the Maritime Rescue Coordination Center, the CCM observer provider, and the Secretariat</p> <p>AND</p>	<p>Current data sources: ARPt2; CCM submissions where applicable</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	<p>**RBAF: para 6 has no compliance history</p>

	3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.		
<p style="color: red;">2017-03 07 and 08</p> <p>Category: Implementation (I)</p>	<p>Short description of obligation: Requirements of fishing vessel in the event an observer has been assaulted, intimidated, threatened, or harassed such that their health or safety is endangered</p> <p>Applicability: flag CCMs that employ WCPFC ROP observers</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>Applicable Flag CCMs are to confirm whether obligation was implemented</p> <p>Provide additional information / details that confirms the adoption by a flag CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement CCMs should also provide information showing that it has a system to monitor and ensure compliance with this obligation and has taken action in response to any potential infringements.</p>	<p>1. CCM submitted a Statement of Implementation that confirms CCM's implementation through adoption of a national binding measure that requires its flagged vessels to do the following in the event that there are reasonable grounds to believe an observer has been assaulted, intimidated, threatened, or harassed, or the observer or observer provider indicates to the fishing vessel CCM that they wish for the observer to be removed from the vessel:</p> <ol style="list-style-type: none"> a. Immediately take action to ensure safety of observer and mitigate and resolve situation on board b. Notify the flag CCM authorities and the observer provider of the situation, including status and location of observer 	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	<p>**RBAF: para 8 has no compliance history</p>

	<p>c. Facilitate safe disembarkation of the observer in a manner and place agreed to by flag CCM and observer provider that facilitates access to any required medical treatment</p> <p>d. Cooperates fully in any and all official investigations into the incident</p> <p>e. Or if the observer nor the provider does not wish that the observer be removed from the fishing vessel, that the fishing vessel takes action to ensure the safety of the observer and resolve the situation, notifies the flag CMM authorities and the observer provider immediately, and cooperates fully in all official investigations into the incident</p> <p>AND</p> <p>2. CCM submitted a <i>Statement of System or Procedures for Monitoring Compliance</i> that describes how CCM is monitoring and ensuring that CCM flagged vessels adhere to the requirements of the CMM in the event that there are reasonable grounds to believe that an observer has been assaulted, intimidated, threatened, or harassed</p> <p>AND</p>		
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	<p>3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p>		
<p>2017-03 09 Category: Implementation (I)</p>	<p>Short description of obligation: Facilitation of port entry for fishing vessels and facilitation of safe disembarkation of WCPFC ROP observer Applicability: port CCMs</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>Applicable Port CCMs are to confirm whether obligation was implemented?</p> <p>Provide additional information / details that confirms the adoption by a Port CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement</p>	<p>1. CCM submitted a Statement of Implementation that confirms CCM's implementation through adoption of a national binding measure that ensures it is facilitating port entry for fishing vessels and facilitating safe disembarkation of a WCPFC ROP observer for reasons relating to the observer's safety or well-being.</p> <p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that vessels entering CCM ports for the purpose of safe disembarkation of a WCPFC ROP observer are being facilitated</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Responses to Non-</p>	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	<p>**RBAF: no compliance history</p>

		<i>Compliance</i> that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.		
2017-03 10 Category: Implementation (I)	Short description of obligation: Requirements of flag CCM where identification is made of a possible violation involving assault or harassment of an observer Applicability: flag CCMs			
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS	
<p>Applicable CCMs are to confirm whether obligation was implemented.</p> <p>Provide additional information / details that confirms the adoption by a CCM (as a flag State and/or as an observer provider), in accordance with its own national policies and procedures, of binding measures that implement the requirement</p>	<p>1. CCM submitted a Statement of Implementation that confirms CCM's implementation through adoption of a national binding measure that requires CCM to conduct an investigation based on information provided by the observer provider of any possible violation involving assault or harassment of an observer while on board CCM fishing vessel, including requirement for CCM to take appropriate action in response to investigation results, cooperate fully with observer provider, and notify the observer provider and the Secretariat of the investigation results and any actions taken.</p> <p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that CCM is carrying out investigations of observer</p>	<p>Current data sources: ARPt2; CCM submissions where applicable</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	<p>**RBAF: no compliance history</p>	

	<p>assault or harassment, where identified by observer providers, and cooperating fully with observer providers</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM’s mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p>		
<p>2017-03 11</p> <p>Category: Implementation (I)</p>	<p>Short description of obligation: Requirements of CCM national observer providers to notify flag CCMs in the event of observer death, cooperate fully in search and rescue, cooperate fully in investigations, and facilitate safe disembarkation of observers where required</p> <p>Applicability: CCM providers of WCPFC ROP personnel</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS
<p>Applicable CCMs are to confirm whether obligation was implemented.</p> <p>Provide additional information / details that confirms the adoption by a CCM, in accordance with its own national policies and procedures, of binding measures that implement the requirement.</p>	<p>1. CCM provider of WCPFC ROP observers submitted a Statement of Implementation that confirms CCM’s implementation through adoption of a national binding measure that its national authority responsible for provision of ROP observers will notify the relevant flag CCM in the event that an observer dies, is missing, or presumed fallen overboard during the course of observer duties, will cooperate fully in any search and rescue operations, will cooperate fully in investigations, and where required,</p>	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	<p>**RBAF: no compliance history</p>

	<p>will facilitate the safe disembarkation of observers.</p> <p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that its national authority responsible for the provision of ROP observers is fulfilling its obligations in the event that an observer dies, is missing, or presumed fallen overboard during the course of observer duties.</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p>		
<p>2017-03 12</p> <p>Category: Implementation (I)</p>	<p>Short description of obligation: CCM HSBI and other flagged vessels cooperate in search and rescue operations involving a WCPFC ROP observer</p> <p>Applicability: flag CCMs with authorized HSBI vessels; flag CCMs</p>		
<p>WCPFC Secretariat Criteria</p>	<p>FFA Draft Audit Point</p>	<p>Notes (template, deadline, sources for verification)</p>	<p>DECISION POINTS</p>
<p>Applicable CCMs are to confirm whether obligation was implemented</p> <p>Provide additional information / details that confirms the adoption by a CCM (as an Inspecting Member for the WCPFC High</p>	<p>1. CCM submitted a Statement of Implementation that confirms CCM's implementation through adoption of a national binding measure that ensures its flagged, authorized HSBI vessels and any other vessels flagged to CCM</p>	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	<p>**RBAF: no compliance history</p>

<p>Seas Boarding and Inspection Scheme and/or as a flag CCM in respect of their fishing vessels on the Record of Fishing Vessels), in accordance with its own national policies and procedures, of binding measures that implement the requirement</p>	<p>cooperate, to the extent possible, in any search and rescue operation involving an observer.</p> <p>AND</p> <p>2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that its flagged, authorized HSBI vessels and any other vessels flagged to CCM cooperate, to the extent possible, in any search and rescue operation involving an observer</p> <p>AND</p> <p>3. CCM submitted a Statement of System or Procedures for Responses to Non-Compliance that describes the CCM's mechanisms and processes to respond to potential infringements or instances of non-compliance with this requirement.</p>		
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Part J: OTHER OBLIGATIONS NOT CATEGORIZED IN SUB-THEMES

2017-04	CMM 2017-04: Marine Pollution			
	2017-04 08	<p>Short description of obligation: Requirement to actively support SIDS and Territories through provision of adequate port facilities for receiving and appropriately disposing of waste from fishing vessels</p> <p>Category: Implementation (I)</p> <p>Applicability: non-SIDS/T CCMs</p>		
WCPFC Secretariat Criteria	FFA Draft Audit Point	Notes (template, deadline, sources for verification)	DECISION POINTS	
<p>Confirm whether any steps were taken to implement the obligation.</p> <p>Non-SIDS CCMs should provide information / details of types of assistance provided to SIDS related to provision of adequate port facilities for receiving and appropriately disposing of waste from fishing vessels, with an emphasis on the reporting year.</p> <p>SIDS CCMs may provide details on assistance needs</p>	None	<p>Current data sources: ARPt2</p> <p>Deadline: ARPt2</p> <p>Template: none</p>	<p>**RBAF: no compliance history</p>	

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