

Report¹ by the Lead of the CMS Audit Points Small Working Group at TCC18
27 September 2022

I. **Summary of SWG Discussions**

The Audit Points Small Working Group (AP-SWG) conducted a detailed review of draft audit points contained in TCC18 working paper [WCPFC-TCC18-2022-10A](#). SWG participants provided initial views on the Decision Points contained at Section II of the working paper. Additional points raised by SWG participants on each draft audit point are reflected, where relevant, in the agreed draft audit point.

The SWG acknowledged that most of the draft audit points are not new and that they reflect existing evaluation criteria that the TCC has been using for several years. The SWG confirmed the purpose of the audit points work to make compliance evaluation criteria clear, transparent, and objective.

Key points raised throughout the course of discussions include:

- Suggestion to prioritize remaining five Limit (L) obligations and 30 Report (R) obligations after agreeing to the audit points in the working paper.
- Useful to standardize reporting against Implementation (I) obligations.
- Verification of information submitted pursuant to (R) obligations could be resource intensive for the WCPFC Secretariat as well as time consuming, so a peer review by CCMs could be an option for reviewing adequacy of information submitted in required reports.
- The CMR review report should indicate those assessments of (L) obligations for which no independent data is available to verify compliance and recommend that the Commission find ways to address this gap.
- Useful to clarify and make transparent the available sources of data to verify and confirm implementation, noting that agreement on a list of data sources is not required to agree to a draft audit point, nor does a list of agreed data sources need to be referred to the Commission.
- Useful to confirm applicability of obligations but not necessary to agree to an audit point.
- The language in paragraph 7(ii)(b) of CMM 2021-03 “...and has taken action in relation to potential infringements” should not be interpreted as a reference to scrutinize individual vessel level cases that originate through the Compliance Case File System (CCFS).
- The development of audit points is not an opportunity to change obligations or build in requirements or processes that are not part of the obligation or CMM.
- When does inaccurate reporting become non-compliance and should this be addressed in the audit points or elsewhere.
- Data used by the Secretariat that is based on SPC analysis should be considered as “verified data”.

¹ Original draft posted to TCC18 Meeting website on 24 September 2022. Final version corrects “Section II. Next Steps” to reflect agreed TCC18 Outcomes on audit points work and includes an additional introductory paragraph on the purpose of the audit points work.

- Ensure that where the Commission’s Scientific Services Provider is not the main source of data to verify or confirm compliance with certain obligations, e.g. the ISC for Northern Committee, that the WCPFC Secretariat and SSP databases are closely consulted to the extent practicable during compliance assessment of those obligations.
- Ensure that adoption of draft audit points does not result in more time needed to assess each obligation, which will require a reduction in the number of audit points to be considered in any CMR session.
- If additional work is required of CCMs in preparing Annual Report Part 2, which would be particularly burdensome for small administrations, there will have to be a reduction in other reporting requirements.
- Issues of interpretation on an obligation does not preclude the SWG from agreeing to an audit point for that obligation.

Several issues arose from the AP-SWG’s work that require further consideration and development to strengthen audit points and compliance review. These are reflected in TCC18 Outcomes and address the following key issues:

- Lack of independent data to verify compliance with some (L) obligations: development by the WCPFC Secretariat of a CMS Data Gaps paper to provide a comprehensive view of where gaps in available independent data exist to support robust compliance assessment against certain Limit obligations, and for assessment of those obligations to include a note on what data were missing
- Standardization of reporting against (I) obligations: the SWG agreed that standardized reporting would be useful but did not agree on a standardized approach, which will ensure consistency in the information provided by CCMs and support more objective compliance review.
- Review of accuracy and adequacy of (R) obligations: in general, compliance assessment of (R) obligations involves confirming receipt of a required report in the required format, where relevant, by the required deadline. Analysis of information in the report for accuracy is not part of the assessment. For some (R) obligations this is not necessary as the details of reports are reviewed in other obligations, e.g. where there are related (L) or (I) obligations. However, there may be a need to review accuracy of information submitted in required reports either through the audit points or another appropriate avenue at TCC.
- The need to clarify and make available baseline information for each CCM to help inform assessment against (L) obligations.
- The need to confirm how applicability of obligations is determined and to confirm which obligations are applicable to which CCMs.

II. Next Steps

The Audit Points Lead will develop draft audit points for the remaining obligations (~100) and circulate them intersessionally through the CMS-IWG for review and clearance, if possible, ahead of WCPFC19 for the Commission’s consideration. Members acknowledged the importance of completing the audit points work in 2022 but not necessarily for their use in 2023 CMR activities.

The question of whether the agreed draft audit points at TCC18 are applied to the 2023 dCMR (2022 reporting year) is addressed elsewhere in the TCC18 agenda.

One audit point (CMS 2014-02 9a) remains open as the SWG could not reach agreement during TCC18. The SWG agreed to consider this along with other remaining draft audit points to be discussed intersessionally through the CMS-IWG.

III. Attachments

- A. SWG Agreed Audit Points
- B. List of Obligations to be Reviewed in the 2022 draft Compliance Monitoring Report
- C. List of Available Sources of Data to Review Implementation of Obligations

Attachment A: DRAFT Audit Points Agreed to by the SWG

#	CMM/para	Category	SWG DRAFT AUDIT POINT
Part B: Quantitative Limits in CMMs for Tuna and Billfish			
1	SWP Str Marlin 2006-04 01	L	The CCM reported in AR Pt2 the number of its flagged vessels fishing for MLS south of 15S and the Secretariat can verify the CCM’s reported number of vessels and confirm that the CCM’s allowable limit has not been exceeded.
2	SWP Str Marlin 2006-04 04	R	The Secretariat confirms that the CCM submitted in its ARPt1: <ul style="list-style-type: none"> a. the number of its flagged vessels that fished for MLS south of 15S between 2001-2004 and has nominated the maximum number of its flagged vessels that are permitted to continue to fish for MLS south of 15S b. the catch levels of CCM flagged vessels that have taken MLS as a bycatch c. the number and catch levels of its vessels fishing for MLS south of 15S.
3	Swordfish 2009-03 01	L	The CCM reported in AR Pt2 its total number of flagged vessels fishing for SWO south of 20S and the Secretariat can verify the CCM’s reported catch level and confirm that the CCM’s allowable limit has not been exceeded.
4	Swordfish 2009-03 02	L	The CCM reported in AR Pt2 its total catch of SWO by its flagged vessels in the area south of 20S and the Secretariat can verify the CCM’s reported catch level and confirm that the CCM’s allowable limit has not been exceeded.
5	Swordfish 2009-03 03	I	<ol style="list-style-type: none"> 1. CCM submitted a <i>statement</i> in AR Pt2 that: <ul style="list-style-type: none"> a. confirms CCM’s implementation through adoption of a national binding measure that ensures that CCM flagged vessels do not shift effort (for swordfish) to the area north of 20S b. describes how it is monitoring its flagged vessels to ensure they do not shift effort for SWO to the area north of 20S and how the CCM responds to potential infringements or instances of non-compliance with this requirement. 2. The Secretariat can verify that the CCM’s flagged vessels have not shifted effort to the area north of 20S.

#	CMM/para	Category	SWG DRAFT AUDIT POINT
6	Swordfish 2009-03 08	R	The Secretariat confirms that the CCM submitted the required information contained in the template in Annex 2 of CMM in its AR Pt 1.
7	NP Str Marlin 2010-01 05	L	The CCM reported its catch level in AR Pt2 and the Secretariat can verify the CCM's reported catch limit and confirm that its allowable limit was not exceeded.
8	SP Albacore 2015-02 04	R	The Secretariat confirms that the CCM submitted information on annual catch levels by its flagged vessels taking SP Albacore, as well as the number of CCM flagged vessels actively fishing for SP Albacore south of 20S, with catch levels reported by species groups.
9	Tropical Tuna 2021-01 24	L	<ol style="list-style-type: none"> Coastal CCM or PNA Office on behalf of PNA Parties+Tokelau notified their EEZ PS effort or catch limit or collective PNA+Tokelau EEZ effort or catch limit to the Secretariat. Coastal CCM confirms in AR Pt2 that its notified EEZ limit or the PNAO confirms on behalf of PNA+Tokelau that the notified collective EEZ limit has not been exceeded and the Secretariat can verify the CCM's reported information and confirm that the notified EEZ or collective EEZ limit has not been exceeded.
10	Tropical Tuna 2021-01 25	L	CCM submitted its high seas PS effort level in the area between 20N and 20S in AR Pt 2 and the Secretariat can verify the CCM's reported information and confirm that the allowable limit has not been exceeded.
11	Tropical Tuna 2021-01 Att 2 03	R	<ol style="list-style-type: none"> 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 required format: VID/Entry or Exit: Date/Time; Lat/Long Secretariat review of VMS alerts for CCM vessels operating in HSP1-SMA against received entry/exit reports does not show any discrepancies and Secretariat confirms CCM has no vessels with VTAF data gaps or other VMS reporting anomalies.
12	Tropical Tuna 2021-01 37	L	The CCM reported its total bigeye catch in its AR Pt2 and the Secretariat can verify the CCM's reported catch level and confirm that the allowable limit has not been exceeded.
13	Tropical Tuna	R	The Secretariat confirms that it received 12 bigeye longline catch reports for each month of the reporting year.

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	2021-01 38		
14	Tropical Tuna 2021-01 40	L	CCM reported its total bigeye catch in its AR Pt 2 and the Secretariat can verify the CCM's reported catch level and confirm that it does not exceed 2,000mt.
15	Tropical Tuna 2021-01 42	L	The CCM reported its number of CCM flagged PS vessels >24m with freezing capacity and operating between 20N and 20S and the Secretariat can verify the CCM's reported information and confirm that the allowable limit has not been exceeded.
16	Tropical Tuna 2021-01 44	L	The CCM reported in AR Pt2 its number of flagged LL vessels with freezing capacity targeting bigeye and the Secretariat can verify the CCM's reported information and confirm that the allowable limit has not been exceeded.
17	Tropical Tuna 2021-01 45	L	The CCM reported in AR Pt2 its number of flagged ice-chilled LL vessels targeting bigeye and landing exclusively fresh fish and the Secretariat can verify the CCM's reported information and confirm that the allowable limit has not been exceeded.
18	Pacific Bluefin 2021-02 08 (2020-02 05)	R	The Secretariat confirms CCM submitted a complete report to the Secretariat on total fishing effort and catch levels of PBT by fishery for the previous three years and catch information includes discards.
19	Pacific Bluefin 2021-02 02 (2020-02 02(1))	L	CCM reported its total level of fishing effort by CCM's flagged vessels fishing for PBF north of 20N in its report to the Secretariat as required by paragraph 8 of the CMM, and the Secretariat can verify the CCM's reported total fishing effort and confirm that the CCM's allowable limit was not exceeded.
20	Pacific Bluefin 2021-02 03 (2020-02 02(2))	L	CCM reported its total catches of PBF less than 30kg and 30kg or larger and the Secretariat can verify the CCM's reported total catches and confirm that the total catch level does not exceed the CCM's allowable annual limit.
21	Pacific Bluefin 2021-02 04	L	CCM reported its total catches of PBF 30kg or larger and the Secretariat can verify the CCM's reported total catches and confirm that the CCM's catch of PBF 30kg or larger has not increased by more than 15% above its allowable

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			limit, or that the CCM's catch of PBF 30kg or larger has not exceeded 10mt beyond the CCM's applicable baseline catch limit.
22	Pacific Bluefin 2021-02 14	R	The Secretariat confirms receipt of a complete report by the CCM on national binding measures adopted to implement paragraphs 2, 3, 4, 7, 8, 10, 11, 13, and 16 of the CMM, and that the report includes results of the CCM's monitoring of international trade of products derived from PBF.
Part C: Additional Measures for Tropical Tunas			
23	Tropical Tuna 2021-01 14	I	<p>CCM submitted a <i>statement</i> in AR Pt2 that:</p> <ol style="list-style-type: none"> a. confirms CCM's implementation through adoption of a national binding measure that prohibits CCM flagged PS vessels from fishing on FADs between 1 July and 30 September in EEZs and high seas between 20N and 20S. b. describes how CCM is monitoring its flagged PS vessels to ensure they do not fish on FADs in EEZs and on high seas between 20N and 20S and how potential infringements or instances of non-compliance with this requirement are handled. <p>*FOR PNA MEMBERS THAT NOTIFY EXEMPTIONS AS PER FOOTNOTE 1: In addition to the statements required in a and b for its flagged vessels operating in other EEZs and on the high seas between 20N and 20S, the 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>
24	Tropical Tuna 2021-01 15	I	<p>Based on the CCM's notification by the required deadline of its choice of implementation of which two consecutive additional months of FAD closure on the high seas, the CCM has submitted a statement that:</p> <ol style="list-style-type: none"> a. confirms CCM's implementation through adoption of a national binding measure that prohibits CCM flagged PS vessels from fishing on FADs on the high seas between 20N and 20S during the chosen additional two months closure period b. describes how CCM is monitoring its flagged PS vessels to ensure they do not fish on FADs on the high seas between 20N and 20S during the chosen additional two months closure period, and how potential infringements or instances of non-compliance with this requirement are handled.

#	CMM/para	Category	SWG DRAFT AUDIT POINT
Part E: Mitigating Impacts of Fishing, Including on Species of Special Interest			
25	Cetaceans 2011-03 01	I	CCM submitted a <i>statement</i> in AR Pt2 that: <ul style="list-style-type: none"> a. confirms CCM’s implementation through adoption of a national binding measure that prohibits CCM flagged PS vessels from setting a purse seine net on a school of tuna associated with a cetacean (if sighted prior to commencement of the set) b. describes how CCM is monitoring its flagged PS vessels to ensure they do not set a purse seine net on a school of tuna associated with a cetacean where a sighting occurs prior to commencement of the set, and how potential infringements or instances of non-compliance with this requirement are handled.
26	Cetaceans 2011-03 02	I	CCM submitted a <i>statement</i> in AR Pt2 that: <ul style="list-style-type: none"> a. confirms CCM’s implementation through adoption of a national binding measure that requires the vessel master of CCM flagged PS vessels to follow safe release guidelines in the event a cetacean is unintentionally encircled in the PS net b. describes how CCM is monitoring its flagged PS vessels to ensure safe release guidelines are followed and how potential infringements or instances of non-compliance with this requirement are handled.
27	Sea Turtles 2018-04 06	I	CCM submitted a <i>statement</i> in AR Pt2 that: <ul style="list-style-type: none"> a. confirms CCM’s implementation through adoption of a national binding measure that requires operators of CCM flagged LL vessels to carry and use line cutters and de-hookers to handle and promptly release sea turtles caught or entangled and where appropriate, carry and use dip-nets in accordance with WCPFC guidelines b. describes how CCM is monitoring its flagged LL vessels to ensure this requirement is followed and how potential infringements or instances of non-compliance with this requirement are handled.
28	Sea Turtles 2018-04 07a	I	CCM submitted a <i>statement</i> in AR Pt2 that: <ul style="list-style-type: none"> a. confirms CCM’s implementation through adoption of a national binding measure that requires operators of CCM flagged LL vessels to employ at least one of the three mitigation methods listed in paragraph 7a of the CMM

#	CMM/para	Category	SWG DRAFT AUDIT POINT
			<p>b. describes how CCM is monitoring its flagged LL vessels to ensure that at least one of the mitigation measures in paragraph 7a of the CMM is being employed, and how potential infringements or instances of non-compliance with this requirement are handled.</p> <p>and the Secretariat confirms that CCM provided information in AR Pt 2 of any CCM vessel interactions with sea turtles in fisheries managed under the Convention and confirmation that CCM vessels are required to record all incidents involving sea turtles during fishing operations.</p>
29	Sharks 2019-04 05	R	The Secretariat confirms that CCM reported in AR Pt 2 information on alternative measures not contained in the CMM that the CCM is applying in areas under CCM's national jurisdiction.
30	Sharks 2019-04 23	R	The Secretariat confirms CCM submitted a report in AR Pt2 that addresses each of the elements contained in the template at Annex 2 of the CMM.
31	Sharks 2019-04 07-10	I	<p>CCM submitted a <i>statement</i> in AR Pt2 that:</p> <p>a. confirms CCM's implementation through adoption of a national binding measure that requires CCM flagged vessels to fully utilize any sharks that are retained on board and to prohibit any finning from taking place, or required alternative measures to ensure individual shark carcasses and their corresponding fins can be easily identified on board the vessel at any time</p> <p>b. describes how CCM is monitoring its flagged vessels to ensure that sharks are being fully utilized and fins are naturally attached to the carcass or alternative measures are applied as per the CMM, and how potential infringements or instances of non-compliance with this requirement are handled.</p>
32	Sharks 2019-04 11	R	The Secretariat confirms receipt of a report from CCM in AR Pt 2 with information on CCM implementation of measures taken to require CCM vessels to land sharks with fins naturally attached to the carcass, including a detailed explanation of implementation of paragraphs 8 and 9 of CMM 2019-04 and CCM's compliance monitoring activities.
33	Sharks 2019-04 12	I	<p>CCM submitted a <i>statement</i> in AR Pt2 that:</p> <p>a. confirms CCM's implementation through adoption of a national binding measure that prohibits CCM flagged fishing vessels from retaining on board, transshipping, landing, or trading any fins harvested in contravention of CMM 2019-04</p>

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			b. describes how CCM is monitoring its flagged fishing vessels to ensure that no fins are retained on board, transhipped, landed or traded, and how potential infringements or instances of non-compliance with this requirement are handled.
34	Sharks 2019-04 13	I	CCM submitted a <i>statement</i> in AR Pt2 that: <ul style="list-style-type: none"> a. confirms CCM's implementation through adoption of a national binding measure that requires CCM flagged fishing vessels to land or tranship all shark carcasses with their corresponding fins and in a manner that enables inspectors to verify b. describes how CCM is monitoring its flagged fishing vessels to ensure that all shark fins that are landed or transhipped with their corresponding carcasses can be verified, and how potential infringements or instances of non-compliance with this requirement are handled.
35	Sharks 2019-04 14-15	I/R	Based on the CCM's notification to the Secretariat of which option will apply to the CCM or its individual vessels, the CCM has submitted a statement in AR Pt 2 that: <ul style="list-style-type: none"> a. confirms CCM's implementation through adoption of a national binding measure that requires its flagged LL vessel or vessels to apply the CCM's selected option b. describes how CCM is monitoring its flagged LL vessels to ensure that the selection option is being applied and how potential infringements or instances of non-compliance with this requirement are handled.
36	Sharks 2019-04 16	R	The Secretariat confirms CCM submitted a report in its AR Pt 2 of its management plan for CCM's flagged LL vessels targeting sharks (note report guidance in CMM Annex 2 para 5).
37	Sharks 2019-04 18	I	CCM submitted a <i>statement</i> in AR Pt2 that: <ul style="list-style-type: none"> a. confirms CCM's implementation through adoption of a national binding measure that requires CCM flagged vessels with observers or electronic monitoring cameras on board to haul any sharks that are caught alongside the vessel before being cut free to facilitate species ID b. describes how CCM is monitoring its flagged vessels with observers or electronic monitoring cameras on board to ensure that any sharks caught are hauled alongside to facilitate species ID, and how potential infringements or instances of non-compliance with this requirement are handled.
38 39 40	Sharks (OWT, SS) 2019-04 20 (01-03)	I	CCM submitted a <i>statement</i> in AR Pt2 that:

#	CMM/para	Category	SWG DRAFT AUDIT POINT
			<ul style="list-style-type: none"> a. confirms CCM’s implementation through adoption of a national binding measure that prohibits CCM flagged vessels or vessels under CCM charter to retain on board, tranship, store, or land any oceanic whitetip or silky shark, in whole or in part; requires release of any oceanic whitetip or silky shark that is caught, in accordance with applicable safe release guidelines; surrender in whole any unintentionally caught oceanic whitetip or silky shark that are frozen as part of CCM flagged PS vessels’ operation to the responsible government authorities or discard them at the point of landing or transshipment, upon which any surrendered OWT or SS may be donated for human consumption b. describes how CCM is monitoring its flagged vessels or vessels it charters to ensure the requirements are met, and how potential infringements or instances of non-compliance with this requirement are handled.
41 42	Sharks (Whale) 2019-04 21 (01-07) 2019-04 21(04)	I/R	<p>CCM submitted a <i>statement</i> in AR Pt2 that:</p> <ul style="list-style-type: none"> a. confirms CCM’s implementation through adoption of a national binding measure that: prohibits its 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 a set, or retaining on board, transshipping, or landing any whale shark caught in the Convention Area, in whole or in part, in the fisheries covered by the Convention; ensures that all reasonable steps are taken to ensure safe release of incidentally encircled whale sharks and that the incident is reported to the CCM’s relevant authority b. describes how the CCM is monitoring its flagged and chartered vessels to ensure the requirements are met and how potential infringements or instances of non-compliance with this requirement are handled. <p>*CCMs with vessels authorized to fish in the EEZ of any member of the PNA shall include in their statement in AR Pt 2 the requirement for this prohibition to be in accordance with the PNA 3IA. (para 21.3)</p> <p>*CCMs with vessels authorized to fish in EEZs of CCMs north of 30N, the CCM shall implement the CMM or compatible measures consistent with obligations in the CMM and provide a description of those measures in AR Pt 2. (para 21.4)</p>
43	Mobulids 2019-05 04-06, 08, 10	I	<p>CCM submitted a <i>statement</i> in AR Pt 2 that:</p> <ul style="list-style-type: none"> a. confirms CCM’s implementation through adoption of a national binding measure that: prohibits its flagged vessels from retaining on board, transshipping, or landing any part or whole carcass of a mobulid ray, and require prompt release alive and unharmed any mobulid ray that is caught, in accordance with safe handling practices in the CMM; requires 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

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			<p>where possible, and allows observers to collect biological samples of mobulid rays that are caught and dead at haul back</p> <p>b. describes how the CCM is monitoring its flagged vessels to ensure the requirements are met and how potential infringements or instances of non-compliance with this requirement are handled.</p>
<p>Part F: Operational Requirements for Fishing Vessels</p>			
44	<p>VMS 2014-02 09a</p>	I	<p>1. CCM submitted a statement in AR Pt 2 that:</p> <ul style="list-style-type: none"> a. confirms CCM's implementation through adoption of national binding measures or management plans that require its flagged vessels to comply with the Commission standards (contained in CMM 2014-02 and the VMS SSPs) for WCPFC VMS including being fitted with ALCs/MTUs that meet Commission requirements. b. describes how the CCM is monitoring its flagged vessels to ensure the requirements are met and how potential infringements or instances of non-compliance with this requirement are handled. <p>2. The Secretariat confirms that CCMs:</p> <ul style="list-style-type: none"> a. have binding measures or management plans requiring vessels to install ALC units that are on the Commission ALC/MTU Approved List; b. have binding measures or management plans outlining its processes for taking action when vessels that are 'fishing in the Convention Area beyond their area under national jurisdiction' stop reporting to the Commission VMS; and c. have MTUs/ALCs that are successfully activated and reporting to the Commission VMS. For any unsuccessful activation, the Secretariat shall confirm whether this is an issue requiring flag CCM or Secretariat action. d. [In cases where after a successful initial activation, transmission problems are experienced, the Secretariat shall confirm whether: i) the flag State is(has) cooperating(ed) with the Secretariat to resolve these issues and ii) whether, pending reactivation, the vessel concerned has been reporting to the flag State and all positions have been transmitted to the Secretariat.] <i>still under discussion</i>

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45	VMS SSPs 2.8	R	1. The Secretariat confirms that CCM's flagged vessels are on the FFA Good Standing List. or 2. The Secretariat confirms that the CCM has provided complete VTAF details.
46	RFV 2018-06 09	R	The Secretariat confirms that a fished/did not fish report has been received from the CCM using the required template.
47	RFV 2018-06 03	I	CCM submitted a <i>statement</i> in AR Pt 2 that: a. confirms CCM's implementation through adoption of a national binding measure that prohibits fishing by CCM flagged vessels beyond areas of CCM's national jurisdiction without the appropriate CCM authorization b. describes how the CCM is monitoring and ensuring that its flagged vessels are not operating beyond the CCM's areas of national jurisdiction without the appropriate CCM authorization, and how potential infringements or instances of non-compliance with this requirement are handled.

Part G: Activity Related Requirements

48	SciData 01 (annual catch estimates)	R	Assessment is in accordance with Tier-Scoring Evaluation Level:	
49	SciData 02 (number of active vessels)		<ul style="list-style-type: none"> • A Tier Score of III = COMPLIANT • A Tier Score of I or II = NON-COMPLIANT/PRIORITY 	
50	SciData 03 (operational level C/E data)		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.
51	SciData 05 (size composition data)			

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			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.
52	Charters 2019-08 07	R		The Secretariat confirms that it received a report from the chartering CCM on the catch and effort of vessels notified as operating under charter to the CCM.
53	Charters 2019-08 02	R		The Secretariat confirms that notification from a CCM of which vessels are to be identified as operating pursuant to a chartering arrangement with the CCM was received within the required timeframe.
54	Transshipment 2009-06 29	L		The Secretariat verifies the information reported by the CCM in AR Pt 2 and confirms that the CCM's allowable limit of PS vessels transshipping outside of port has not been exceeded. *Note additional reporting obligations for COVID19-related requirements: The Secretariat has received information in AR Pt 2 of the CCM's approach to implementation of the suspension from 20 April to 31 December 2021.
55	Transshipment 2009-06 11	R		The Secretariat confirms receipt by the CCM in AR Pt 1 of the required information in the prescribed format contained at Annex II of CMM 2009-06, and confirms that the report includes the required information for all CCM transshipment events in the Convention Area of all HMFS covered by the Convention, as well as HMFS taken in the Convention Area and transhipped outside the Convention Area, in accordance with paras 10, 11, and 12 of CMM 2009-06.
56	Transshipment 2009-06 34	L		The Secretariat confirms that none of the vessels for which the CCM is responsible has engaged in high seas transshipment, unless the CCM indicated in the WCPFC Record of Fishing Vessels or by other means of

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			communication that the vessel or vessels are authorized pursuant to paragraph 37 of CMM 2009-06 to engage in high seas transshipment activities.
57	Transshipment 2009-06 35(a)(ii)	R	The Secretariat confirms that CCM indicated its flagged vessels authorized to tranship on the high seas, including by completing the relevant data field in the RFV data.
58	Transshipment 2009-06 35(a)(iii)	R	Where a CCM (or chartering CCM) has indicated that it has authorized its flagged vessels to engage in high seas transshipment and indicated such authorization in its RFV, the Secretariat confirms that it has received the corresponding WCPFC high seas transshipment notification in respect of each CCM-authorized vessel in accordance with Annex III of CMM 2009-06 or WCPFC ER Standards for high seas transshipment.
59	Transshipment 2009-06 35(a)(iv)	R	Where a CCM (or chartering CCM) has indicated that it has authorized its flagged vessels to engage in high seas transshipment and indicated such authorization in its RFV, the Secretariat confirms that it has received the corresponding WCPFC high seas transshipment declaration in respect of each CCM-authorized vessel in accordance with Annex I of CMM 2009-06 or WCPFC ER Standards for high seas transshipment.
Part I: Observer Activity Related Requirements			
60	Tropical Tuna 2021-01 Att2 05-06	I	CCM submitted a <i>statement</i> in AR Pt 2 that: <ul style="list-style-type: none"> a. confirms CCM’s implementation through adoption of a national binding measure that requires CCM flagged vessels to employ a WCPFC Regional Observer while operating in HSP-1 SMA b. describes how the CCM is monitoring and ensuring that its flagged vessels are not operating in HSP-1 SMA without a WCPFC Regional Observer, and how potential infringements or instances of non-compliance with this requirement are handled

Attachment B: List of obligations to be reviewed in the
2022 draft Compliance Monitoring Report (covering 2021 activities)

Key: To indicative Risk Rating

Low	Moderate	High	Severe
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	CMM	Para and risk rating	Description	Category
1	Sci Data	SciData 01	Estimates of Annual Catches	Report
2		SciData 02	Annual number of vessels active	Report
3		SciData 03	Operational Level catch and effort data	Report
4		SciData 05	Annual Size Composition Data	Report
5	Tropical Tuna Measure	2020-01:16	Purse seine 3-month FAD closure (July-Sept) for purse seine vessels in EEZ and HS.	Implementation
6		2020-01:17	Additional 2-month FAD closure on high seas (April/May/Nov-Dec)	Implementation & Report
7		2020-01:25	Restrict purse seine effort/catch within EEZ as notified in Table 1	Limit
8		2020-01: 26	Restrict high seas purse seine effort (20°N-20°S) - Table 2	Limit
9		2020-01:39	Restrict longline BET catch to limits set in Table 3	Limit
10		2020-01:41	Bigeye longline catch limits for 2021, with adjustment to be made for any overage in 2020 (Table 3)	Report
11		2020-01:43	Bigeye longline catch limits by flag for certain other members which caught less than 2000t in 2004	Limit
12		2020-01: 45	Limit by flag on number of purse seine vessels >24m with freezing capacity between 20N and 20S	Limit
13		2020-01: 47	Limit by flag on number of longline vessels with freezing capacity targetting bigeye above the current level (applying domestic quotas are exempt)	Limit
14		2020-01: 48	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 (applying domestic quotas are exempt)	Limit
15		2020-01: Att2 03	Philippines vessels Entry/Exit reports for HSP1-SMA	Report
16		2020-01: Att2 05-06	Specific requirements for deploying observers on Philippines vessels fishing in HSP-1	Implementation
17	Pacific Bluefin Tuna	2020-02:02 (1)	Total effort by vessels for Pacific Bluefin limited to 2002 - 2004 levels in Area north of 20N	Limit
18		2020-02: 02 (2)	Catches of Pacific bluefin tuna less than 30kg shall be reduced to 50% of 2002-04 level. Overage or underage may be used in following year	Limit
19		2020-02: 3	Take measures not to increase catches of BFT >30kg from 2002-04 levels with some exceptions	Implementation

20		2020-02: 5	Report annually Pacific bluefin effort and catch <=>30kg (3 years)	Report
21		2020-02: 11	Report annually on implementation of Pacific bluefin CMM (2,3,4,5,7,8,10,13)	Report
22	South Pacific Albacore	2015-02: 04	Annual report of SP ALB by vessel by species	Report
23	NP Marlin	2010-01: 05	NP striped marlin catch limits applicable to CCMs with vessels fishing in the Convention Area north of the equator: commencing 2011	Limit
24		2006-04: 01	L Limit number of fishing vessels fishing for MLS south of 15S to 2000 – 2004 levels	Limit
25	SWP. Marlin	2006-04: 04	Annual catches of MLS (bycatch), and annual numbers of vessels fishing for MLS south of 15S and their catch levels	Report
26		2009-03: 01	Limit number of vessels fishing for SWO south of 20S to the number in any one year between 2000-2005	Limit
27		2009-03: 02	Limit the catch of SWO by its vessels in area south of 20S to the amount in any one year during 2000-2006	Limit
28	Swordfish	2009-03: 03	CCMs shall not shift their fishing effort for SWO to the area north of 20°S	Limit
29		2009-03: 08	Report annually on total catch and effort for SWO S 20°S	Report
30		2018-06: 03	CCMs should only allow its fishing vessels to be used for fishing, if properly authorised	Implementation
31	RFV	2018-06: 09	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	Report
32		2014-02: 09a	Fishing vessels comply with the Commission standards for WCPFC VMS including being fitted with ALC/MTU that meet Commission requirements	Implementation
33	VMS	2014-02: 09a VMS SSPs 2.8	Provision of ALC/MTU 'VTAf' data	Implementation
34		2009-06: 11	Annual report on all transshipment activities covered by this Measure (including transshipment activities that occur in ports or EEZs) in accordance with the specified guidelines (Annex II)	Report
35	Transshipment	2009-06: 29	Limit on purse seine vessels transshipment outside of port to vessels that have received an exemption from the Commission. Where applicable, flag CCM authorisation should be vessel-specific and address any specific conditions identified by the Commission.	Limit
36		2009-06: 34	Ban on high seas transshipment, unless a CCM has determined impracticability in accordance with para 37 guidelines, and has advised the Commission of such.	Limit

37		2009-06:35 (a) (ii)	Flag State's notification to the Secretariat on its flag vessels that are authorised to transship on the high seas	Report
38		2009-06: 35 (a) (iii)	WCPFC Transshipment Advance Notification (including fields in Annex III)	Report
39		2009-06: 35 (a) (iv)	WCPFC Transshipment Declaration (including information in Annex I)	Report
40	Charter Notification	2019-08: 02	Notification of charter arrangements made to the ED	Report
41		2019-08: 07	Report annually to ED the catch and effort of chartered vessels in the previous year (unless specifically provided in other CMMs)	Report
42	Sea turtles	2018-04: 06	CCMs to require longline vessels to carry and use line cutters and de-hookers to handle and promptly release sea turtles, as well as dip-nets where appropriate	Implementation
43		2018-04: 07 (a)	Sea Turtle mitigation requirements for shallow-set longline vessels	Implementation
44	Sharks	2019-04: 05	Report to describe, where applicable, any alternative measures from those in CMM 2019-04 SHARKS which are applied by CCMs in areas under national jurisdiction (provide in Part 2 Annual Report)	Report
45		2019-04: 07-10	Take measures necessary to require all sharks retained on board their vessels are fully utilized and ensure the prohibition of finning (provide in Part 2 Annual Report) <i>Includes consideration of para 10</i> Request from CCM for TCC and the Commission to consider endorsing alternative measures to fins naturally attached from those listed in para 9	Implementation
46		2019-04: 11	Report annually on shark fins attached/alternative measures	Report/Deadline
47		2019-04: 12	Take measures necessary to prevent fishing vessels from retaining on board (including for crew consumption), transshipping and landing any fins harvested in contravention of CMM 2019-04	Implementation
48		2019-04: 13	Shark carcasses/fins landed/transhipped together to ensure verification	Implementation
49		2019-04: 14-15	Implement at least one option to minimize bycatch of sharks in longline fisheries, and notify choice and whenever the selected option is changed	Implementation
50		2019-04: 16	Develop and report annually on management plans for longline fisheries targeting sharks in Pt 2 Annual Report	Implementation

51		2019-04: 18	Ensure that sharks that are caught but are not to be retained, are hauled alongside the vessel in order to facilitate species identification (only applicable where observer or EM camera is present, and where safe for crew and observers)	Implementation
52		2019-04: 20 (1)	Prohibit retaining/transshipping/storing/landing oceanic whitetip & silky sharks	Implementation
53		2019-04: 20 (2)	Requirement to release oceanic whitetip & silky sharks asap	Implementation
54		2019-04: 20 (3)	If oceanic whitetip & silky sharks caught, must be given to govt or discarded	Implementation
55		2019-04: 21 (1-7)	Prohibit purse seine setting on whale sharks, retaining/transshipping/landing of whale sharks	Implementation
56		2019-04: 21 (4)	CCMs implement compatible measures for whale sharks in zone N30N	Report
57		2019-04: 23	Report annually on implementation of shark CMM (Annex 2 template)	Report/Deadline
58	Cetaceans	2011-03: 01	Prohibit purse seine setting on cetaceans, if animal is sighted prior to commencement of the set	Implementation
59		2011-03: 02	Requirements in the event of unintentional encircling of cetaceans in the purse seine net, including incident reporting requirements	Implementation
60	Mobulids	2019-05: 04-06, 08, 10:	Mobulids: Prohibit retaining/transshipping/landing of mobulid rays	Implementation

Available Data Sources for Reviewing Implementation of Obligations (*for reference*)

- 1. Annual Report Part 1**
- 2. Annual Report Part 2**
- 3. Annual Catch and Effort Tables**
- 4. Catch and Effort Data Summaries**
- 5. HSP1 Entry/Exit Reports**
- 6. WCPFC VMS Data**
- 7. WCPFC Record of Fishing Vessels**
- 8. Fished/Did Not Fish Reports from CCMs**
- 9. Annual Report to Northern Committee**
- 10. Regional Observer Program Data**
- 11. Summary of Reports received pursuant to Tropical Tuna CMM**
- 12. Relevant CCM Management Plans provided pursuant to certain reporting requirements**
- 13. WCPFC VRST data**
- 14. FFA Report on daily position counts**
- 15. FFA Good Standing records**
- 16. CCM and Secretariat Communications**
- 17. Commission Database of WCPFC VMS Data**
- 18. HSBI data**
- 19. SPC advice on SciData reporting**
- 20. Commission database of WCPFC Charter Notification data**
- 21. CCM Applications to TCC (high seas transshipment)**
- 22. High Seas Transshipment Reports**
- 23. High Seas Transshipment Notifications**
- 24. Commission data on PI observer requests**