

DRAFT Audit Points for the WCPFC Compliance Monitoring Scheme

(Updated following the April 13-14 FFA Virtual CMS Workshop)

Prepared by: Rhea Moss-Christian, FFA Consultant

Explanatory Notes (Updated)

I. Background

- a. An earlier draft of proposed audit points was provided to FFA members on the occasion of the CMS Virtual Workshop that took place on April 13 and 14, 2021. This draft contains revisions resulting from feedback received during that workshop, as well as additional changes as noted, below.
- b. This draft set of audit points covers 158 obligations out of a total of 218 obligations (refer **Attachment A**.) As of 5 April 2021, CCMs are required to report in Annual Report Part 2 against 187 obligations. The difference is a result of the way in which obligations are counted, i.e. multiple paragraphs are counted as a single obligation for AR Part 2 reporting purposes.

II. Outcomes from the April 13-14, 2021 Virtual Workshop on the CMS

- c. Revisions specific to draft audit points incorporate the following views raised at the April 13-14 workshop:
 - i. **Workshop Feedback:** Need for the audit point relating to paragraph 25 of CMM 2020-01 (zone-based purse seine effort control) to take account of the collective reporting obligation by the PNA members, as reflected in Att 1, Table 1 of the CMM.
Comment: This audit point has been updated to reflect the collective reporting by PNA members + Tokelau on their collective purse seine effort limit, as reported to the Commission by the PNA Office.
 - ii. **Workshop Feedback:** Inclusion of draft audit points for CMM 2013-06 on the Criteria for the Consideration of New Proposals, and CMM 2013-07 on the Special Requirements of Developing States.
Comment: Draft audit points for relevant obligations from these CMMs are now included.
 - iii. **Workshop Feedback:** Removal of any role assigned to the Northern Committee in compliance evaluation.
Comment: All references to a potential role for the NC in reviewing compliance have been removed.
 - iv. **Workshop Feedback:** Confirm inclusion of an audit point for LIMIT type obligations that requires the CCM to provide information on a national binding measure to implement the CCM's relevant limit.
Comment: Some CCMs currently provide this information in their Annual Report Part 2. An additional criterion for LIMIT obligations to reflect national binding measures could add weight to the CCM's implementation of applicable limits.
 - v. **Workshop Feedback:** Confirm the role of the WCPFC Secretariat in reviewing relevant datasets and information to confirm or identify anomalies with CCM

reporting, noting that the Commission currently has limited independent information that can be used to verify compliance with catch limits.

Comment: The WCPFC Secretariat's role in verifying compliance with relevant obligations has been updated in the relevant draft audit points. The absence of independent data available to verify catch limits remains an issue for the Commission.

- vi. **Workshop Feedback:** Unclear from the proposed audit points of which ones are based on existing WCPFC Secretariat compliance evaluation criteria and reflect current reporting requirements, and which proposed audit points are new and might reflect new reporting requirements.

*Comment: Proposed audit points follow existing WCPFC Secretariat criteria for any obligation that has been previously assessed in CMS or where there has been a reporting requirement through Annual Report Part 2. Obligations that have not been previously assessed in CMS are noted in the revised draft audit points, as well as in **Attachment A**.*

There are eight obligations for which there has been no prior AR Pt 2 reporting obligation or no prior assessment in CMS. These are: CMM 2013-06 03 (SIDS checklist), CMM 2019-04 18 (Sharks), and CMM 2019-05 03, 04-06, 08, 10 (Rays). Draft audit points for these obligations follow the general approach for the relevant obligation category.

III. Other UPDATES

- d. Additional draft audit points have been added for CMM 2009-09 (vessels without nationality), CMM 2013-05 (high seas catch and effort reporting), and CMM 2017-02 (port State measures).
- e. Correction of categorization of CMM 2009-03 paragraph 3 (Swordfish) from LIMIT to IMPLEMENTATION obligation.

IV. General Approach

- f. The Commission currently groups obligations into four (4) main categories: IMPLEMENTATION, LIMIT, REPORT, and DEADLINE (DEADLINE obligations are omitted in this draft due to Commission agreement to accept the WCPFC Secretariat's assessment of whether deadlines have been met). Paragraph 7 of the CMS CMM 2019-06 sets specific requirements for reviewing compliance against LIMIT and IMPLEMENTATION obligations and those are incorporated in this set of draft audit points.
- g. This set of draft audit points focuses on obligations applicable from 2020, i.e., anything that expired or was no longer required by the end of 2020 is not included.

V. Additional Information relating to proposed audit points for IMPLEMENTATION obligations

- h. Compliance review of IMPLEMENTATION obligations is guided by paragraph 7(ii)(a) and (b) of the CMS measure. Since 2018, all CCMs have been required to report against IMPLEMENTATION obligations consistent with paragraph 7(ii)(a) and (b). Proposed audit

points aim to clarify and simplify the requirements of paragraph 7(ii)(a) and (b) through the submission of three separate implementation statements to receive a score of COMPLIANT:

#1: Statement of Implementation

#2: Statement of System or Procedures for Monitoring Compliance

#3: Statement of Procedures to Respond to Instances of Non-Compliance and Take Action in Relation to Potential Infringements

Refer to **Attachment B** for Proposed Guidelines on Implementation Statements.

**The audit point for Implementation Statement #3 has been amended to clarify that the reporting requirement is not related to cases in the CCFS. A tracked change formulation of this audit point is as follows:

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. ~~If there have been any instances of potential infringements with the requirement, a description of what actions CCM is taking to address it has been provided.~~

This change has been made throughout the draft for all IMPLEMENTATION obligations.

- i. The workshop considered proposing an amendment to paragraph 7(ii)(b) of CMM 2019-06 on the CMS to clarify the reporting requirement with respect to actions taken in response to potential infringements. **Attachment C** contains a draft proposed amendment should members wish to proceed with a proposal.

VI. Draft “checklist” for Proposed Audit Points to Accompany New Proposals

- j. A draft checklist of proposed audit points to accompany new proposals is at **Attachment D**. A proposed process for implementing the audit points checklist is also included. NOTE: This is a different checklist from the “2013-06 checklist”, which is specific to SIDS impacts.

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Audit Points

Obligation Category	Paragraph and Brief Description	Audit Point(s)
CMM 2004-03 Specifications for Marking and Identification of Fishing Vessels		
Implementation	Para 2: vessel markings; WIN; technical specifications <i>Applicability: flag CCMs with vessels on the RFV</i>	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. AND 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 marking their vessels in accordance with the requirements of the CMM AND 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. <i>Proposed change in audit point #3 for all IMPLEMENTATION obligations to clarify that the language in paragraph 7(ii)(b) is not linked to the CCFS. See Explanatory Notes for additional details.</i>
Report	Para 3: enter the WIN into the RFV <i>Applicability: flag CCMs with vessels on the RFV</i>	1. Each of CCM's entry of flagged vessels on the RFV contains a WIN AND

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| | | 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) |
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Obligation Category	Paragraph and Brief Description	Audit Point(s)
CMM 2006-04 Striped Marlin in the Southwest Pacific		
Limit	Para 1: Limit number of fishing vessels fishing for MLS south of 15S to 2000 – 2004 levels <i>Applicability: CCMs with flagged vessels fishing for striped marlin S15S</i> <i>NOTE: The use of the term “fished for” affects the reporting by CCMs on this obligation</i>	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 AND 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 AND 3. Secretariat review of SPC data on operational level catch and effort data does not conflict with information reported by CCM
Report	Para 4: 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. <i>Applicability: CCMs with flagged vessels fishing for striped marlin S15S</i>	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 AND 2. WCPFC Secretariat review of SPC operational level catch and effort data does not conflict with data submitted by CCM

	<i>NOTE: The use of the term “fished for” affects the reporting by CCMs on this obligation</i>	
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Obligation Category	Paragraph and Brief Description	Audit Point(s)
CMM 2006-08 High Seas Boarding and Inspection		
Implementation	Para 7: ensure flag vessels accept boarding and inspection by authorized inspectors; authorized inspectors comply with procedures in conducting activities <i>Applicability: flag CCMs with vessels authorized to operate on the high seas; Contracting Parties that have vessels on the Register of Inspection Vessels</i> https://www.wcpfc.int/register-inspection-vessels	<i>For flag CCMs with vessels authorized to operate on the high seas:</i> 1. 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 AND 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 AND 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. <i>For Contracting Parties with vessels on the Register of Inspection Vessels:</i> 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 AND 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 activities in accordance with the procedures in the CMM AND 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.
Report	Para 30 and 32: authorized inspectors to complete full report on each HSBI activity and transmit to authorities of the fishing vessel within timeframe <i>Applicability: Contracting Party who have vessels on the Register of Inspection Vessels</i>	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. AND <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> 2. The authorized inspector immediately notified the authorities of the fishing vessel directly as well as through the Commission (Secretariat)
	Para 33 and 36: receipt of notification of serious violation and immediate response <i>Applicability: CCM fishing vessel authorities</i>	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 AND 2. Authorities of the fishing vessel notified authorities of the inspection vessel as well as the Commission OR 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)

	Para 40: CPs that authorized inspection vessels to report annually on HSBI activities and possible violations observed <i>Applicability: Contracting Parties with authorized inspection vessels on the Register of Inspection Vessels</i>	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
	Para 41: submit information on actions taken in response to HSBI of their fishing vessels that resulted in observation of alleged violations, including proceedings and sanctions <i>Applicability: flag CCMs whose vessels were part of an HSBI event that resulted in observation of alleged violations</i>	CCM provided information in its Part 2 Annual Report on any actions it took in response to alleged violations resulting from HSBI events

Obligation Category	Paragraph and Brief Description	Audit Point(s)
CMM 2008-04 Prohibition on High Seas Driftnet Fishing		
Implementation	Para 2: take necessary measures to prohibit fishing vessels from using large scale driftnets on high seas <i>Applicability: flag CCMs with vessels on the RFV and authorized to fish in the high seas areas of the Convention Area</i>	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 AND 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 AND 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.
Report	Para 5: provide summary report in AR Pt 2 of any of CCM's MCS actions related to large-scale driftnet fishing <i>Applicability: CCMs that undertook any MCS activities relating to large scale driftnet fishing on the high seas</i>	CCM provided summary report in its AR Pt 2 of its MCS actions relating to large scale driftnet fishing on the high seas

Obligation Category	Paragraph and Brief Description	Audit Point(s)
CMM 2009-03 Swordfish		
Limit	Para 1: Limit number of vessels fishing for SWO south of 20S to the number in any one year between 2000-2005. <i>Applicability: Flag CCMs listed in Annex 1 plus flag CCMs who have vessels operating S20S (noting SIDS+T are exempted under para 5)</i> <i>NOTE: The use of the term “fished for” affects the reporting by CCMs on this obligation</i>	1. CCM-reported number of flagged vessels fishing for SWO south of 20S <u>does not</u> exceed any one year between 2000-2005 (listed in Annex 1 of the CMM) AND 2. CCM provided information on its adoption of a national binding measure to limit the number of its flagged vessels fishing for SWO S20S AND 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
	Para 2: Limit the catch of SWO by its vessels in area south of 20S to the amount in any one year during 2000-2006. <i>NOTE: “Total catch” refers to both targeted and bycatch catches of SWO (WCPFC11 decision).</i> <i>Applicability: Flag CCMs listed in Annex 1 plus flag CCMs who have vessels operating S20S (noting SIDS+T are exempted under para 5)</i>	1. CCM-reported catch by flagged vessels in area south of 20S <u>does not</u> exceed catch in any one year between 2000-2006 AND 2. CCM provided information on its adoption of a national binding measure to limit the catch by its flagged vessels fishing for SWO S20S AND 3. Secretariat verifies reported number using SPC data and CCM report provided in para 8 of CMM 2009-03
Reporting	Para 8: Report in AR Part 1 the total number of vessels that fished for swordfish and total catch* of swordfish for:	1. CCM has submitted the required report in AR Part 1 AND 2. The report was provided in the form of the template in Annex 2 of this CMM

	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 <i>Applicability: Flag CCMs listed in Annex 1 plus flag and chartering CCMs who have vessels operating S20S (noting SIDS+T are exempted under para 5)</i> <i>*NOTE: WCPFC11 confirmed a common understanding that “total catch” in this reporting requirement refers to both targeted and bycatch catches of swordfish.</i>	AND 3. The report covers the period 2000-2009, and was updated each year after 2009, including the most recent Reporting Year
Implementation	Para 3: No shift in fishing effort to the area north of 20S, as a result of this measure. <i>Applicability: Flag CCMs listed in Annex 1 plus flag CCMs who have vessels operating S20S (noting SIDS+T are exempted under para 5)</i> <i>NOTE: No baseline effort limits have been identified for any CCM</i> <i>This was previously drafted as a LIMIT obligation but is categorized by the WCPFC Secretariat as an IMPLEMENTATION obligation.</i>	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 AND 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 AND

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| | | <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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Obligation Category	Paragraph and Brief Description	Audit Point(s)
CMM 2009-05 Prohibition of Fishing on Data Buoys		
Implementation	**Not previously assessed in CMS; reporting required in AR Pt 2** Para 1: prohibit fishing and interacting within 1nm of data buoy in high seas <i>Applicability: flag CCMs with vessels on the RFV and fishing on the high seas in the Convention Area</i>	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 AND 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 AND 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.
	Not previously assessed in CMS; reporting required in AR Pt 2 Para 3: prohibit taking on board a data buoy unless authorized by buoy owner <i>Applicability: flag CCMs with vessels on the RFV and fishing on the high seas in the Convention Area</i>	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 AND 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 AND

	Not previously assessed in CMS; reporting required in AR Pt 2 Para 5: remove entangled fishing gear to minimize damage to data buoy <i>Applicability: flag CCMs with vessels on the RFV and fishing on the high seas in the Convention Area</i>	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. 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 event of entanglement with a data buoy, to remove entangled fishing gear such that minimal damage occurs to the data buoy AND 2. CCM submitted a Statement of System or Procedures for Monitoring Compliance 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 AND 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.
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Obligation Category	Paragraph and Brief Description	Audit Point(s)
CMM 2009-06 Transhipment		
Limit	Para 29: 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. <i>Applicability: flag CCMs with purse seine vessels on the RFV in RY</i>	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 AND 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) AND 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
Implementation	Para 13: CCM shall ensure that vessels they are responsible for carry observers from the WCPFC ROP to observe transhipments at sea. NOTE: WCPFC14 decision to include information on observer coverage, per para 13(a), 13(b), 13(c). <i>Applicability: flag CCMs with flagged fishing vessels were authorized to transship at sea in</i>	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 transhipments at sea, through adoption of a nationally binding measure. a. CCM included information on level of observer coverage achieved according to relevant vessel category (13a, 13b, or 13c). b. CCM reported in its high seas transhipment declarations that there was an ROP observer on board a CCM offloading vessel or the receiving vessel (WCPFC16 decision) AND

	the previous calendar year, and within the scope of the Commission ROP	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. AND 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.																																																	
Reporting	Para 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). <i>Applicability: flag CCMs who WCPFC received high seas transshipment authorizations in RY and those who authorized their vessels to transship in ports or EEZs</i> <i>***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 transship 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)</i>	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): (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, presented in the following Table format: <table><tr><th>a) offloaded and received;</th><th>b) transhipped in port, transhipped at sea in areas of national jurisdiction, and transhipped beyond areas of national jurisdiction</th><th>c) transhipped inside the Convention Area and transshipped outside the Convention Area;</th><th>d) caught inside the Convention Area and caught outside the Convention Area;</th><th>e) Species</th><th>f) Product Form</th><th>g) Fishing gear</th></tr><tr><td>offloaded</td><td></td><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr><tr><td>received</td><td></td><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table> (2) the number of transshipments involving highly migratory fish stocks covered by this measure, presented in the following Table:	a) offloaded and received;	b) transhipped in port, transhipped at sea in areas of national jurisdiction, and transhipped beyond areas of national jurisdiction	c) transhipped inside the Convention Area and transshipped outside the Convention Area;	d) caught inside the Convention Area and caught outside the Convention Area;	e) Species	f) Product Form	g) Fishing gear	offloaded																					received																				
a) offloaded and received;	b) transhipped in port, transhipped at sea in areas of national jurisdiction, and transhipped beyond areas of national jurisdiction	c) transhipped inside the Convention Area and transshipped outside the Convention Area;	d) caught inside the Convention Area and caught outside the Convention Area;	e) Species	f) Product Form	g) Fishing gear																																													
offloaded																																																			
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		a) offloaded and received	b) transhipped in port, transhipped at sea in areas of national jurisdiction, and transhipped beyond areas of national jurisdiction	c) transhipped inside the Convention Area and transhipped outside the Convention Area	d) caught inside the Convention Area and caught outside the Convention Area	e) fishing gear
		offloaded				
		received				
		AND 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 AND 3. Secretariat review of high seas transshipment events matches information reported by CCM				
	Para 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. <i>Applicability: flag CCMs that had "YES" in high-seas authorization field on RFV during RY</i>	1. Number of flag CCM vessels that transhipped 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 AND 2. Secretariat records and datamarts confirm flag CCM report of number of vessels that transhipped on the high seas does not exceed number of vessels authorized by flag CCM on the RFV				
	Para 35 (a)(ii): Notification to the Secretariat of a CCMs flagged vessels that are authorized to transship on the high seas	1. CCM identified in its list of vessels on the RFV which vessels it has authorized to transship on the high seas AND				

	<i>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.</i>	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
	Para 35 (a)(iii): WCPFC high seas Transshipment Advance Notification (including fields in Annex III) <i>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</i> ** 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. ***The provisions of <i>CMM 2009-06 shall apply to all transshipment in the Convention Area of all highly migratory fish stocks covered by the Convention. CCMs that transship outside the Convention Area highly migratory fish stocks covered by the</i>	1. CCM submitted required notification to WCPFC ED at least 36 hours prior to high seas transshipment activity AND 2. Notification contained information required in Annex III of CMM 2009-06 or ER HS TS standards AND 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.

	<i>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)</i>	
	Para 35 (a)(iv): WCPFC Transshipment Declaration (on completion of transshipment activity) including information in Annex I. <i>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</i> <i>** 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.</i> <i>***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 transship 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)</i>	1. The CCM responsible for reporting against the offloading and receiving vessel each provided a declaration to the ED within 15 days of completion of each high seas transshipment event AND 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 AND 3. Secretariat confirms it has declarations for each transshipment event involving flag CCM vessels that it has detected using Secretariat records and datamarts.

	Not previously assessed in CMS; reporting required in AR Pt 2 Para 35(a)(v): submit plan to Commission detailing steps CCM is taking to encourage future transshipment in port <i>Applicability: flag CCMs with vessels engaging in authorized transshipment activities on the high seas</i>	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
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Obligation Category	Paragraph and Brief Description	Audit Point(s)
CMM 2009-09 Vessels Without Nationality		
Report	**Not previously assessed in CMS; reporting required in AR Pt 2** Para 5: Report by CCM on any sightings of fishing vessels without nationality fishing in high seas of CA for WCPFC species.	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.

Obligation Category	Paragraph and Brief Description	Audit Point(s)
CMM 2010-01 North Pacific Striped Marlin		
Limit	Para 5: Limit catches of North Pacific Striped Marlin north of the equator to specified levels <i>Applicability: CCMs with fishing vessels fishing in Convention Area north of the equator</i>	1. CCM has identified and confirmed its applicable catch limit, and the limit is 20% less than CCM's highest catch between 2000-2003 AND 2. CCM reported catch levels that do not exceed its applicable limit AND 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 AND 4. Secretariat review of AR Pt 1 data submission and other relevant sources does not conflict with information reported by the CCM
Report	Para 8: Report on implementation of measure, including measures applied to flagged/chartered vessels to reduce catch and the total catch taken against established limits Para 7 - CCMs were to have advised by 30 Apr 2011 - the verifiable info on catches by vessels north of the equator by flagged/chartered vessels. <i>Applicability: applies to all CCMs with fishing vessels on the RFV fishing in Convention Area north of the equator</i>	1. CCM submitted information on its adoption of national binding measures it applied to flagged/chartered vessels to reduce catch and total catch AND 2. Secretariat review of AR Pt 1 data submission and other relevant sources does not conflict with information submitted by CCM

Obligation Category	Paragraph and Brief Description	Audit Point(s)
CMM 2011-03 Protection of Cetaceans from Purse Seine Fishing Operations		
Implementation	Para 1: 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 <i>Applicability: flag CCMs with purse seine vessels on the RFV</i>	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 flagged PS vessels are not setting on a school of tuna associated with a cetacean, if sighted prior to commencement of the set AND 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.
	Not previously assessed in CMS; reporting required in AR Pt 2 Para 2-3: Requirements of vessel master in the event that a cetacean is unintentionally encircled in the purse seine net; follow safe release guidelines <i>Applicability: flag CCMs with purse seine vessels on the RFV</i>	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 AND

		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 AND 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.
Report	Para 5: Report in AR Pt 1 of any instances in which cetaceans have been encircled by PS nets <i>Applicability: flag CCMs with purse seine vessels on the RFV</i>	1. CCM provided a report in their AR Pt 1 of instances when CCM's flagged PS vessels encircled a cetacean in their 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 AND, IF AVAILABLE 2. Secretariat confirms through review of ROP reports that CCM has provided the required information <i>NOTE: ROP data may not be immediately available to support review of information reported by CCM against this obligation; requires further discussion.</i>

Obligation Category	Paragraph and Brief Description	Audit Point(s)
CMM 2013-05 High Seas Catch and Effort Reporting		
Implementation	Para 1: 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. <i>Applicability: CCMs with flagged vessels operating on the high seas</i>	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 AND 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 AND 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.
	Para 2: Requirement that information recorded by the master of each vessel each day with fishing operations shall, at a minimum include the information as specified: a. The information specified in sections 1.3 to 1.6 of ANNEX 1 of the Scientific Data to be Provided to the Commission;	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) AND 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)

	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. 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. <i>Applicability: CCMs with flagged vessels operating on the high seas</i>	AND 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.
	Not previously assessed in CMS; reporting required in AR Pt 2 Para 3: 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 <i>Applicability: CCMs with flagged vessels operating on the high seas</i>	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 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 AND 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 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 AND 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.
	Not previously assessed in CMS; reporting required in AR Pt 2 Para 4: 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 <i>Applicability: CCMs with flagged vessels operating on the high seas</i>	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 AND 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 AND 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.

Paragraph and Brief Description	Audit Point(s)
CMM 2013-06 Criteria for the Consideration of Conservation and Management Proposals	
Not previously assessed in CMS; no existing reporting requirement Para 3: Commission to determine nature and extent of impact of proposal on SIDS/T by addressing the following questions: a. Who is required to implement the proposal? b. Which CCMs would this proposal impact and in what way(s) and what proportion? c. Are there linkages with other proposals or instruments in other regional fisheries management organizations or international organizations that reduce the burden of implementation? d. Does the proposal affect development opportunities for SIDS? e. Does the proposal affect SIDS domestic access to resources and development aspirations? f. What resources, including financial and human capacity, are needed by SIDS to implement the proposal? g. What mitigation measures are included in the proposal? h. What assistance mechanisms and associated timeframe, including training and financial support, are included in the proposal to avoid a disproportionate burden on SIDS?	1. CCM submitted a 2013-06 checklist against CCM's proposed obligation(s) at the time the new proposal was submitted AND 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 AND 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 NOTE: In practice, this obligation has been implemented through individual CCMs completing the checklist and attaching it to proposed new obligations. 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 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. The draft audit points are designed to clarify FFA members' expectations and interpretation of this obligation.

<i>Applicability: any CCM that introduces a new proposal to the Commission</i>	
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Obligation Category	Paragraph and Brief Description	Audit Point(s)
CMM 2013-07 Special Requirements of SIDS and Territories		
Report	Para 19: Provide an annual report (in Part 2) on the implementation of this CMM <i>Applicability: non-SIDS/T CCMs (SIDS/T CCMs may report on specific needs and requests and the nature of any support that was provided)</i>	CCM submitted information in AR Pt 2 on any assistance it provided to SIDS/T in accordance with this CMM

Obligation Category	Paragraph and Brief Description	Audit Point(s)
CMM 2014-02 Vessel Monitoring System		
Report	Para 9a VMS SSPs 7.2.2: CCMs to conduct periodic audits of ALC/MTUs of its vessels and report results to the Commission in AR Pt 2 <i>Applicability: flag CCMs that advised of having vessels that “fished” on the RFV in RY; flag CCMs that conducted an ALC/MTU audit during the RY, reported in Part 2</i>	1. CCM submitted complete information through AR Pt 2 MTU AUDIT INSPECTIONS ONLINE LIST AND 2. Secretariat confirmed that information submitted by CCM was complete.
Implementation	Para 4: fishing vessels operating N20N and W175E to keep ALCs activated and reporting to the Commission <i>Applicability: flag CCMs with vessels on the RFV, operating in the Convention area N20N and W175E</i>	1. CCM submitted a Statement of Implementation 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. AND 2. CCM submitted a Statement of System or Procedures for Monitoring Compliance 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. AND 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. AND

	Para 9a: Fishing vessels comply with the Commission standards for WCPFC VMS including being fitted with ALCs/MTUs that meet Commission requirements <i>Applicability: flag CCMs with fishing vessels on the RFV indicated as having "fished" during the RY</i>	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.
Report	Para 9a VMS SSPs 2.8: VMS Provision of ALC/MTU 'VTAF' data <i>Applicability: flag CCMs with flagged fishing vessels that "fished" on the RFV in RY</i>	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 AND 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 AND 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. AND 4. Secretariat review of its records does not show any VMS reporting anomalies for CCM's implementation of the Commission standards for WCPFC VMS
		1. Secretariat confirms that each of the CCM flagged vessels is on the FFA Good Standing list OR 2. Secretariat review of its VMS records shows that the flag CCM has provided complete VTAF details AND 3. Secretariat confirmed successful activation of the MTU/ALC

		<i>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.</i>
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Obligation Category	Paragraph and Brief Description	Audit Point(s)
CMM 2014-03 Record of Fishing Vessels SSPs		
Report	Para 2: Submit complete vessel record data to the Secretariat in the specified structure and format, including vessel photographs according to specifications <i>Applicability: flag CCMs wishing to authorize its vessels to fish in the Convention Area beyond its area of national jurisdiction</i>	1. CCM submitted complete vessel record data to the Secretariat AND 2. Vessel record data met the structure and format specifications of Attachment 1 of the CMM AND 3. Vessel photographs met the specifications of Attachment 2 AND 4. Secretariat review of required RFV data submitted by CCM shows that audit points 1, 2, and 3 are complete

Obligation Category	Paragraph and Brief Description	Audit Point(s)
CMM 2015-02 South Pacific Albacore		
Limit	Para 1: Limit number of vessels actively fishing for South Pacific Albacore in area S20S (below 2005 levels or 2002-2004 levels) <i>Applicability: CCMs with fishing vessels actively fishing for SP albacore in the Convention Area S20S; exemptions for SIDS and PT</i> <i>NOTE: The use of the term “actively fishing for” affects the reporting by CCMs on this obligation</i>	1. CCM-reported number of vessels actively fishing for South Pacific Albacore in area S20S is below 2005 levels or 2002-2004 levels AND 2. CCM provided information on its adoption of a national binding instrument that limits the number of CCM’s flagged vessels that can actively fish for SP Albacore in area S20S AND 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.
Report	Para 4: 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 <i>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.</i> <i>NOTE: The use of the term “actively fishing for” affects the reporting by CCMs on this obligation</i>	1. CCM submitted a report that contains the following information: 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: i. Albacore tuna ii. Bigeye tuna iii. Yellowfin tuna iv. Swordfish v. Other billfish vi. Sharks b. Number of CCM flagged vessels actively fishing for SP albacore S20S c. Report covers the relevant RY

AND

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)

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

AND

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.

Obligation Category	Paragraph and Brief Description	Audit Point(s)
CMM 2016-02 Eastern High Seas Pocket		
Limit	Para 6: As of 1 January 2019, all transshipment activities are prohibited <i>Applicability: flag CCM vessels on the RFV</i>	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 AND 2. Secretariat review of its records confirms that no CCM flagged vessel has engaged in transshipment activities in EHSP-SMA since 1 January 2019.

Obligation Category	Paragraph and Brief Description	Audit Point(s)
CMM 2017-02 Port State Measures		
Implementation	**Not previously assessed in CMS; reporting required in AR Pt 2** Para 5: Flag CCM to require its flagged vessels to cooperate with any port CCM <i>Applicability: flag CCMs with vessels using CCM ports that are implementing measures under the Convention and CMM</i>	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 AND 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 AND 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.
	Not previously assessed in CMS; reporting required in AR Pt 2 Para 8: Port CCMs to ensure fisheries inspections are conducted by Government Authorised Inspectors <i>Applicability: CCMs that designate its ports under the CMM and are listed on the WCPFC's record of designated ports</i>	1. CCM submitted a Statement of Implementation 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 AND 2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that fisheries inspections in its ports are conducted by CCM's Government Authorised Inspectors

		AND 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.
	Not previously assessed in CMS; reporting required in AR Pt 2 Para 9-10: Minimum requirement for vessels to be inspected by Port CCMs <i>Applicability: CCMs that designate its ports under the CMM and are listed on the WCPFC's record of designated ports</i>	1. CCM submitted a Statement of Implementation 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 AND 2. CCM submitted a Statement of System or Procedures for Monitoring Compliance 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 AND 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.
	Not previously assessed in CMS; reporting required in AR Pt 2 Para 13-14: Requirement for Inspection report to be provided if inspection is undertaken by Port CCM by request of another CCM under para 11.	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 AND

	<i>Applicability: CCMs that designate its ports under the CMM and are listed on the WCPFC's record of designated ports</i>	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 AND 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.
	Not previously assessed in CMS; reporting required in AR Pt 2 Para 15: Requirement that a flag CCM investigate any alleged IUU fishing, if reported in a Port inspection report <i>Applicability: flag CCMs with vessels on the RFV</i>	1. 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 by its flagged vessels.
	Not previously assessed in CMS; reporting required in AR Pt 2 Para 17: Expected actions by Port CCMs where there is sufficient evidence of IUU fishing <i>Applicability: CCMs that designate its ports under the CMM and are listed on the WCPFC's record of designated ports</i>	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. AND 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.

		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.
Report	Para 19: Requirement to notify and maintain current Port CCM contacts with WCPFC <i>Applicability: CCMs that designate its ports under the CMM and are listed on the WCPFC's record of designated ports</i>	1. Port CCM notified the Commission of its contact point for purposes of this CMM AND 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.
	Para 21: Advice of Port State measures applying in designated ports <i>Applicability: CCMs that designate its ports under the CMM and are listed on the WCPFC's record of designated ports</i>	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.

Obligation Category	Paragraph and Brief Description	Audit Point(s)
CMM 2017-03 Protection of WCPFC ROP Observers		
Implementation	**Not previously assessed in CMS; reporting required in AR Pt 2** Para 3-6: 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 <i>Applicability: flag CCMs with vessels on the RFV that employ WCPFC ROP observers</i>	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 AND 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 AND 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.
	Not previously assessed in CMS; reporting required in AR Pt 2 Para 7-8: Requirements of fishing vessel in the event an observer has been assaulted, intimidated, threatened, or harassed such that their health or safety is endangered <i>Applicability: flag CCMs with vessels on the RFV that employ WCPFC ROP observers</i>	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: 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 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 d. Cooperates fully in any and all official investigations into the incident 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 AND 2. CCM submitted a Statement of System or Procedures for Monitoring Compliance 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 AND 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.
	Not previously assessed in CMS; reporting required in AR Pt 2 Para 9: Facilitation of port entry for fishing vessels and facilitation of safe disembarkation of WCPFC ROP observer <i>Applicability: port CCMs</i>	1. CCM submitted a Statement of Implementation that confirms CCM’s implementation through adoption of a national binding measure that ensures it is facilitation of port entry for fishing vessels safe disembarkation of a WCPFC ROP observer for reasons relating to the observer’s safety or well-being. AND 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 AND 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.
Not previously assessed in CMS; reporting required in AR Pt 2 Para 10: Requirements of flag CCM where identification is made of a possible violation involving assault or harassment of an observer <i>Applicability: flag CCMs with vessels on the RFV</i>	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. AND 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 assault or harassment, where identified by observer providers, and cooperating fully with observer providers AND 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.	
Not previously assessed in CMS; reporting required in AR Pt 2 Para 11: Requirements of CCM national observer providers to notify flag CCMs in the	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	

	event of observer death, cooperate fully in search and rescue, cooperate fully in investigations, and facilitate safe disembarkation of observers where required <i>Applicability: CCM providers of WCPFC ROP personnel</i>	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, will facilitate the safe disembarkation of observers. AND 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. AND 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.
	Not previously assessed in CMS; reporting required in AR Pt 2 Para 12: CCM HSBI and other flagged vessels cooperate in search and rescue operations involving a WCPFC ROP observer <i>Applicability: flag CCMs with authorized HSBI vessels and other flagged vessels on the RFV and operating in the Convention Area</i>	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 cooperate, to the extent possible, in any search and rescue operation involving an observer. AND 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 AND 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.

Obligation Category	Paragraph and Brief Description	Audit Point(s) [for score of COMPLIANT]
CMM 2017-04 Marine Pollution		
Implementation	**Not previously assessed in CMS; reporting required in AR Pt 2** Para 2: No discharging of any plastics (including plastic packaging, items containing plastic and polystyrene) but not including fishing gear <i>Applicability: flag CCMs with vessels on the RFV</i>	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 plastic packaging, items containing plastic and polystyrene) AND 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) AND 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.

Obligation Category	Paragraph and Brief Description	Audit Point(s)
CMM 2018-03 Seabirds		
Implementation	**Not previously assessed in CMS; reporting required in AR Pt 2** Para 1: CCMs to require use of: a) at least two of these three measures: i) weighted branch lines; ii) night setting; iii) tori lines; or b) hook-shielding devices. Annex 1 sets out specifications of these measures. <i>Applicability: CCMs with flagged longline vessels fishing south of 30°S</i>	1. CCM submitted a Statement of Implementation that confirms CCM's implementation through adoption of a national binding measure that requires its flagged longline vessels to use at least two of the three measures in para 1(a), or 1(b), according to the specifications in Annex I of the CMM AND 2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that its flagged longline vessels are using at least two of the three measures in para 1(a), or 1(b), according to the specifications in Annex I of the CMM AND 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.
	Not previously assessed in CMS; reporting required in AR Pt 2 Para 2: CCMs to require use of one of the following mitigation measures: i) weighted branch lines; ii) tori lines; or iii) hook-shielding devices. Annex 1 sets out specifications of these measures.	1. CCM submitted a Statement of Implementation that confirms CCM's implementation through adoption of a national binding measure that requires its flagged longline vessels to use one of the three measures in para 2, according to the specifications in Annex I of the CMM AND 2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that its flagged longline vessels are using one of the three measures in para 2, according to the specifications in Annex I of the CMM AND

	<i>Applicability: CCMs with flagged longline vessels on the RFV fishing in the area 25°S-30°S</i> **Not previously assessed in CMS; reporting required in AR Pt 2** Para 6: Require large-scale longline vessels of 24 meters or more in overall length fishing north of 23°N, to use at least two of the mitigation measures in Table 1, including at least one from Column A; Require small-scale longline vessels less than 24 meters in overall length fishing north of 23°N, to use at least one of the mitigation measures from Column A in Table 1. Annex 1 sets out specifications of these measures. <i>Applicability: CCMs with flagged longline vessels on the RFV and fishing in the area North of 23° North</i>	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. 1. CCM submitted a Statement of Implementation that confirms CCM's implementation through adoption of a national binding measure that requires its flagged large-scale LL vessels >24m LOA to use at least two measures in Table 1, with at least one from Column A of Table 1, according to the specifications in Annex I of the CMM; small scale LL vessels <24m LOA to use at least one measure from Column A of Table 1 AND 2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that its large/small scale longline vessels >24m/<24m LOA are using the relevant measures required in Table 1, according to the specifications in Annex I of the CMM AND 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.
Report	Para 13: Report in AR Pt1 on seabird interactions reported or collected by observers; reporting template in Annex 2. <i>Applicability: flag CCMs with vessels on the RFV</i>	1. CCM provided information in its AR Pt1 using the Annex 2 template in the CMM AND 2. Secretariat confirms receipt of information in the required format AND, IF AVAILABLE 3. Secretariat review of ROP data and seabird interactions by CCMs is matched with a CCM report of seabird interactions

		<i>NOTE: ROP data may not be immediately available to support review of information reported by CCM against this obligation; requires further discussion.</i>
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Obligation Category	Paragraph and Brief Description	Audit Point(s)
CMM 2018-04 Sea Turtles		
Implementation	**Not previously assessed in CMS; reporting required in AR Pt 2** Para 5a: PS vessels fishing for species covered by the Convention to avoid encirclement of sea turtles; Safe handling and release of sea turtles, including those entangled in FADs or other fishing gear and during net roll; carry and employ dip nets for safe handling of sea turtles. <i>Applicability: flag CCMs with PS vessels on the RFV</i>	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 AND 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 AND 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.
	Not previously assessed in CMS; reporting required in AR Pt 2 Para 6: 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 <i>Applicability: flag CCMs with LL vessels on the RFV</i>	1. CCM submitted a Statement of Implementation that confirms CCM's 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 AND 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 AND 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.
	Not previously assessed in CMS; reporting required in AR Pt 2 Para 7a: Ensure that the CCM vessel operators employ or implement at least one of the following three methods to mitigate the capture of sea turtles: - Use only large circle hooks, - Use only finfish for bait. - Use any other measure, mitigation plan or activity that has been reviewed by the Scientific Committee (SC) and the Technical and Compliance Committee (TCC) and approved by the Commission to be capable of reducing the interaction rate (observed numbers per hooks fished) of turtles in shallow-set longline fisheries. <i>Applicability: flag CCMs with LL vessels on the RFV which have determined through establishment of their own operational definitions that their vessels are fishing in a shallow-set manner (para 7(c))</i>	**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** 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 AND 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 AND 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.
Report	Para 2: Report on implementation of CMM in AR Pt 2, including any sea turtle interactions	CCM reported in AR Pt 2 on its implementation of the CMM and any sea turtle interactions by CCM flagged vessels

	<i>Applicability: flag CCMs with vessels on the RFV</i>	
	Not previously assessed in CMS; reporting required in AR Pt 2 Para 5(c) and 7(e): Provide results of reporting under para 5(b) and 7(d) in annual reporting of Scientific Data to be Provided to the Commission <i>Applicability: flag CCMs with vessels on the RFV</i>	CCM submitted information on all PS and LL vessel interactions with sea turtles during fishing operations and confirmation that such interactions were reported to the appropriate CCM authorities

Obligation Category	Paragraph and Brief Description	Audit Point(s)
CMM 2018-05 Regional Observer Program		
Implementation	Para 10: CCMs shall explain to the vessel captain, observer duties relevant to appropriate measures adopted by the Commission <i>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> <i>(i) vessels fishing exclusively on the high seas in the Convention Area, and</i> <i>(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.</i> **These obligations shall take into account 2012-03 02 with respect to the applications of the ROP North of 20N	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) AND 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 duties relevant to Commission measures AND 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.
	Para 15(g): CCMs to ensure vessel operators comply with the Guidelines for the Rights and Responsibilities of Vessel Operators, Captains and Crew <i>Applicability: flag CCMs with fishing vessels on the RFV that "fished" in the previous calendar</i>	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) AND

	<i>year, and within the scope of the Commission ROP</i> <i>(i) vessels fishing exclusively on the high seas in the Convention Area, and</i> <i>(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.</i> <i>**These obligations shall take into account 2012-03 02 with respect to the applications of the ROP North of 20N</i>	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 AND 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.
	Para 6 of Annex C: Minimum 5% coverage rate and reporting requirement for non- PS fisheries <i>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 N20N.</i>	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 AND 2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that its flagged non-PS vessels are achieving a minimum observer coverage rate of 5% AND 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. AND 4. Secretariat review of SPC observer coverage data confirms that the required minimum coverage level was met

Obligation Category	Paragraph and Brief Description	Audit Point(s)
CMM 2018-06 Record of Fishing Vessels		
Report	Para 7: Notification of authorized vessels within timeframe, as well as any changes to authorized vessels on the Record, including removal of authorized vessels by CCM <i>Applicability: flag CCMs</i>	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 AND 2. CCM provided its complete record of authorized vessels within 72 hours before commencement of fishing activities by its vessels AND 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
	Para 9: 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) - Flag CCM responsibility <i>Applicability: flag CCMs who had at least one vessel listed on RFV with 'active' status in RY (even if vessel did not fish in RY)</i>	1. CCM submitted fished/did not fish report using Secretariat template AND 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
Implementation	Para 2: ensure flagged fishing vessels only tranship to/from, engage in bunkering activities with, or are otherwise supported by	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 transhipping to/from, engaging in bunkering activities with,

	other CCM flag vessels, non CCM flag vessels that are on Interim Register, or vessels operated under charter <i>Applicability: flag CCMs with vessels on the RFV</i>	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 AND 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 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 AND 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.
	Para 3: Prohibit fishing by CCM flagged vessels beyond areas of national jurisdiction without appropriate CCM authorization <i>Applicability: flag CCMs</i>	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 AND 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 AND 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.

	Para 4: CCM authorizations for flag vessels to set out specific permissions <i>Applicability: flag CCMs with vessels on the RFV</i>	CCM submitted a Statement of Implementation 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: 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 measures adopted pursuant to it.
	Para 17: Flag CCM to ensure its FVs have been placed on the RFV in 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 <i>Applicability: flag CCMs who had at least one vessel listed on RFV with "active" status in RY (even if vessel did not fish in RY)</i>	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 AND 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 landing HMFS in the Convention Area beyond CCM's national jurisdiction

		AND 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.
	Para 18: prohibit landing at CCM ports or transshipment to its flagged vessels by vessels not entered on the Record or the Register <i>Applicability: flag CCMs with vessels on the RFV and port State CCMs</i>	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 AND 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 and that vessels not on the Record or the Register are not transshipping to CCM's flagged vessels AND 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.

Obligation Category	Paragraph and Brief Description	Audit Point(s)
CMM 2019-03 North Pacific Albacore		
Limit	Para: 2: Limit level of fishing effort for vessels fishing for North Pacific albacore to annual average levels in 2002-2004.	1. CCM-reported level of fishing effort does not exceed its applicable limit AND

	<i>Applicability: flag CCMs with vessels on the RFV fishing north of the Equator</i>	2. CCM provided information on its adoption of a national binding instrument that limits the level of fishing effort by its flagged vessels fishing for NP albacore to CCM's applicable limit AND 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.
Report	Para 3: 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. <i>Applicability: flag CCMs with flagged fishing vessels fishing in the Convention Area north of the equator</i> <i>*WCPFC10 clarified that the reporting responsibility lies with the flag State (not coastal States)</i>	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 AND 2. CCM provided a report on its level of fishing effort by CCM flagged vessels engaged in fisheries directed at albacore north of the equator and the report was in the format of Annex 1

Obligation Category	Paragraph and Brief Description	Audit Point(s)
CMM 2019-04 Sharks		
Report	**Not previously assessed in CMS; reporting required in AR Pt 2** Para 11: Report on implementation of measures in para 8 and 9 for review by TCC <i>Applicability: flag CCMs with vessels on the RFV</i> <i>NOTE: TCC in 2023 will review these requirements and if applicable, make recommendations to the Commission for adoption at the Commission's annual meeting in 2023.</i>	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 AND 2. Report contains a detailed explanation of implementation of paras 8 and 9, including how compliance is being monitored.
	Not previously assessed in CMS; reporting required in AR Pt 2 Para 16: Develop and report on management plans for LL fisheries targeting sharks <i>Applicability: flag CCMs with LL vessels targeting sharks</i>	CCM provided a report in its AR Pt 2 of its management plan for CCM LL vessels targeting sharks
	Para 23: Advise on implementation of CMM in AR Pt 2, in accordance with Annex 2 of CMM <i>Applicability: flag CCMs</i>	1. CCM provided information in its Part 2 report that covers each of the elements set out in Annex 2 of the CMM: 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 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 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 by PS nets including that the required report was submitted to the relevant authority AND 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
Implementation	**Not previously assessed in CMS; reporting required in AR Pt 2** Para 7: Take measures to require all sharks retained on board vessels are fully utilized; ensure practice of finning is prohibited	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

	Para 8: To implement para 7 in [2020, 2021,] and 2022, require vessels to land sharks with fins naturally attached to the carcass Para 9-10: alternative measures are permissible; CCMs that allow alternative measures to be applied by its vessels operating on the high seas to present to TCC for endorsement <i>Applicability: flag CCMs with fishing vessels on the RFV in RY</i>	confirms CCM's implementation of alternative measures through adoption of a national binding measure. AND 2. CCM submitted a Statement of System or Procedures for Monitoring Compliance 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 AND 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.
	Not previously assessed in CMS; reporting required in AR Pt 2 Para 12: take measures to prevent fishing vessels from retaining on board, transshipping, and landing of any fins harvested in contravention of CMM <i>Applicability: flag CCMs with fishing vessels on the RFV in RY</i>	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 retaining, transshipping, landing, or trading in any fins harvested in contravention of this CMM. AND 2. CCM submitted a Statement of System or Procedures for Monitoring Compliance 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 AND 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.
	Not previously assessed in CMS; reporting required in AR Pt 2	1. CCM submitted a Statement of Implementation that confirms CCM's implementation through adoption of a national binding measure that requires its

	Para 13: Take measures to ensure both carcasses and corresponding fins are landed or transshipped together in a manner that allows inspectors to verify <i>Applicability: flag CCMs with fishing vessels on the RFV in RY</i>	flagged vessels to land or transship all shark carcasses with their corresponding fins and in a manner that enables inspectors to verify. AND 2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that its vessels are land or transship all shark carcasses with their corresponding fins and in a manner that enables inspectors to verify. AND 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.
	Not previously assessed in CMS; reporting required in AR Pt 2 Para 14-15: Longline fishing vessels targeting tuna and billfish not to use or carry wire trace as branch lines or leaders; or use branch lines running directly off the LL floats or drop lines (shark lines); CCM to notify the Commission of which option it chose by vessel or by CCM <i>Applicability: flag CCMs with fishing vessels on the RFV in RY</i>	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 Option 1: do not use or carry wire trace as branch lines or leaders, or Option 2: do not use branch lines running directly off the longline floats or drop lines, known as shark lines AND 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 AND 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

		AND 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.
Not previously assessed in CMS; new reporting requirement for 2021 Para 18: 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 <i>Applicability: flag CCMs with fishing vessels on the RFV in RY</i>	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 AND 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 shark is hauled alongside the vessel before being cut free to facilitate species ID AND 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.	
Not previously assessed in CMS; reporting required in AR Pt 2 Para 20: Measures for oceanic whitetip shark and silky shark: <i>Applicability: flag CCMs with fishing vessels on the RFV in RY</i>	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: 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 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 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. AND 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 AND 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.
	Not previously assessed in CMS; reporting required in AR Pt 2 Para 21: Measures for whale sharks <i>Applicability: flag CCMs with fishing vessels on the RFV in RY</i>	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: 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 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 d. Ensure that the safety of the crew remains paramount when employing safe release techniques of whale sharks AND 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 AND 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. AND 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 * 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; *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
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		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
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Obligation Category	Paragraph and Brief Description	Audit Point(s)
CMM 2019-05 Mobulid Rays		
Implementation	**Not previously assessed in CMS; new reporting requirement for 2021** Para 3: Prohibition on targeted fishing of or intentional setting on mobulid rays in the Convention Area <i>Applicability: flag CCMs with vessels on the RFV operating in the high seas and/or EEZs in the Convention Area</i>	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 AND 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 AND 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.
	Not previously assessed in CMS; new reporting requirement for 2021 Para 4, 5, 6, 8, 10: Prohibit retaining on board, transshipping, or landing any part or whole carcass of mobulid rays; prompt and safe release (encourage Annex 1 safe handling practices); if mobulid ray is caught and landed, surrender animal to government authorities after observer collects biological samples <i>Applicability: flag CCMs with vessels on the RFV operating in the high seas and/or EEZs in the Convention Area</i>	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. AND

		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 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. AND 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.
Report	Para 7: Advise on implementation of the CMM in AR Pt 2 <i>Applicability: flag CCMs with vessels operating in the high seas and/or EEZs in the Convention Area:</i>	Covered through submission of Implementation Statements in para 3, 4, 5, 6, 8, and 10

Obligation Category	Paragraph and Brief Description	Audit Point(s)
CMM 2019-06 Compliance Monitoring Scheme		
Report	**Not previously assessed in CMS; reporting requirement AR Pt 2** Para 17: Report progress under a Capacity Development Plan <i>Applicability: CCMs that were assessed as "Capacity Development Plan" for the previous CMR</i>	1. CCM submitted a report in its AR Pt 2 of its progress under its CDP AND 2. Secretariat confirms that the required report has been submitted in AR Pt 2
	Not previously assessed in CMS; reporting requirement AR Pt 2 Para 45: Include any actions taken to address non-compliance identified in previous years' CMRs <i>Applicability: CCMs that received a score of "Non-Compliant" against any obligation in previous years' CMRs</i>	1. CCM submitted information in AR Pt 2 on actions it has taken to address its non-compliance with obligations in previous years' CMRs AND 2. Secretariat confirms that the required information has been provided in AR Pt 2

Obligation Category	Paragraph and Brief Description	Audit Point(s)
CMM 2019-08 Charter Notification		
Report	Para 2: Chartering CCM to notify charter arrangements to WCPFC ED, including specific information; WCPFC ED to immediately notify vessel flag CCM <i>Applicability: Chartering CCMs</i>	1. Chartering CCM provided notification to ED of of which vessels are to be identified as operating pursuant to charter arrangement AND 2. Chartering CCM provided complete information on the vessel(s) it notified as operating under a charter arrangement (confirmed by Secretariat)
	Para 3: Notification of any modifications to previously notified charter arrangements <i>Applicability: Chartering CCMs that notified vessels as operating under charter</i>	1. Chartering CCM provided complete information of any additional vessel(s) to be identified as operating pursuant to charter arrangement OR 2. Chartering CCM provided complete information in respect of any changes made in respect of any chartered vessel previously notified to the WCPFC ED OR 3. Chartering CCM provided notice of termination of any chartered vessel previously notified to the WCPFC ED
	Para 7: Report annually to ED the catch and effort of chartered vessels in the previous year (unless specifically provided in other CMMs) <i>Applicability: Chartering CCMs that notified vessels as operating under charter</i>	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.

Obligation Category	Paragraph and Brief Description	Audit Point(s)
CMM 2020-01 Tropical Tuna		
Limit	Para 25: Limit purse seine effort or catches of skipjack, yellowfin, and bigeye tuna within CCM EEZs. <i>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</i>	- Coastal CCM has notified its relevant EEZ limits to the Commission, or PNA Office has notified the collective PNA+Tokelau effort limit AND - Coastal CCM EEZ limit or PNA+Tokelau collective effort limit has not been exceeded during the relevant Reporting Year AND - 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 AND - 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
	Para 26: High seas purse seine effort limits in the area 20N to 20S. <i>Applicability: China, Chinese Taipei, Ecuador, El Salvador, European Union, Indonesia, Japan, Korea, NZ, Philippines and USA (SIDS flagged vessels are exempt (not chartered vessels))</i>	- CCM HS PS effort limit for the relevant RY has not been exceeded AND - CCM provided information on adoption of a national binding instrument to reflect the CCM HS PS effort limit AND

		3. Secretariat review of relevant data sources matches information provided by CCM with respect to its level of HS PS effort
	Para 39: Limit annual catches of bigeye by longline vessels. <i>Applicability: China, Indonesia, Japan, Republic of Korea, Chinese Taipei, United States (those CCMs listed in Attachment 1 Table 3 of CMM)</i>	1. CCM-reported total bigeye catch does not exceed stated CCM limit AND 2. CCM provided information on its adoption of a national binding instrument that reflects CCM LL BE catch limit AND 3. Secretariat confirms through review of monthly reporting requirement in para 41, 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
	Para 43: Limit annual catches of bigeye by longline vessels to 2,000 tonnes annually for CCMs that caught less than 2,000 tonnes in 2004. <i>Applicability: Australia, European Union, New Zealand, Philippines, [Canada]</i>	1. CCM-reported total bigeye catch does not exceed 2,000 tons AND 2. CCM provided information on a national binding instrument that reflects CCM limit of annual LL BE catches to 2,000 tonnes AND 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
	Para 45: Capacity limits for purse seine vessels larger than 24m with freezing capacity operating between 20N and 20S. <i>Applicability: Australia, Canada, China, European Union, Ecuador, El Salvador, Japan, Korea, New Zealand, Philippines, Chinese Taipei, United States of America</i>	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 AND 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

		AND 3. Secretariat review of ARPt1 data, relevant SPC data, RFV, and other relevant sources confirms that CCM has not exceeded its baseline limit
	Para 47: Capacity limits for longline vessels with freezing capacity targeting bigeye. <i>Applicability: Australia, Canada, China, European Union, Japan, Korea, New Zealand, Philippines, Chinese Taipei, United States of America</i>	1. CCM has identified its baseline limit of number of flagged LL vessels with freezing capacity and targeting bigeye AND 2. CCM report of number of flagged LL vessels with freezing capacity and targeting bigeye does not exceed CCM's identified baseline limit AND 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 AND 4. Secretariat review of ARPt1 data, relevant SPC data, RFV, and other relevant sources confirms that CCM has not exceeded its baseline limit
	Para 48: Capacity limits for ice-chilled longline vessels targeting bigeye and landing exclusively fresh fish. <i>Applicability: China, Japan, Philippines, United States of America</i>	1. CCM has identified its baseline limit of number of flagged ice-chilled LL vessels targeting bigeye and landing exclusively fresh fish AND 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 AND 3. CCM provided information on its adoption of a national binding instrument that limits the number of its ice-chilled LL vessels targeting BE and landing exclusively fresh fish AND

	NOTE: This paragraph was assigned “CMM Review” in 2020 CMR with requests to SC and TCC for further work to support clarification of this obligation Para 51: Limits on total catch of certain other commercial tuna fisheries that take less than 2,000 tonnes of bigeye, yellowfin and skipjack. <i>Applicability: Applies to Indonesia (Handline-large-fish), Japan (pole-and-line fishery) and Philippines (Handline-large-fish)</i>	4. Secretariat review of ARPt1 data, relevant SPC data, RFV, and other relevant sources confirms that CCM has not exceeded its baseline limit 1. CCM report of total catch in its specified “other commercial tuna fishery” does not exceed CCM’s relevant limit for that fishery AND 2. 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 AND 3. Secretariat review of SPC summary data based on CCM data submissions for their respective fisheries confirms that CCM has not exceeded its baseline limit
Implementation	Para 16: Purse seine 3-month FAD closure (1 July to 30 September) in EEZs and high seas. Paras 3-7 in CMM 2009-02: Requires CCM flagged purse seine vessels to abide by the rules for the high seas FAD closure. <i>Applicability: flag CCMs with flagged purse seine fishing vessels that fished in the Convention Area in the previous calendar year N20N and S20S.</i> <i>** exceptions for Members of the PNA that provide a notification to the Commission of</i>	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 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. AND 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 AND

	<i>the domestic vessels to which the FAD closure will not apply (footnote 1 of CMM 2020-01)</i>	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. ---- 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 AND 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
	Para 17: Two additional month high seas FAD closure (April-May or Nov-Dec). <i>Applicability: applies to flag CCMs with flagged purse seine vessels on the RFV.</i> <i>** exceptions for Kiribati flag when fishing in the high seas adjacent to Kiribati EEZ and Philippines operating in HSP1 in accordance with Attachment 2</i>	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 AND 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 vessels adhere to the rules for the high seas FAD closure. AND 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

		AND 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.
	Para 23: Each purse seine vessel is limited to no more than 350 FADs with activated instrumented buoys. <i>Applicability: applies to flag CCMs with flagged purse seine vessels on the RFV</i>	1. CCM submitted a Statement of Implementation that confirms CCM's implementation through adoption of a national binding measure of the requirement to limit its flagged purse seine vessels to no more than 350 FADs with activated buoys AND 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 exceeding the limit of FADs with activated instrumented buoys AND 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.
	Para 27: Not to transfer fishing effort in days fished in the purse seine fishery to areas N20N and S20S. <i>Applicability: flag CCMs with flagged purse seine fishing vessels on the RFV</i>	1. CCM submitted a Statement of Implementation that confirms CCM's implementation through adoption of a national binding measure of the requirement to not transfer fishing effort in days by its purse seine vessels to areas N20N and S20S AND 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 N20N and S20S AND

		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.
Para 31: 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. Paras 8-12 of CMM 2009-02: Requires purse seine vessel operators to follow rules for catch retention. <i>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.</i> <i>**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</i>	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. **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** AND 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. AND 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.	
Para 33: Purse seine vessels are not to operate under VMS manual reporting during FAD closure periods	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 AND	

	<i>Applicability: flag CCMs with purse seine fishing vessels that "fished" in the previous calendar year between 20N and 20S</i>	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 AND 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. AND 4. 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.
	Para 34: 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. <i>Applicability: flag CCMs with flagged purse seine fishing vessels that "fished" in the previous calendar year between 20N and 20S, and within the scope of the Commission ROP</i> <i>(i) vessels fishing exclusively on the high seas in the Convention Area, and</i>	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. AND 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. AND 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. AND

	<i>(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.</i>	4. Secretariat review of its records of ROP placement levels and SPC advice on level of ROP coverage confirms CCM implementation.
	Para 35: Requires CCM flagged purse seine vessels fishing solely within CCMs national jurisdiction within the area bounded by 20N and 20S to carry an observer. <i>Applicability: flag CCMs with flagged purse seine fishing vessels that "fished" in the previous calendar year between 20N and 20S</i>	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. AND 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. AND 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.
	Att 2 paras 5-6: 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. <i>Applicability: Philippines only</i>	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. AND 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.

		AND 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. 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.
	Att 2 para 8: Monitor and account for all port landings by vessels operating in HSP1-SMA <i>Applicability: Philippines only</i>	1. CCM (PI) submitted a Statement of Implementation that confirms its implementation through adoption of a national binding measure of the requirement to monitor and account for all port landings by its vessels operating in HSP1-SMA AND 2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and accounting for all port landings by each of its flagged PS vessels that operating in HSP1-SMA AND 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.
Reporting	Para 17: Notification of which two sequential months (April-May or November-December) that CCM-flagged purse seine vessels will not deploy, service or set on FADs in the high seas. Note: If CCM provided notification in 2018 when the notice was first required and	Covered in Para 17 IMPLEMENTATION requirement

the selection of sequential months has not changed, the CCM shall be considered as having met the reporting obligation [in subsequent years in which the notification is required.]	
Para 41: monthly reports of the amount of bigeye catch by CCM-flagged vessels by the end of the following month. <i>Applicability: China, Indonesia, Japan, Republic of Korea, Chinese Taipei, United States</i>	1. CCM submitted 12 separate, monthly reports to the Secretariat on the amount of bigeye catch by CCM-flagged vessels in the previous RY AND 2. Secretariat confirms that it received 12 separate, monthly reports on bigeye catch for each applicable CCM
Para 52: Operational level catch and effort data for EEZ and high seas S20N. <i>Applicability: China, Japan, Korea, Philippines, and Chinese Taipei</i>	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 AND 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
Para 54: 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.	1. CCM provided 1x1 aggregated catch and effort data for its flagged vessels that operate in EEZs and on the high seas N20N AND IF THE CCM WAS REQUESTED, 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.

	<i>Applicability: China, Indonesia, Japan, Korea, Philippines, and Chinese Taipei</i>	
	Att 2, para 3: Vessel Entry/Exit reports for HSP1-SMA in the required format. <i>Applicability: Philippines only</i>	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: VID/Entry or Exit: Date/Time; Lat/Long AND 2. Secretariat review of VMS alerts for CCM vessels operating in HSP1-SMA against received entry/exit reports does not show any discrepancies

Obligation Category	Paragraph and Brief Description	Audit Point(s)
CMM 2020-02 Pacific Bluefin Tuna		
Limit	Para 2(1): 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. <i>Applicability: applies to all CCMs with fishing vessels fishing for Pacific bluefin in the convention area N20N; SIDS/PT exempt</i>	1. CCM-reported level of effort by its flagged vessels fishing for PBT N20N does not exceed its baseline level AND 2. CCM submitted required reports on effort levels and implementation actions taken to ensure its level was not exceeded AND 3. Secretariat review of available operational level catch and effort data does not conflict with information reported by the CCM
	Para 2(2): Reduce all catches of Pacific bluefin tuna <30kg to 50% of the 2002– 2004 annual average levels. Any overage or underage of the catch limit shall be deducted from or may be added to the catch limit for the following year. The maximum underage that a CCM may carry over in any given year shall not exceed 5% of its annual initial catch limit. <i>Applicability: CCMs with fishing vessels fishing for Pacific bluefin in the convention area N20N; SIDS/PT exempt</i>	1. CCM-reported level of catch of Pacific bluefin tuna <30kg by its flagged vessels does not exceed 50% of CCMs 2002-2004 identified baseline level AND 2. CCM submitted required reports on catch levels and implementation actions taken to ensure catch level was not exceeded AND 3. If CCM had an underage from the previous RY, it did not carry over more than 5% of its annual initial catch limit to the current RY <i>NOTE: The WCPFC Secretariat, and SPC, have limited CCM catch data for PBF.</i>

	Para 3: Ensure that all catches of PBT >30kg are not increased from 2002-2004 annual average levels; any overage or underage deducted from or added to following year catch limit; maximum underage to carry over not to exceed 5% of annual catch limit; <i>Applicability: CCMs with fishing vessels fishing for Pacific bluefin in the convention area N20N; SIDS/PT exempt</i>	1. CCM-reported level of catch of Pacific bluefin tuna >30kg by its flagged vessels does not exceed CCMs 2002-2004 baseline level; any CCM with a baseline catch of 10t or less did not exceed catch of 10t. AND 2. CCM submitted required reports on catch levels and implementation actions taken to ensure catch level was not exceeded AND 3. If CCM had an underage from the previous RY, it did not carry over more than 5% of its annual initial catch limit to the current RY
Implementation	Para 7: CCMs catching juvenile PBT to take measures to monitor and obtain prompt results of recruitment of juveniles <i>Applicability: flag CCMs catching juvenile PBT</i>	1. CCM submitted a Statement of Implementation that confirms CCM's implementation through adoption of a national binding measure that its vessel operators are monitoring and obtaining prompt results of recruitment of juvenile PBT AND 2. CCM submitted a Statement of System or Procedures for Monitoring Compliance that describes how CCM is monitoring and ensuring that CCM vessel operators are monitoring and obtaining prompt results of recruitment of juvenile PBT AND 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.
Report	Para 5: 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.	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 AND 2. WCPFC ED confirms reports was submitted and complete

	<i>Applicability: CCMs with fishing vessels fishing for Pacific bluefin in the convention area N20N</i>	
	Para 11: Report annually to WCPFC ED on measures taken to implement paragraphs 2, 3, 4, 5, 7, 8, 10 and 13 of this CMM; monitor the international trade of the products derived from Pacific bluefin tuna and report the results annually to WCPFC ED; to Executive Director by 31 July annually. The Northern Committee shall annually review those reports CCMs submit pursuant to this paragraph and if necessary, advise a CCM to take an action for enhancing its compliance with this CMM. <i>Applicability: flag CCMs with fishing vessels that have taken Pacific bluefin tuna or are fishing for Pacific bluefin tuna in the previous calendar year</i>	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

Obligation Category	Paragraph and Brief Description	Audit Point(s)						
Scientific Data Provision Requirements								
Report	SciData01: Annual Catch Estimates <i>Applicability: flag CCMs</i>	Assessment is in accordance with Tier-Scoring Evaluation Level: - A Tier Score of III = COMPLIANT - A Tier Score of I or II = NON-COMPLIANT/PRIORITY <table><tr><td>I</td><td>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.</td></tr><tr><td>II</td><td>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.</td></tr><tr><td>III</td><td>Data have been provided, there are no gaps in the data provided and the coverage of data is according to the requirements.</td></tr></table>	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.
	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.					
	SciData02: Number of Active Vessels <i>Applicability: flag CCMs</i>							
SciData03: Operational Level Catch and Effort Data <i>Applicability: flag CCMs</i>								
SciData05: Size Composition Data <i>Applicability: flag CCMs</i>								

Attachment A

List of Obligations

GREEN = has Draft AP BLUE = does not have draft AP

Highlighted = not previously assessed in CMS; current reporting requirement

Highlighted = not previously assessed in CMS; no current reporting requirement

CMM and Paragraph	Comment
Vessel Markings and Specifications	
CMM 2004-03 02	
CMM 2004-03 03	
Striped Marlin in the SW Pacific	
CMM 2006-04 01	
CMM 2006-04 04	AR Pt1 Add
HS Boarding and Inspection	
CMM 2006-08 07	
CMM 2006-08 30	
CMM 2006-08 32	
CMM 2006-08 33 and 36	
CMM 2006-08 40	
CMM 2006-08 41	
Driftnets on HS	
CMM 2008-04 02	Not previously assessed; AR Pt2 reporting currently required
CMM 2008-04 05	
HS FAD and Catch Retention	
CMM 2009-02 03-07	
CMM 2009-02 08-12	
Swordfish	
CMM 2009-03 01	
CMM 2009-03 02	
CMM 2009-03 03	
CMM 2009-03 08	AR Pt1 Add
Data Buoys	
CMM 2009-05 01	Not previously assessed
CMM 2009-05 03	Not previously assessed
CMM 2009-05 05	Not previously assessed
Transshipment	
CMM 2009-06 11	
CMM 2009-06 13	
CMM 2009-06 29	
CMM 2009-06 34	
CMM 2009-06 35 a (ii)	
CMM 2009-06 35 a (iii)	
CMM 2009-06 35 a (iv)	

CMM 2009-06 35 a (v)	Not previously assessed
Vessels without nationality	
CMM 2009-09 05	Not previously assessed
North Pacific Striped Marlin	
CMM 2010-01 05	
CMM 2010-01 08	
IUU List	
CMM 2010-06 22	covered through IUU vessel submissions
Purse Seine Activity on Cetaceans	
CMM 2011-03 01	
CMM 2011-03 02-03	Not previously assessed
CMM 2011-03 05	
ROP N20N	
CMM 2012-03 02	ROP coverage covered in other CMM obligations
HS Catch and Effort Reporting	
CMM 2013-05 01	
CMM 2013-05 02	
CMM 2013-05 03	Not previously assessed
CMM 2013-05 04	Not previously assessed
New Proposal Criteria	
CMM 2013-06 01	
CMM 2013-06 02	
CMM 2013-06 03	Not previously assessed; No current reporting requirement
CMM 2013-06 04	
Special Requirements SIDS/PT	
CMM 2013-07 01-03	
CMM 2013-07 04-05	
CMM 2013-07 06-07	
CMM 2013-07 08-09	
CMM 2013-07 10-11	
CMM 2013-07 12-18	
CMM 2013-07 19	
VMS	
CMM 2014-02 04	
CMM 2014-02 9a	
CMM 2014-02 9a VMS SSPs 2.8	
CMM 2014-02 9a VMS SSPs 5.4 - 5.5	VMS reporting in the event of malfunction
CMM 2014-02 9a VMS SSPs 7.2.2	
CMM 2014-02 9a VMS SSPs 7.2.4	covered in 7.2.2
CMM 2014-02 9a VMS SSPs 7.2.5	report in the event of non-compliance
RFV SSPs	
CMM 2014-03 02	
South Pacific Albacore	
CMM 2015-02 01	

CMM 2015-02 04	AR Pt1 Add
Eastern High Seas Pocket	
CMM 2016-02 06	
Port State Measures	
CMM 2017-02 05	Not previously assessed
CMM 2017-02 08	Not previously assessed
CMM 2017-02 09-10	Not previously assessed
CMM 2017-02 13-14	Not previously assessed
CMM 2017-02 15	Not previously assessed
CMM 2017-02 17	Not previously assessed
CMM 2017-02 19	Not previously assessed
CMM 2017-02 21	Not previously assessed
Observer Safety	
CMM 2017-03 03-06	Not previously assessed
CMM 2017-03 07-08	Not previously assessed
CMM 2017-03 09	Not previously assessed
CMM 2017-03 10	Not previously assessed
CMM 2017-03 11	Not previously assessed
CMM 2017-03 12	Not previously assessed
Marine Pollution	
CMM 2017-04 01	...encourage
CMM 2017-04 02	Not previously assessed
CMM 2017-04 03-07	...encourage
CMM 2017-04 08	...support as appropriate
CMM 2017-04 09-11	...encourage
Seabirds	
CMM 2018-03 (resolves 02)	...should report
CMM 2018-03 01	Not previously assessed
CMM 2018-03 02	Not previously assessed
CMM 2018-03 06	Not previously assessed
CMM 2018-03 13	
Sea Turtles	
CMM 2018-04 02	
CMM 2018-04 05a	Not previously assessed
CMM 2018-04 05b	
CMM 2018-04 05c	Not previously assessed
CMM 2018-04 06	Not previously assessed
CMM 2018-04 07a	Not previously assessed
CMM 2018-04 07c	Covered with 7a draft audit point
CMM 2018-04 07d	
CMM 2018-04 07e	Not previously assessed
ROP	
CMM 2018-05 07	
CMM 2018-05 08	required observer coverage levels; covered in species management CMMs

CMM 2018-05 09		
CMM 2018-05 10		
CMM 2018-05 11	provision of observer reports	
CMM 2018-05 14	nomination of ROP Coordinator	
CMM 2018-05 15 (g)		
CMM 2018-05 Annex C 04	from 31-12-08, sub-regional/natl programs part of ROP	
CMM 2018-05 Annex C 06		
CMM 2018-05 Annex C 08	covered in other CMMs	
Record of Fishing Vessels		
CMM 2018-06 02		
CMM 2018-06 03		
CMM 2018-06 04		
CMM 2018-06 07		
CMM 2018-06 09		
CMM 2018-06 11	CCMs to report if they're unable to obtain an IMO or LR number	
CMM 2018-06 16	annual report on implementation of obligations; covered throughout	
CMM 2018-06 17		
CMM 2018-06 18		
NP Albacore		
CMM 2019-03 02		
CMM 2019-03 03	AR Pt1 Add	
Sharks		
CMM 2019-04 07-10	Not previously assessed	
CMM 2019-04 11	Not previously assessed	
CMM 2019-04 12	Not previously assessed	
CMM 2019-04 13	Not previously assessed	
CMM 2019-04 14-15	Not previously assessed	
CMM 2019-04 16	Not previously assessed	
CMM 2019-04 18	Not previously assessed; New AR Pt2 reporting requirement	
CMM 2019-04 20	Not previously assessed	
CMM 2019-04 21	Not previously assessed	
CMM 2019-04 23	Not previously assessed	
Mobulid Rays		
CMM 2019-05 03	Not previously assessed; New AR Pt2 reporting requirement	
CMM 2019-05 04-06, 08, 10	Not previously assessed; New AR Pt2 reporting requirement	
Compliance Monitoring Scheme		
CMM 2019-06 17	Not previously assessed	
CMM 2019-06 45	Not previously assessed	
Charter Notification		
CMM 2019-08 02		
CMM 2019-08 03		
CMM 2019-08 07		
Tropical Tuna		
CMM 2020-01 16		
CMM 2020-01 17		

CMM 2020-01 23
 CMM 2020-01 25
 CMM 2020-01 26
 CMM 2020-01 27
 CMM 2020-01 31
 CMM 2020-01 33
 CMM 2020-01 34
 CMM 2020-01 35
 CMM 2020-01 39
 CMM 2020-01 43
 CMM 2020-01 45
 CMM 2020-01 47
 CMM 2020-01 48
 CMM 2020-01 51
 CMM 2020-01 52
 CMM 2020-01 54
 CMM 2020-01 Att 2 03
CMM 2020-01 Att 2 04
 CMM 2020-01 Att 2 05-06
 CMM 2020-01 Att 2 08

PI report sightings of any vessels

Pacific Bluefin Tuna

CMM 2020-02 02 (1)
 CMM 2020-02 02 (2)
 CMM 2020-02 03
 CMM 2020-02 05
 CMM 2020-02 07
 CMM 2020-02 11

Convention

Article 5 (j)	Implement and enforce CMMs through effective MCS
Article 22 (4)	Commission cooperation with IATTC
Article 23 2 (c)	Information on steps taken to implement CMMs
Article 23 (3)	Measures adopted in areas under national jurisdiction
Article 23 (4)	Measures adopted for regulating flagged fishing vessels
Article 23 (5)	Control of nationals; cooperate in investigations; reporting
Article 24 (3)	Fishing authorizations
Article 25 (2)	Respond to requests to investigate
Article 25 (8)	Submit annual statement of compliance measures
Article 25 (11)	Deter IUU fishing vessels
Article 27	Port state measures

Data Rules and Procedures

MCS 44	Domestic measures on data confidentiality; status of investigations
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Scientific Data Provision

SciData 01
 SciData 02
 SciData 03

SciData 05

Total Obligations with APs = 158

Omitted Obligations from APs = 60

Total Obligations = 218

Attachment B

DRAFT Guidelines for Required Statements Under Implementation Obligations

1. Statement of Implementation (#1)

The ***Statement of Implementation*** shall reference a national binding instrument that the CCM has adopted to ensure that its relevant parties (vessel masters, vessel owners, national authorities, nationals, etc) adhere to an obligation. CCMs shall ensure that the Statement of Implementation describes how its national binding instrument requires its relevant nationals or national authorities to abide by the obligation. CCMs shall provide an electronic link to the relevant national binding instrument or provide it as an attachment through the required reporting mechanism (AR Pt 1, AR Pt 2, direct to ED, etc).

2. Statement of System of Procedures to Monitor Compliance (#2)

The ***Statement of a System of Procedures to Monitor Compliance*** shall reference national tools or programs, such as a national VMS, reporting requirement, or national inspection process, that demonstrates how the CCM is monitoring compliance by its relevant national parties with the requirement or obligation.

3. Statement of System of Procedures to Respond to Non-Compliance and Actions Taken in Relation to Potential Infringements (#3)

The ***Statement of a System of Procedures to Respond to Non-Compliance and Actions Taken in Relation to Potential Infringements*** (Penalties and Investigations) shall reference national legislation, regulation, or other national binding instrument that reflects an appropriate response to instances of non-compliance by the CCM's relevant national parties, i.e. fines, revocation of license, etc. This ***Statement*** shall also provide a description of the steps taken by the CCM in the event that potential infringements by its relevant national parties arise, i.e., a general description of a national investigative process.

Attachment C

DRAFT Proposed Amendment to CMM 2019-06, Paragraph 7(ii)(b)

The current language in CMM 2019-06 paragraph 7(ii)(b) first appeared in CMM 2018-07 when the CMS still included a compliance status of “Flag State Investigation” (FSI). The last sentence in para 7(ii)(b) implies a connection between compliance under the CMS review process and information in the WCPFC Secretariat’s compliance case file system (CCFS).

Paragraph 7(ii)(b) of CMM 2019-06 currently reads, as follows:

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 with 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.

In its current form, the language presents confusion about which “potential infringements” are referenced, which increases the potential conflict of the treatment of cases in the CCFS under the revised CMS process. For example, if the text was taken to be a reference to the cases in the CCFS, then the process would essentially be returning to a review of status of flag State investigations. In addition, it would further exacerbate the imbalance of the CMS toward reviewing compliance of the purse seine fishery, where data collection is the strongest. This is counter to the purpose of the CMS and is not reflective of the Commission’s overarching objectives that cover all fisheries of the western and central Pacific Ocean.

In 2019, the Commission adopted a revised CMS measure at CMM 2019-06 which removed the FSI status and TCC’s review of specific alleged violations in the WCPFC Secretariat’s CCFS to determine a compliance score for CCMs. But the language in para 7(ii)(b) was not updated at that time to clarify the removal of an FSI status in the CMS.

In order to clarify the information requirement in para 7(ii)(b) and reflect the change in the CMS compliance review and status (no more FSI), the language should be amended as follows:

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 with persons with these binding measures, and a system or procedures to take action in relation to potential infringements and respond to instances of non-compliance.

This formulation is also consistent with the preceding language in para 7(ii)(b) and 7(ii)(a) which requires information on national systems and procedures for implementation, monitoring, and responding to non-compliance. Under this formulation, it is envisioned that CCMs would only need to provide Implementation Statements once and submit updates as and when appropriate, which is the current procedure for IMPLEMENTATION obligations.

Attachment D

DRAFT Audit Points Checklist for Proposed New Obligations (“Audit Points Checklist”)

(To be completed by proponents of new measures and attached to new proposals. This checklist should not be confused with the “2013-06 Checklist”, which is specific to impacts of new proposals on SIDS.)

1. To whom does the obligation apply? Set out any proposed exceptions or exclusions.

☐ All CCMs ☐ Flag CCMs ☐ Some CCMs - if so, which CCMs?

2. What is the scope of the new obligations (i.e., does it apply to a particular geographical area, fishery, stock, species of special interest?)

3. Are there existing obligations that should be assessed in combination with any of the proposed new obligations? If so, name the CMM and paragraph(s), or other Commission obligation.

4. Which proposed new obligations will require submission of Reports or Implementation Statements, impose Limits, or have Deadlines? Please fill out the relevant section(s) for each of the proposed new obligations.

I. Deadline

Specify what is required and by what deadline:

II. Report

Specify the type of information that is required, including any specific formats or templates to be used, and whether the information must be complete (100%) or a sub-set of information is sufficient to meet the proposed objective:

Is this information already provided wholly or in part through any other data submission requirement, i.e. operational level catch and effort data?

If no, specify the proposed reporting mechanism to be used for submission of new required information (i.e., Annual Report Part 1, Annual Report Part 2, direct to WCPFC Secretariat, other)

Can the information provided be verified through another source? If yes, specify what other data or information source should be used:

III. Implementation

In addition to the required Implementation Statements, list any additional information required to demonstrate CCM's implementation with the proposed new requirement:

Describe any data or other information that can be reviewed by the WCPFC Secretariat to confirm or verify implementation:

IV. Quantitative Limit

Specify the proposed CCM-level or Collective limit:

Specify what verifiable data shall be provided by CCM to confirm its adherence to the limit:

Specify what data sources are available to the WCPFC Secretariat to review and confirm CCM's reported limit:

V. Other

If none of the other categories are appropriate:

Specify the nature of the obligation:

Specify how compliance is to be assessed:

Potential process for considering proposed audit points alongside new proposals

A process for reviewing the audit points checklist ("AP Checklist") has not yet been discussed. The purpose of the checklist is for proponents of new obligations to identify what they see as being the appropriate criteria or performance standard by which compliance should be assessed against the new obligations. This process will assist in identifying data gaps, potential duplication of reporting, and existing measures that might be linked to new obligations.

A process for considering proposed audit points for proposed new obligations could go as follows:

Step 1: Proponent of the proposed new obligation submits a completed AP Checklist at the same time as the proposed new obligation(s) is submitted.

Step 2: Where proposed new obligation(s) undergoes further discussion and negotiation, the AP Checklist remains attached to the proposal and is also considered throughout the iterative process.

Step 3: If proposed new obligation(s) reaches the stage of finalization for adoption, the lead CCM on finalizing the proposed new obligation also updates the AP Checklist to reflect the final proposed obligation(s).

Step 4: The proposed audit points are adopted as part of the final proposed new obligation(s) and attached to the final CMM, or in the case of a Commission decision that is not reflected in a CMM, the AP is posted on the appropriate webpage of the WCPFC website.