



Introduction to the Compliance Monitoring Scheme and the associated annual reporting requirements

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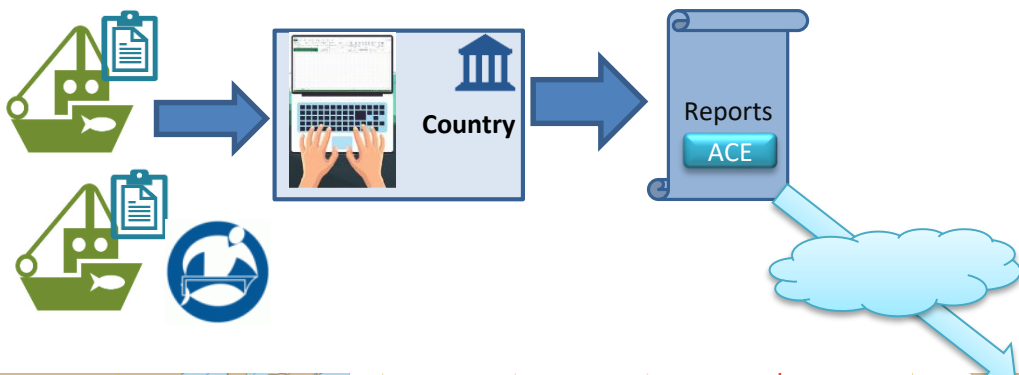
Presentation to Remote SPC/FFA Tuna Data Workshop

7 April 2020

This presentation aims to provide TDW participants with:

- 1. Introduction to the WCPFC CMS**
- 2. Updates on suggestions to streamline annual reporting**
- 3. Overview of this years AR Pt 1 Addendum**
- 4. Reporting reminders and key dates**

What is the link between the TDW and the WCPFC?



- TDW supports national fishery data management and assists countries with the development of national Annual Catch and Effort (ACE) Tables

ACE estimates help to check Scientific Data submissions & form part of WCPFC annual reporting

- WCPFC is the tuna RFMO that is responsible for conservation management of highly migratory fish stocks in the WCPO
- 26 Member countries sit as the governing body of WCPFC and collectively take decisions
- Conservation and management measures specify fishery rules including *inter alia* quantitative fishery limits, MCS measures and reporting requirements



CMM

for CMS

CMM 2019-06

Compliance Monitoring Scheme (CMS)

Purpose & Guiding Principles



Effectiveness

To ensure that CCMs implement and comply with obligations arising under the Convention and Conservation and Management Measures adopted by the Commission.



Efficiency



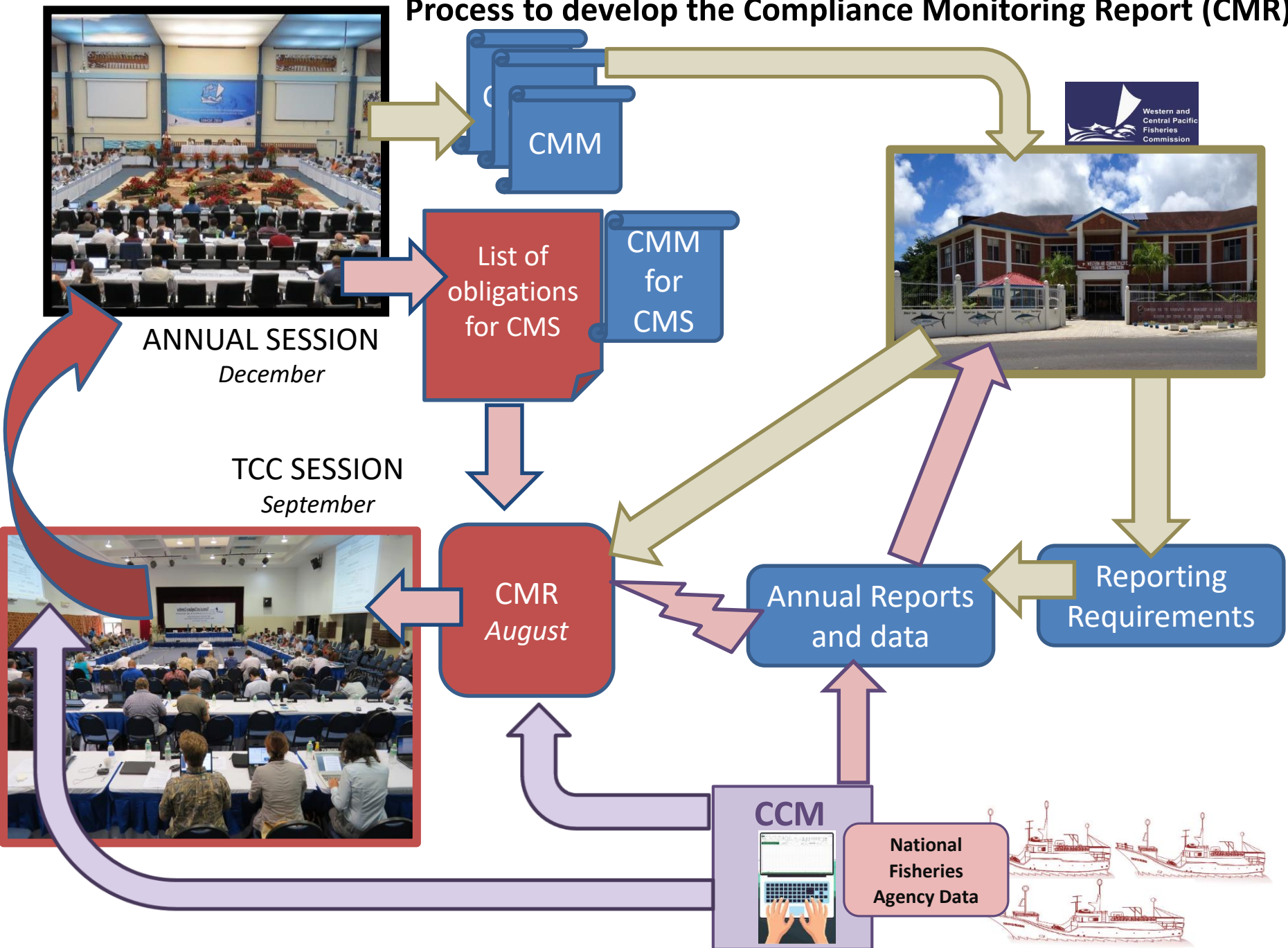
Fairness

...and also to assess flag CCM action in relation to alleged violations by its vessels, not to assess compliance by individual vessels.



**Cooperation towards
compliance**

Process to develop the Compliance Monitoring Report (CMR)



CMM

for CMS

CMM 2019-06

2020: A new CMS measure

CMM 2019-06

Annex I Compliance Scores

- Compliant
- Non-Compliant
- Priority Non-Compliant
- Capacity Assistance Needed (CAN)

~~1. Flag State Investigation~~

Four key amendments made to CMM 2018-07:

- 3. Expiry on 31 December 2021**
unless the Commission decides to make other refinements or adjustments

Online Compliance
Case File System

Aggregated Summary
Tables to be prepared
by the Secretariat

TCC

Provisional CMR
&
Final CMR

2. ★

4. Continuation of multi-year commitment to CMS future work tasks

to enhance the CMS, with the aim of making it more efficient and effective by streamlining processes

CMM

for CMS

CMM 2019-06



2020: CMS-IWG

Chair: Dr Robert Day (Canada)

Task: work virtually to progress work intersessionally to undertake the CMS

Future Work, including on audit points and the risk-based framework

(CMM 2019-06 para 46)



Efficiency



Effectiveness

2019:

✓ Process for assessing CCMs response to instances of non-compliance

✓ Comprehensive review of reporting requirements, including removing duplicative reporting and ensuring Commissions data needs are met

TCC15-2019-10

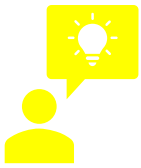
2020:

- Development of audit points for existing CMMs, and checklist for development of audit points for future CMMs
- Explore investment in technology solutions to facilitate improvements to the compliance case file system

Circular 2020/13

2020 - 2021:

- Development of a risk-based assessment framework to inform compliance assessments
- Development of a corrective actions to encourage and incentivize compliance
- Development of guidelines for the participation of observers in closed meetings of the Commission



Streamlining annual reporting

(Discussion paper: TCC15-2019-10 + Circular 2019/36 & SC15-ST-WP06)

Reviewed all the annual reporting requirements of the Commission



TECHNICAL AND COMPLIANCE COMMITTEE
Fifteenth Regular Session
25 September – 1 October 2019
Pohnpei, Federated States of Micronesia



STREAMLINING WCPFC REPORTING REQUIREMENTS
DISCUSSION PAPER

- A TCC Workplan 2019 – 2021 project related to the WCPFC Compliance Monitoring Scheme

WCPFC-TCC15-2019-10¹
20 September 2019

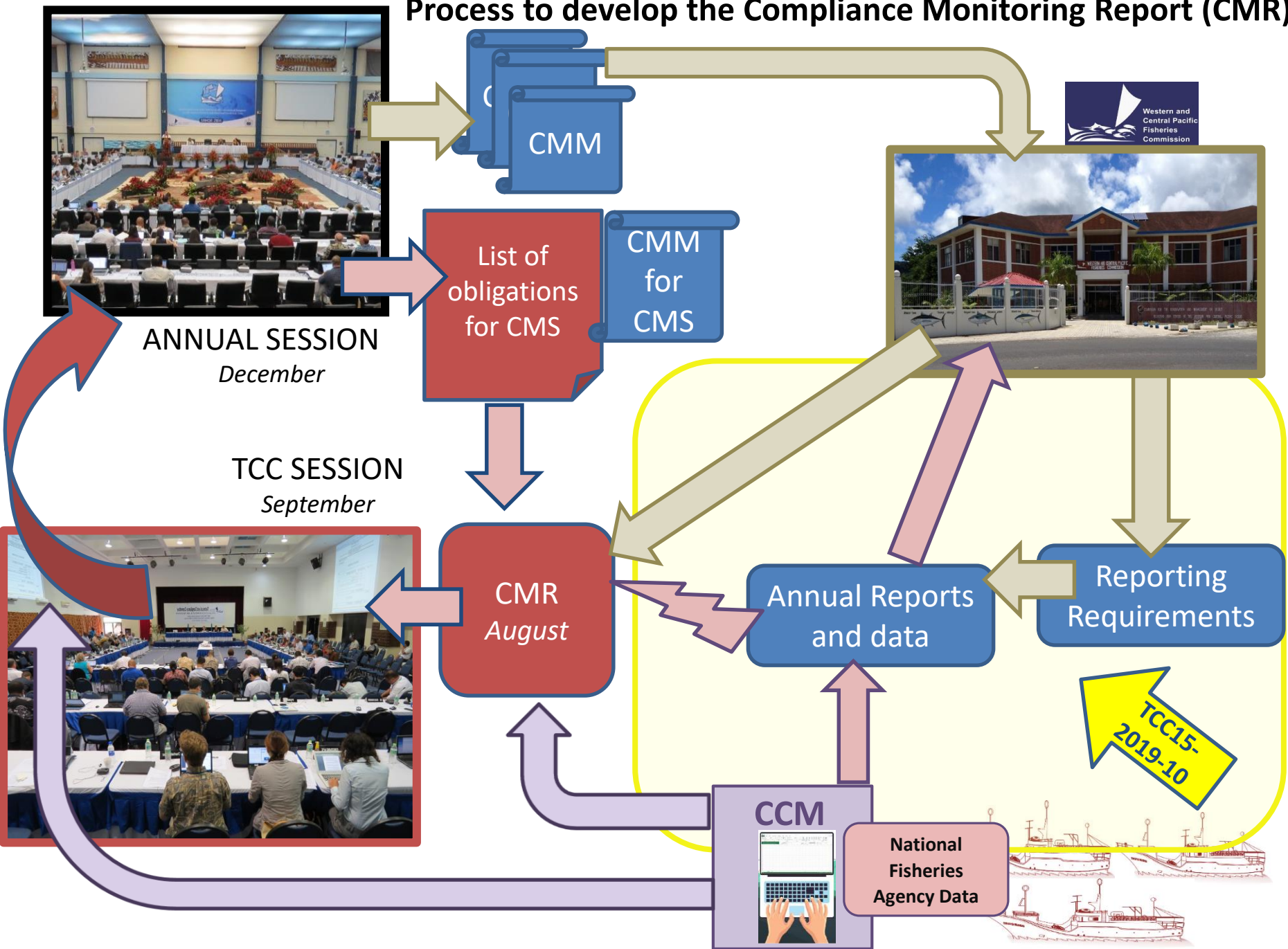
Prepared by the Secretariat

with the view to streamline them and avoid duplicative reporting

and consistent with efforts to enhance the  **Efficiency** and  **Effectiveness** of the CMS

In 2019, the paper was the basis for TCCs consideration of the Comprehensive review of reporting CMS future task
→ Two main outcomes from WCPFC16 (Dec 2019)

Process to develop the Compliance Monitoring Report (CMR)





Streamlining annual reporting

(Discussion paper: TCC15-2019-10)

AR Part 2 Reporting

Some key points:

- **Reporting on Quantitative Limits**

- CCMs should include in annual reports supporting details that confirm a quantitative limit was not exceeded
- If a CCM is not subject to a limit and is fully meets obligation to provide data, they shouldn't have to provide reports related to monitoring implementation of limits

- **Reporting on Implementation-type obligations**

- Legislation and regulations don't change very often
- Prior year statements of implementation should be able to be reconfirmed in future Annual Reports (rather than need to be repeated verbatim each year)

- **Where it is necessary to report certain data and information on an annual basis**

- established templates and standards and where available online direct-entry and/or electronic reporting IT solutions should be used to assist CCMs and the Secretariat in managing these reports



Effectiveness



Efficiency



Fairness

WCPFC16 Outcome 1.

task Secretariat to progress certain suggestions from

TCC15-2019-10 related to **Annual Report Part 2**

<https://intra.wcpfc.int>

■ AR Pt2 (Prior year obligations)

Has been pre-populated with CCM responses submitted from RY2018 about implementation of obligations that applied previously

■ AR Pt2 (2019 Specific)

Contains specific reporting requirements for RY2019, including reporting on new obligations that applied for first time in RY2019

- *Implementation – new obligations introduced in 2019*
- *Quantitative limits* ★
- *Reporting checklist* ★
- *Required report: CMM 2013-07 para 19*
- *Required reports: MCS, compliance and fishing activities*

ARP2 Previously Responded

new item

View by Measure Print View Print view +notes Find an item SAVE THIS VIEW

✓	Edit	SeqNo	REQUIREMENT	REQUIREMENT: Brief Description	Implemented?	Further Information	CCM	Previous Requirement
			MEASURE	(CMM 2004-03) MARKING AND IDENTIFICATION OF FISHING VESSELS	(2)			
			MEASURE	(CMM 2006-08) HIGH SEAS BOARDING AND INSPECTION PROCEDURES	(4)			
			MEASURE	(CMM 2008-03) MITIGATING THE IMPACT OF FISHING ON SEA TURTLES	(8)			
			MEASURE	(CMM 2008-04) PROHIBIT THE USE OF LARGE SCALE DRIFTNETS ON THE HIGH SEAS OF THE CONVENTION AREA	(1)			
			MEASURE	(CMM 2009-02) HIGH SEAS FAD CLOSURES AND CATCH RETENTION RULES	(3)			
			MEASURE	(CMM 2009-03) SWORDFISH	(1)			
			MEASURE	(CMM 2009-05) PROHIBITING FISHING ON DATA BUOYS IN THE HIGH SEAS	(3)			
			MEASURE	(CMM 2009-06) REGULATION OF TRANSHIPMENT	(1)			
			MEASURE	(CMM 2010-06) CMM TO ESTABLISH A LIST OF VESSELS PRESUMED TO HAVE CARRIED OUT IUU FISHING	(1)			
			MEASURE	(CMM 2010-07) SHARKS	(3)			
			MEASURE	(CMM 2011-03) PROTECTION OF CETACEANS FROM PURSE SEINE FISHING	(3)			
			MEASURE	(CMM 2011-04) OCEANIC WHITETIP SHARKS	(2)			
			MEASURE	(CMM 2012-03) IMPLEMENTING ROP BY VESSELS N 20N	(1)			

Circular
2020/16

ARP2 2019

new item

View by Section Print View Print view +notes Find an item SAVE THIS VIEW

✓	Edit	SeqNo	REQUIREMENT	REQUIREMENT: Brief Description	Implemented?	Further Information	CCM
			SECTION	IMPLEMENTATION: NEW OBLIGATIONS INTRODUCED IN 2019	(4)		
			SECTION	QUANTITATIVE LIMIT: CCM-LEVEL OR COLLECTIVE	(19) ★		
			SECTION	REPORTING CHECKLIST	(27) ★		
			SECTION	REQUIRED REPORT: CMM 2013-07 PARA 19 SPECIAL REQUIREMENTS OF SIDS + T	(6)		
			SECTION	REQUIRED REPORT: MCS, COMPLIANCE AND FISHING-RELATED ACTIVITIES	(9)		

AR Pt 1
Addendum



Streamlining annual reporting

(Discussion paper: TCC15-2019-10)

Reporting related to Scientific Data and Annual Report Part 1

Some key points:

- **Operational level catch and effort data submissions have improved**

- If a CCM is fully meeting their obligation to submit operational data, it should be possible for SPC-OFP with input from the relevant CCMs to prepare and publish summary tables of essential fisheries information and annual catch estimates based on these scientific data submissions
- The reporting requirements to include ACE tables in Annual Report Part 1 is potentially duplicative

- **Review Annual Report Part 1 reporting requirements**

- Should some reports in the Addendum be reclassified as annual reports on the implementation of CMM?
 - Consider submit in AR Pt2, but maintain classification as public domain data?
- Should Annual Report Part 1 be made voluntary?



Efficiency



Effectiveness

WCPFC16 Outcome 2.

task Secretariat and Scientific Services provider to deliver suggestion in **TCC15-2019-10** as a trial in 2020

Circular
2020/16

2020

Mar: Preliminary version published

30 Apr: Deadline for Scidata

15 May: Provisional ACE tables

22 Jun: Latest ACE tables for **SC16**

20 Sep: Latest ACE tables for **TCC16**

Nov: Final estimates of ACE tables for **WCPFC17**

Trial of WCPFC ACE tables


<https://www.wcpfc.int/ace-by-fleet>

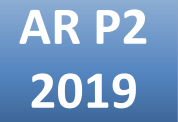
To allow CCMs, through SC and TCC, to explore streamlining suggestions for AR Pt 1

- *Based on April 30 Scientific data submissions*
- *CCMs may review and provide revisions and updates to WCPFC/SPC as required*
- *Covers the most recent 5 years*
- *Equivalent of Annual Report Part 1*
 - *Essential Annual Fisheries Information Tables I – IV and*
 - *Tabular Annual Fisheries Information Tables 1-5 and Figures 1-3*

Annual Report Part 1 and its Addendum are required in 2020

Annual Report Part 1 Addendum

 = obligation is assessed this year
in the CMS review process

 AR P2
2019 = link to AR Pt 2
question

<https://www.wcpfc.int/compliance-monitoring>

Circular
2020/16

Symbol

Title

SC-01

Annual Report to the Commission, Part 1 [Information on Fisheries Research and Statistics] (revised to reflect decisions as at WCPFC16)

Commission-08b

Suggested checklist of Reporting Requirements



WCPFC Calendar iCAL <https://www.wcpfc.int/calendar/all>



NP Albacore

CMM 2019-03 para 3

1. In 2019, did you have flagged vessels that operate in this area?
2. Did your vessels catch Albacore in the North Pacific in 2019?

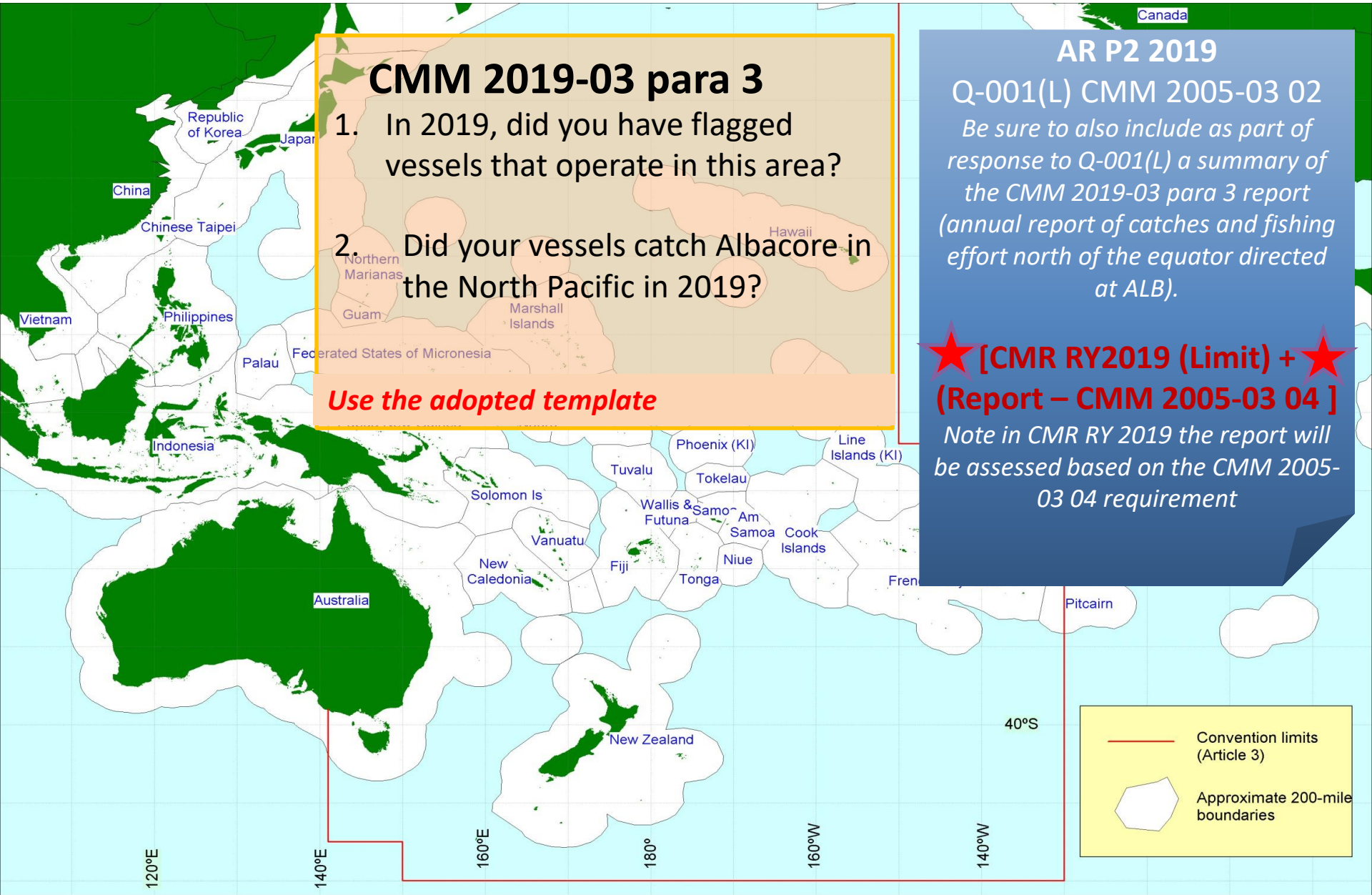
Use the adopted template

AR P2 2019

Q-001(L) CMM 2005-03 02
Be sure to also include as part of response to Q-001(L) a summary of the CMM 2019-03 para 3 report (annual report of catches and fishing effort north of the equator directed at ALB).

★ [CMR RY2019 (Limit) + ★
(Report – CMM 2005-03 04)

Note in CMR RY 2019 the report will be assessed based on the CMM 2005-03 04 requirement



— Convention limits (Article 3)

○ Approximate 200-mile boundaries

North Pacific Albacore

(CMM 2019-03 para 3)

3. All CCMs shall report annually to the WCPFC Commission all catches of albacore north of the equator and all fishing effort north of the equator in fisheries directed at albacore. The reports for both catch and fishing effort shall be made by gear type. Catches shall be reported in terms of weight. Fishing effort shall be reported in terms of the most relevant measures for a given gear type, including at a minimum for all gear types, the number of vessel-days fished, using the template provided in **Annex 1**.

Annex I: Average annual fishing effort for 2002-2004 and annual fishing effort for subsequent years for fisheries directed at North Pacific albacore in the North Pacific Ocean

CCM	Area*	Fishery	2002-04 Average		Year 2005		Year 20xx...		Year 2019	
			No of Vessels	Vessel Days	No of Vessels	Vessel Days	No of Vessels	Vessel Days	No of Vessels	Vessel Days
eg Country AB	WCPFC CA	LL	1	12	0	0			6	126

* If collective effort limits across the North Pacific Ocean, report Convention Area and North Pacific Ocean separately

Swordfish and SW striped marlin

Swordfish AR P2 2019

Q-006 (L) CMM 2009-03 01
Q-007 (L) CMM 2009-03 02
Pr-019 CMM 2009-03 03

Be sure to also include as part of response to Q-006(L) and Q-007(L) relevant data from CMM 2009-03 08 ARPT1 report (the number of vessels, including chartered vessels, that fished for swordfish during the previous calendar year/s

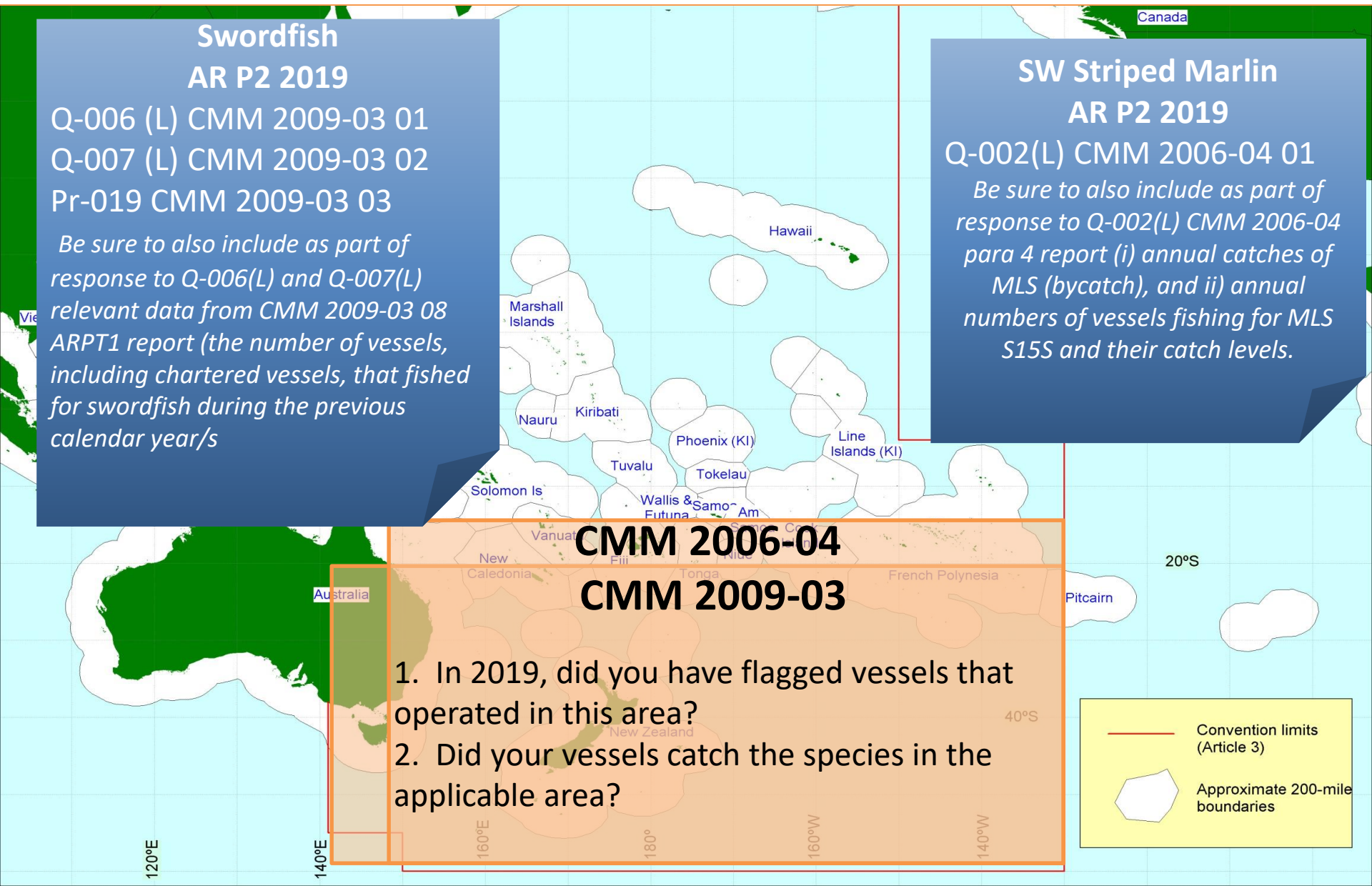
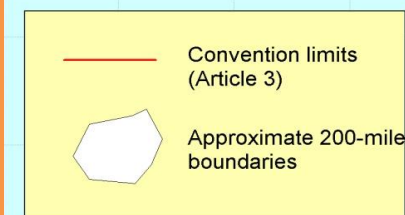
SW Striped Marlin AR P2 2019

Q-002(L) CMM 2006-04 01

Be sure to also include as part of response to Q-002(L) CMM 2006-04 para 4 report (i) annual catches of MLS (bycatch), and ii) annual numbers of vessels fishing for MLS S15S and their catch levels.

CMM 2006-04
CMM 2009-03

1. In 2019, did you have flagged vessels that operated in this area?
2. Did your vessels catch the species in the applicable area?



Transshipment

CMM 2009-06

1. In 2019, did you have flagged/chartered vessels that transshipped? (in port, in EEZ areas or in high seas)
2. If YES, this reporting requirement is applicable

Use the adopted template

**WCPFC15 Outcome document para 48:
The Commission agreed to the TCC14
recommendation that the template
provided in TCC14-2018 RP03 Annex 3
be used by all applicable CCMs for
their future reporting in Annual Report
Part 1, as per CMM 2009-06
paragraph 11 (Attachment O of
WCPFC15**

AR P2 2019

Q-008 (R) CMM 2009-06 11
REPORTING CHECKLIST

**[CMR RY2019 (report) ★
(deadline)] ★**

Convention limits
(Article 3)

Approximate 200-mile
boundaries

Transshipment

(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, with those quantities broken down by:

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) Species	f) Product Form	g) Fishing gear
offloaded						
received						

(2) the **number of transshipments** involving highly migratory fish stocks covered by this measure by fishing vessels that is responsible for reporting against, broken down by:

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				

Bycatch

AR P2 2019
Q-019(R) CMM 2012-04 06
Q-017(R) CMM 2011-03 05
**REPORTING
CHECKLIST**

applicable to those with PS:
CMM 2011-03 Cetaceans
CMM 2012-04 Whale Sharks

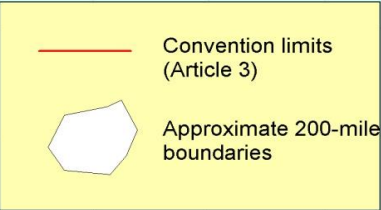
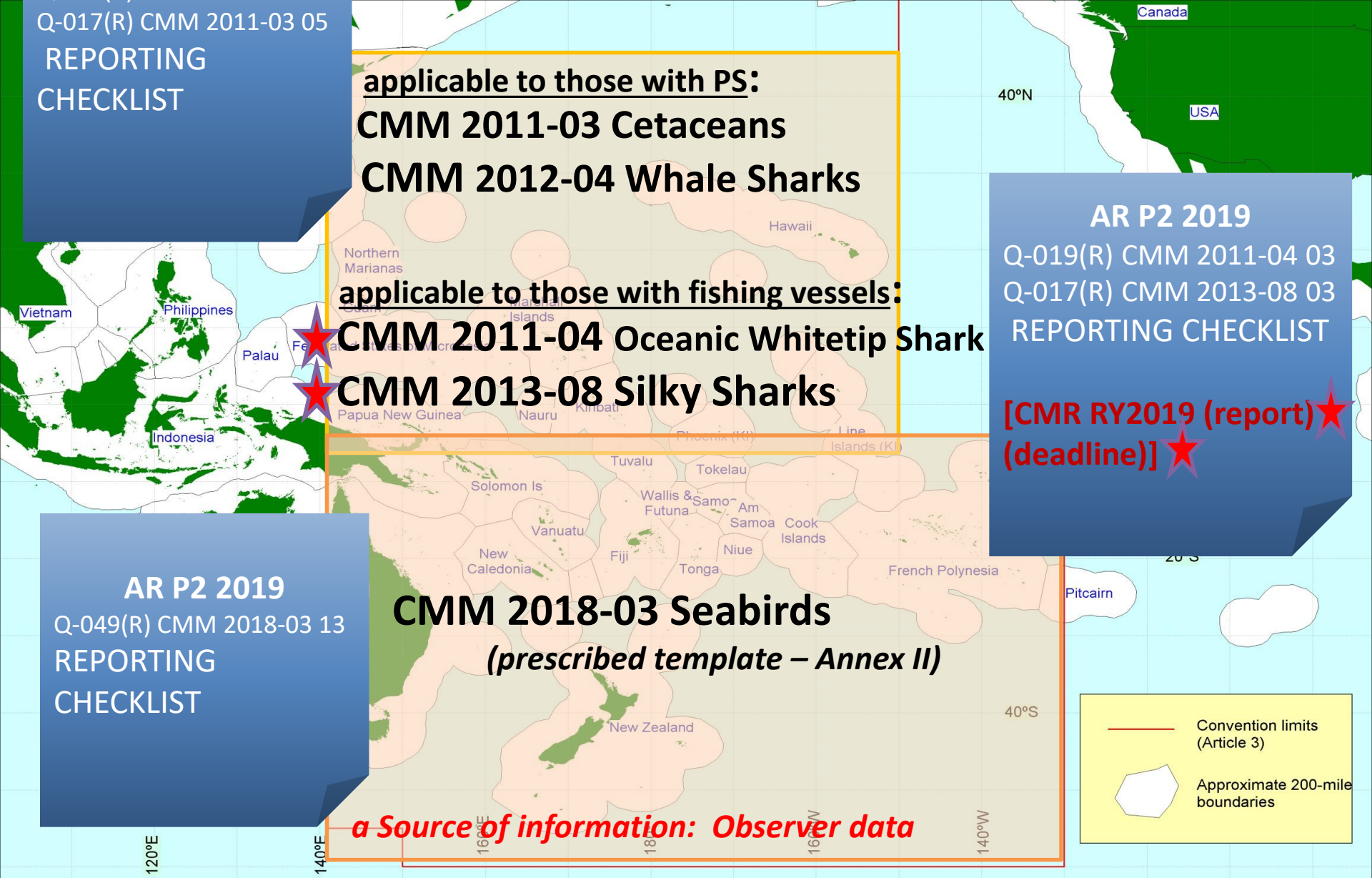
applicable to those with fishing vessels:
CMM 2011-04 Oceanic Whitetip Shark
CMM 2013-08 Silky Sharks

AR P2 2019
Q-019(R) CMM 2011-04 03
Q-017(R) CMM 2013-08 03
REPORTING CHECKLIST
**[CMR RY2019 (report)★
(deadline)]★**

AR P2 2019
Q-049(R) CMM 2018-03 13
**REPORTING
CHECKLIST**

CMM 2018-03 Seabirds
(prescribed template – Annex II)

a Source of information: Observer data



Bycatch

CMM 2011-04 Oceanic Whitetip

	Observed (number)	Estimated (number)
Alive	18	362
Dead	14	253

CMM 2013-08 Silky Sharks

	Observed (number)	Estimated (number)
Alive	318	5,239
Dead	276	4,819

a Source of information: Observer data

— Convention limits (Article 3)

○ Approximate 200-mile boundaries

[CMR RY2019
(implementation)
(deadline)]

- CCMs are expected to include in Annual Report Part 1 their reported longline observer coverage for the previous calendar year (WCPFC 11 para 484 (b))

CCM Fleet	Fishery	No. of Hooks			Days Fished			Days at Sea			No. of Trips			See NOTES
		Total estimated	Observer	%	Total estimated	Observer	%	Total estimated	Observer	%	Total estimated	Observer	%	
REPUBLIC OF KOREA	Distant-water							23,632	1,575	6.6%				

- In 2019, did you have flagged longline vessels that operate in the high seas of the Convention Area or in more than one EEZ?

CCM Fleet	Fishery	No. of Trips			See NOTES
		Total estimated	Observer	%	
KIRIBATI LL	Pacific Islands	103	5	4.8%	8, 9

Reminders

- ✓ Confirm if you have nothing to report
eg. “there was no seabird interaction”
- ✓ Some reporting requirements are area specific
eg. NP ALB
- ✓ Some reporting requirements have reporting
guidelines/templates eg. transshipment, seabird,
NP albacore
- ✓ Report on what you are ask to report on – refer to
language of CMM - see
[http://www.wcpfc.int/conservation-and-
management-measures](http://www.wcpfc.int/conservation-and-management-measures)
- ✓ Suggested checklist
<http://www.wcpfc.int/compliance-monitoring>
- ✓ WCPFC Calendar iCAL
<https://www.wcpfc.int/calendar/all>



Reminder CMS process: key dates in 2020

MTU Audit Inspections; Online Compliance Case File system

Other data sources - ROP, RFV, CMM reporting...

Annual Reports

30 Apr:
Scidata

ACE

1 July:
AR Pt2
Fish/Did not fish
Circ 2020/16

12 July:
AR Pt1

11 – 20
Aug:
SC16

Draft CMR (dCMR)

30 July:
dCMR to each CCM

26 Aug:
Responses to dCMR from CCMs

+ Capacity Dev. Plan
(template available)

8 Sept:
dCMR to all CCMs
& aggregated summary tables from CCFS

23 – 29
Sept:
TCC 16

Provisional CMR (pCMR)

~finalized @ TCC16

20 Oct:
CCMs add. info relating to pCMR limited to filling info gap

tlc Dec:
WCPFC 17

Final CMR (fCMR)

(CDP Template available at <http://www.wcpfc.int/compliance-monitoring>)

Reminder: AR Pt 2

Links to AR Pt 1 Addendum

Excerpt from

ARP2 2019

+ new item

View by Section

Print View

Print view +notes

...

Find an item

✓ Edit SeqNo REQUIREMENT REQUIREMENT:Brief

SECTION : QUANTITATIVE LIMIT: CCM-LEVEL OR COLLECTIVE (5)

★	Q-001(L)	...	CMM 2005-03 02	CCMs take meas
	Q-002(L)	...	CMM 2006-04 01	Limit number of
★	Q-006(L)	...	CMM 2009-03 01	Limit number of
★	Q-007(L)	...	CMM 2009-03 02	Limit the catch o
★	Q-028(L)	...	CMM 2015-02 01	Limit on number

SECTION : REPORTING CHECKLIST (6)

★	Q-008(R)	...	CMM 2009-06 11	Annual report o
	Q-017(R)	...	CMM 2011-03 05	Annual report o
★	Q-018(R)	...	CMM 2011-04 03	Annual report o
	Q-019(R)	...	CMM 2012-04 06	Annual report o
★	Q-026(R)	...	CMM 2013-08 03	Annual report o
	Q-049(R)	...	CMM 2018-03 13	Annual report o

Circular
2020/16



= obligation is assessed this year in the CMS review process



NP albacore (CMM 2019-03 para 3
CMM 2005-03 para 4)

- SW striped marlin (CMM 2006-04 para 4)



Swordfish (CMM 2009-03 para 8)

- SP albacore (CMM 2015-02 para 4)



Transshipment (CMM 2009-06 para 11)

- PS cetaceans (CMM 2011-03 para 5)



Oceanic Whitetip shark (CMM 2011-04 para 3)

- PS Whale sharks (CMM 2012-04 para 6)



Silky Shark (CMM 2013-08 para 3)

- Seabirds (CMM 2018-03 para 13)



✓ General information

<http://www.wcpfc.int/compliance-monitoring>

✓ Annual Report Part 1 **due 12 July 2020**

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