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**WCPFC Compliance Monitoring Scheme AUDIT POINTS**

**CMS-IWG Supplementary2\* Draft - October 2022**

**(Revised with IWG Feedback)**

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**24 November 2022**

Paper by the CMS-IWG Lead on Audit Points

WCPFC Compliance Monitoring Scheme  
AUDIT POINTS

*CMS-IWG Supplementary2\* Draft*

*October 2022*

*(Revised with IWG Feedback)*

\*May 2022 Reference Draft

\*August 2022 Supplementary Draft

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## I. November Update of Revised Supplementary 2 Draft

This draft incorporates feedback from the CMS-IWG into proposed revised draft audit points for 26 obligations. The proposed revisions of the draft audit points are in **bold text** and included directly beneath the original draft audit point, along with a brief note on the IWG feedback that informed the proposed revision. For ease of reference, revised draft audit points are denoted with an asterisk (\*) in the Table of Contents, which contains hyperlinks.

In respect of IWG feedback on Items 61, 62, 63, and 65 on CMM 2017-02 (Port State Measures) to include the word “applicable” in front of “CCM/CCMs”, it is suggested that this proposed amendment be reconsidered on the basis that all audit points are applied to CCMs based on how applicability is determined by each CCM and confirmed by the Secretariat and TCC. In other words, each audit point should be considered relevant to the CCMs (or Contracting Party) for which it is applicable. Per TCC18 discussions, confirmation of which obligations are applicable to which CCMs would be useful reference for the CMS in future.

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## II. October 2022

This October 2022 draft is prepared for consideration by the CMS-IWG ahead of WCPFC19 as agreed to by TCC18, with a view to recommending a comprehensive set of audit points to the Commission for adoption, and thus completing one of the CMS Future Work Tasks identified at WCPFC15.

This document is a second supplementary draft (Supplementary 2) to the May 2022 CMS Audit Points draft that was circulated intersessionally to the CMS Intersessional Working Group (IWG). This October 2022 draft presents 79 draft audit points for an additional 101 obligations<sup>1</sup> to those finalized at TCC18. The May 2022 draft should continue to be used as a reference for this October 2022 draft as it contains further details on each obligation.

At TCC18, a small working group (SWG) convened to review draft audit points for 60<sup>2</sup> obligations agreed by WCPFC18 to be assessed in the 2022 draft Compliance Monitoring Report (dCMR), covering 2021 activities. TCC18 agreed to recommend 59<sup>3</sup> audit points to WCPFC19 for adoption and application in the 2023 dCMR, covering 2022 activities. TCC18 also noted that the Commission will need to consider whether to apply the agreed audit points to the 2022 dCMR covering 2021 activities.

If required and following advice from the Commission Chair at TCC18, time during WCPFC19 may be set aside for CCMs to finalize the draft audit points for Commission review and adoption.

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<sup>1</sup> Some audit points cover more than one obligation.

<sup>2</sup> Note actual number is 70 distinct obligations.

<sup>3</sup> Discussion is still ongoing on the audit point for CMM 2014-02 9a (VMS).

This October 2022 draft continues to follow the thematic groupings identified by the WCPFC Secretariat in its organization of obligations. The approach to each of the three categories of obligations, **I (Implementation)**, **R (Report)**, and **L (Limit)** follows the approach agreed at TCC18 in its consideration of the initial 60 obligations.

#### **Additional Audit Points Task**

The audit points task contained in paragraph 46(i) of CMM 2021-03 includes “...*development of a checklist to be used by the proponents of any proposal to include a list of potential audit points for the consideration of the Commission*”. In their draft audit points discussion paper, FFA members included a draft checklist to satisfy this task. It is included in [Section III](#) at the end of this October 2022 draft for review and comment by the CMS-IWG.

## III. Draft Audit Points

#	CMM/para	Category	DRAFT AUDIT POINT
<b>Part A: Overarching Reporting Requirements</b>			
1	<b>*Rev - MCS Data Rules 44</b> (2009 Document)	R	<p>Secretariat confirms that the CCM has reported information in its ARPt2 on:</p> <ol style="list-style-type: none"> <li>CCM's domestic measures taken to ensure the confidentiality of any data and information received pursuant to the MCS Data Rules and Procedures</li> <li>a statement affirming that they have complied with the data retention and destruction requirements of Section V of these Rules and Procedures</li> <li>a summary report of the status of any investigation, judicial or administrative proceedings</li> </ol> <p>Where applicable, the Secretariat confirms that the CCM has checked and liaised with the Secretariat on any CCM issues in the Secretariat-published Administration of Data Rules and Procedures website summary at <a href="https://www.wcpfc.int/administration-wcpfc-data-access-rules-and-procedures">https://www.wcpfc.int/administration-wcpfc-data-access-rules-and-procedures</a>.</p>
	Proposed Revision  Not to be assessed in the CMS; No audit point required.		[No revision; proposal to remove this audit point]
2	Convention Art 23(2c)	R	The Secretariat confirms that the CCM has provided any relevant updates in its Annual Report Part 2 for prior year obligations or where there are no updates, has indicated such in its responses to Implementation (I) obligations.
3	<b>*Rev - Convention Art 23(4)</b>	R	The Secretariat confirms receipt of information from CCM relating to its regulation of activities of vessels flying its flag and fishing in the Convention Area.
	Proposed Revision  Already covered through CMS process;		[No revision; proposal to remove this audit point]

#	CMM/para	Category	DRAFT AUDIT POINT
	No audit point required.		
4	*Rev - Convention Art 25(8)	R	The Secretariat confirms receipt of CCM's Annual Statement of Compliance Measures including, imposition of any sanctions issued for violations issued in accordance with Convention Article 25.
	Proposed Revision  Already covered through CMS process; No audit point required		[No revision; proposal to remove this audit point]
5	*Rev - CMM Criteria 2013-06 01	I	CCM submitted a statement in ARPt2 that: <ul style="list-style-type: none"> <li>a. confirms its implementation through adoption of a national binding measure that requires CCM to cooperate, either directly or through the Commission, to enhance the ability of developing States, particularly the least developed among them and SIDS and territories in the Convention Area, to develop their own fisheries for highly migratory fish stocks, including but not limited to the high seas within the Convention Area.</li> <li>b. describes how CCM is monitoring and ensuring that it is cooperating, either directly or through the Commission, to enhance the ability of developing States, particularly the least developed among them and SIDS and territories in the Convention Area, to develop their own fisheries for highly migratory fish stocks, including but not limited to the high seas within the Convention Area, and how CCM responds to potential infringements or instances of non-compliance with this requirement.</li> </ul>
	Proposed Revision  Should be assessed as a report; principle to "cooperate" will not be embedded in a national binding measure,	R	The Secretariat confirms receipt of a report outlining efforts by the reporting CCM to cooperate, either directly or through the Commission, to enhance the ability of developing States, particularly the least developed among them and SIDS and territories in the Convention Area, to develop their own fisheries for highly migratory fish stocks, including but not limited to the high seas within the Convention Area.



#	CMM/para	Category	DRAFT AUDIT POINT
	sufficient to report on efforts.		
6	<b>*Rev - CMM Criteria</b> 2013-06 03	R	The Secretariat confirms that the CCM submitted a “2013-06 checklist” against CCM’s proposed new obligation(s) along with the proposed new obligation(s) and 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.
	Proposed Revision Duty to consult is not required by the CMM, though acknowledge that consultation is best approach.	R	The Secretariat confirms that the CCM submitted a “2013-06 checklist” against CCM’s proposed new obligation(s) along with the proposed new obligation(s).
7	<b>Special Requirements</b> 2013-07 19	R	The Secretariat confirms that CCM submitted information in AR Pt 2 on any assistance it provided to SIDS/T in accordance with CMM 2013-07, or CCM submitted information on any assistance required.
8	<b>Record of Fishing Vessels</b> 2018-06 16	R	The Secretariat confirms that CCM submitted a report on the results of their review of their internal actions and measures taken pursuant to paragraph 1 of CMM 2018-06, including sanctions and punitive actions, and in a manner consistent with domestic law as regards disclosure.
9	<b>Compliance Monitoring Scheme</b> 2021-03 17	R	The Secretariat confirms that CCM submitted a report of its progress under an approved Capacity Development Plan
10	<b>Compliance Monitoring Scheme</b> 2021-03 45	R	The Secretariat confirms that CCM submitted a report of any actions it has taken to address its non-compliance in the previous years’ CMR.

#	CMM/para	Category	DRAFT AUDIT POINT
<b>Part B: Quantitative Limits in CMMs for Tuna and Billfish</b>			
11	<b>NP Striped Marlin</b> 2010-01 08	R	Secretariat confirms that CCM submitted a report of national binding measures CCM applied to flagged/chartered vessels to reduce CCM vessels' catch and total catch.
12	<b>SP Albacore</b> 2015-02 01	L	CCM reported its number of flagged vessels actively fishing for South Pacific Albacore south of 20S and the Secretariat can verify the CCM's reported information and confirm that the allowable limit has not been exceeded.
13	<b>Tropical Tuna</b> 2021-01 43	L	CCM reported whether it replaced any of its flagged large scale purse seine vessels in the previous year and if so, that the replacement vessel did not result in an increase in carrying capacity or an increase in catch and effort from the level that was replaced, and the Secretariat can verify that the allowable limit was not exceeded.
14	<b>Tropical Tuna</b> 2021-01 47	L	<i>This paragraph was assigned "CMM Review" in 2020 CMR with requests to SC and TCC for further work to support clarification of this obligation</i>
15	<b>NP Albacore</b> 2019-03 02	L	CCM reported its level of fishing effort by its flagged vessels fishing for NP albacore and the Secretariat can verify that the allowable limit was not exceeded.
16	<b>NP Albacore</b> 2019-03 03	R	The Secretariat confirms that CCM submitted a report of information on catch and effort by CCM flagged vessels engaged in directed fishing for NP albacore north of the equator, by gear type and days fished (effort) and by weight (catch), using the template at Annex 1 of CMM 2019-03.
<b>Part C: Additional Measures for Tropical Tunas</b>			
17	<b>Tropical Tuna</b> 2021-01 29	I	CCM submitted a statement in AR Pt2 that:  a. 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
	<b>High Seas Catch Retention</b> 2009-02 08-12	R	

#	CMM/para	Category	DRAFT AUDIT POINT
			<p>operators of vessels on the high seas to submit a report to the ED within 48-hours after any discard.</p> <p>b. 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 how CCM responds to potential infringements or instances of non-compliance with this requirement.</p> <p>If a discard report was submitted, the Secretariat confirms that the report contained all the information at CMM 2009-02 para 12(a-k).</p>
18	Tropical Tuna 2021-01 21	I	<p>CCM submitted a statement in AR Pt2 that:</p> <p>a. confirms CCM’s implementation through adoption of a national binding measure that limits each of CCM flagged PS vessel to 350 activated instrumented buoys</p> <p>b. describes how CCM is monitoring its flagged PS vessels to ensure they do not set a purse seine net on a school of tuna associated with a cetacean where a sighting occurs prior to commencement of the set, and how potential infringements or instances of non-compliance with this requirement are handled.</p>
19	Tropical Tuna 2021-01 26	I	<p>CCM submitted a statement in AR Pt2 that:</p> <p>a. confirms CCM’s implementation through adoption of a national binding measure that ensures that CCM flagged purse seine vessels do not transfer effort in days fished to the area north of 20N and south of 20S</p> <p>b. describes how it is monitoring its flagged purse seine vessels to ensure they do not transfer effort in days fished to the area north of 20N and south of 20S and how the CCM responds to potential infringements or instances of non-compliance with this requirement.</p> <p>The Secretariat can verify that the CCM’s flagged purse seine vessels have not transferred effort in days fished to the area north of 20N and south of 20S.</p>

#	CMM/para	Category	DRAFT AUDIT POINT
<b>Part E: Mitigating Impacts of Fishing, Including on Species of Special Interest</b>			
20	<b>High Seas Driftnets</b> 2008-04 02	I	CCM submitted a statement in AR Pt2 that: <ul style="list-style-type: none"> <li>a. confirms CCM’s implementation through adoption of a national binding measure that prohibits CCM fishing vessels operating on the high seas in the Convention Area from using large-scale driftnets</li> <li>b. describes how it is monitoring its fishing vessels operating on the high seas in the Convention Area to ensure they are not using driftnets and how the CCM responds to potential infringements or instances of non-compliance with this requirement.</li> </ul>
21	<b>High Seas Driftnets</b> 2008-04 05	R	Secretariat confirms that for any CCM that conducted MCS activities relating to high seas driftnet fishing on the high seas in the Convention Area, a report was submitted by the CCM.
22	<b>Cetaceans</b> 2011-03 03	I	CCM submitted a statement in AR Pt 2 that: <ul style="list-style-type: none"> <li>a. 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</li> <li>b. 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 how CCM responds to potential infringements or instances of non-compliance with this requirement.</li> </ul>
23	<b>Cetaceans</b> 2011-03 05	R	Secretariat confirms that CCM submitted a report on instances in which cetaceans have been encircled by the purse seine nets of flagged vessels and as reported in ARPt1 under para 2(b) of CMM.

#	CMM/para	Category	DRAFT AUDIT POINT
24	<b>Marine Pollution</b> 2017-04 02	I	CCM submitted a statement in AR Pt2 that: <ul style="list-style-type: none"> <li>a. confirms CCM's implementation through adoption of a national binding measure that prohibits its fishing vessels from discharging any plastics (including plastic packaging, items containing plastic and polystyrene)</li> <li>b. describes how it is monitoring its fishing vessels to ensure they are not discharging plastics and how the CCM responds to potential infringements or instances of non-compliance with this requirement.</li> </ul>
25	<b>Seabirds</b> 2018-03 02 (under the "Resolves" section of CMM)	R	The Secretariat confirms that CCM submitted a report on its implementation of the IPOA-Seabirds, including, as appropriate, the status of its National Plan of Action for Reducing Incidental Catches of Seabirds in Longline Fisheries.
26	<b>*Rev - Seabirds</b> 2018-03 01, 02, 06, 08	I/R	Based on CCM identification of which mitigation measures are being applied to CCM vessels in the applicable relevant area, the CCM submitted a <i>statement</i> in AR Pt2 that (01, 02, 06): <ul style="list-style-type: none"> <li>a. confirms CCM's implementation through adoption of a national binding measure</li> <li>b. describes how it is monitoring its fishing vessels and how the CCM responds to potential infringements or instances of non-compliance with the relevant requirement.</li> </ul> <p>The Secretariat confirms that applicable CCMs with LL vessels fishing in the Convention Area south of 25°S or north of 23°N submitted information describing which of the mitigation measures the CCM requires its vessels to use, as well as the technical specifications for each of those mitigation measures, and any relevant changes to prior year reporting (08).</p>
	<b>Proposed Revision</b>  Split the I and the R audit point	I	<b>Based on CCM identification of which mitigation measures are being applied to CCM vessels in the applicable relevant area, the CCM submitted a statement in AR Pt2 that (01, 02, 06):</b> <ul style="list-style-type: none"> <li>a. confirms CCM's implementation through adoption of a national binding measure</li> <li>b. describes how it is monitoring its fishing vessels and how the CCM responds to potential infringements or instances of non-compliance with the relevant requirement.</li> </ul>

#	CMM/para	Category	DRAFT AUDIT POINT
		R	The Secretariat confirms that applicable CCMs with LL vessels fishing in the Convention Area south of 25°S or north of 23°N submitted information describing which of the mitigation measures the CCM requires its vessels to use, as well as the technical specifications for each of those mitigation measures, and any relevant changes to prior year reporting (08).
27	Seabirds 2018-03 13	R	The Secretariat confirms that CCM submitted a report using the reporting template in Annex 2 of CMM 2018-03 on seabird interactions reported or collected by observers.
28	Sea Turtles 2018-04 02 and 03	R	The Secretariat confirms that CCM submitted a report on its implementation of the CMM and any sea turtle interactions by CCM flagged vessels, and that data collected through the ROP was reported through other required Commission data collection provisions.
29	*Rev - Sea Turtles 2018-04 05 a-d	I/R	<p>CCM submitted a statement in AR Pt2 that:</p> <ol style="list-style-type: none"> <li>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, as well as report all interactions to appropriate CCM authorities</li> <li>describes how CCM is monitoring its PS fishing vessels and ensuring they are following safe handling and release guidelines, avoiding encirclement of sea turtles, carrying and employing dip nets, and reporting incidents to the appropriate CCM authorities, and how the CCM responds to potential infringements or instances of non-compliance with the relevant requirement.</li> </ol> <p>The Secretariat confirms that reporting by CCM fishing vessels on interactions with sea turtles is also reported by CCM in its Scientific Data Provision requirements.</p> <p>Where a CCM is undertaking research on FAD designs that reduce sea turtle entanglement, the Secretariat confirms receipt of CCM's research results.</p>
	Proposed Revision  Split the I and the R audit point	I	<p>CCM submitted a statement in AR Pt2 that:</p> <ol style="list-style-type: none"> <li>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</li> </ol>

#	CMM/para	Category	DRAFT AUDIT POINT
			<p>turtles, and carry and employ dip nets, as well as report all interactions to appropriate CCM authorities</p> <p>b. describes how CCM is monitoring its PS fishing vessels and ensuring they are following safe handling and release guidelines, avoiding encirclement of sea turtles, carrying and employing dip nets, and reporting incidents to the appropriate CCM authorities, and how the CCM responds to potential infringements or instances of non-compliance with the relevant requirement.</p>
		R	<p>The Secretariat confirms that reporting by CCM fishing vessels on interactions with sea turtles is also reported by CCM in its Scientific Data Provision requirements.</p> <p>Where a CCM is undertaking research on FAD designs that reduce sea turtle entanglement, the Secretariat confirms receipt of CCM’s research results.</p>
30	*Rev - Sea Turtles 2018-04 07 b-e	R/I	<p>The Secretariat confirms that CCM reported its operational definitions of shallow-set swordfish longline fisheries, large circle hooks, and any measures under 7(a)(iii) or paragraph 12 of CMM 2018-04.</p> <p>CCM submitted a statement in AR Pt2 that:</p> <p>a. confirms CCMs implementation through adoption of a national binding measure that requires CCM flagged LL vessels to record all incidents involving sea turtles during fishing operations and report such incidents to the appropriate authorities of the CCM</p> <p>b. describes how CCM is monitoring its LL vessels and ensuring that they are recording incidents involving sea turtles during fishing operations and reporting such incidents to the appropriate CCM authorities, and how the CCM responds to potential infringements or instances of non-compliance with the relevant requirement.</p> <p><i>[3. Secretariat confirms that CCM has reported relevant sea turtle interactions in its required reporting under Scientific Data to be Provided to the Commission.]</i></p>
	Proposed Revision	I	CCM submitted a statement in AR Pt2 that:

#	CMM/para	Category	DRAFT AUDIT POINT
	Split the I and the R audit point		<ul style="list-style-type: none"> <li>a. confirms CCMs implementation through adoption of a national binding measure that requires CCM flagged LL vessels to record all incidents involving sea turtles during fishing operations and report such incidents to the appropriate authorities of the CCM</li> <li>b. describes how CCM is monitoring its LL vessels and ensuring that they are recording incidents involving sea turtles during fishing operations and reporting such incidents to the appropriate CCM authorities, and how the CCM responds to potential infringements or instances of non-compliance with the relevant requirement.</li> </ul>
		R	<p>The Secretariat confirms that CCM reported its operational definitions of shallow-set swordfish longline fisheries, large circle hooks, and any measures under 7(a)(iii) or paragraph 12 of CMM 2018-04.</p> <p><i>[3. Secretariat confirms that CCM has reported relevant sea turtle interactions in its required reporting under Scientific Data to be Provided to the Commission.]</i></p>
31	Mobulid Rays 2019-05 03	I	<p>CCM submitted a statement in AR Pt2 that:</p> <ul style="list-style-type: none"> <li>a. confirms CCMs implementation through adoption of a national binding measure that prohibits CCM vessels from targeting fishing or intentional setting on mobulid rays</li> <li>b. describes how CCM is monitoring and ensuring that its vessels are not targeting fishing or setting intentionally on mobulid rays, and how the CCM responds to potential infringements or instances of non-compliance with the relevant requirement.</li> </ul>
<b>Part F: Operational Requirements for Fishing Vessels</b>			
32	VMS VMS SSPs 2.13 and 7.2.2	R	The Secretariat confirms that CCM submitted a complete report of its MTU AUDIT INSPECTIONS.
33	VMS 2014-02 04	I	<p>CCM submitted a statement in ARPt2 that:</p> <ul style="list-style-type: none"> <li>a. 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.</li> </ul>



#	CMM/para	Category	DRAFT AUDIT POINT
			<ul style="list-style-type: none"> <li>b. 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 how the CCM responds to potential infringements or instances of non-compliance with the relevant requirement.</li> </ul>
34	Tropical Tuna 2021-01 31	I	<p>CCM submitted a statement in ARPt2 that:</p> <ul style="list-style-type: none"> <li>a. 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</li> <li>b. describes how CCM is monitoring and ensuring that its flagged purse seine fishing vessels do not operate under VMS manual reporting during FAD closure periods, and how the CCM responds to potential infringements or instances of non-compliance with the relevant requirement.</li> </ul>
35	*Rev - Vessel Markings and Specs 2004-03 03	I/R	<p>CCM submitted a statement in ARPt2 that:</p> <ul style="list-style-type: none"> <li>a. 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 CMM 2004-03, including all technical specifications required by the CMM.</li> <li>b. describes how CCM is monitoring and ensuring that its flagged vessels are marked in accordance with the requirements of CMM 2004-03, and how the CCM responds to potential infringements or instances of non-compliance with the relevant requirement.</li> </ul> <p>The Secretariat confirms that each CCM flagged vessel entry on the WCPFC Record of Fishing Vessels contains a WIN, in line with the requirements in paragraph 2.1.1 (a) or (b) of CMM 2004-03.</p>
	Proposed Revision  Split the I and the R audit point	I	<p>CCM submitted a statement in ARPt2 that:</p> <ul style="list-style-type: none"> <li>a. 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 CMM 2004-03, including all technical specifications required by the CMM.</li> </ul>

#	CMM/para	Category	DRAFT AUDIT POINT
			<p>b. describes how CCM is monitoring and ensuring that its flagged vessels are marked in accordance with the requirements of CMM 2004-03, and how the CCM responds to potential infringements or instances of non-compliance with the relevant requirement.</p>
		R	<p>The Secretariat confirms that each CCM flagged vessel entry on the WCPFC Record of Fishing Vessels contains a WIN, in line with the requirements in paragraph 2.1.1 (a) or (b) of CMM 2004-03.</p>
36	<p><b>Record of Fishing Vessels</b> 2018-06 02</p>	I	<p>CCM submitted a statement in AR Pt2 that:</p> <ul style="list-style-type: none"> <li>a. confirms CCM’s implementation through adoption of a national binding measure that prohibits its flagged vessels from transshipping to/from, engaging in bunkering activities with, or otherwise receiving support by non-CCM flagged vessels, vessels not on the WCPFC Interim Register, or vessels not operating under charter, lease, or similar mechanisms to a CCM</li> <li>b. describes how CCM is monitoring and ensuring that its flagged vessels are not transshipping to/from, engaging in bunkering activities with, or otherwise receiving support by non-CCM flagged vessels, vessels not on the WCPFC Interim Register, or vessels not operating under charter, lease, or similar mechanisms to a CCM, and how CCM is responding to potential infringements or instances of non-compliance by its vessels with this requirement.</li> </ul>
37	<p><b>Record of Fishing Vessels</b> 2018-06 04</p>	I	<p>CCM submitted a statement in AR Pt 2 that:</p> <ul style="list-style-type: none"> <li>a. 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: <ul style="list-style-type: none"> <li>i. the specific areas, species and time periods for which the authorization is valid;</li> <li>ii. permitted activities by the vessel;</li> <li>iii. 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;</li> <li>iv. 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</li> </ul> </li> </ul>

#	CMM/para	Category	DRAFT AUDIT POINT
			<p>certified copy thereof, issued by a coastal State, as well as a valid certificate of vessel registration; and</p> <ul style="list-style-type: none"> <li>v. any other specific conditions to give effect to the provisions of the Convention and conservation and management measures adopted pursuant to it.</li> </ul> <p>b. describes how CCM is monitoring and ensuring that authorizations issued to its flagged fishing vessels contain the required information and how CCM is responding to potential infringements or instances of non-compliance with this requirement.</p>
38	<p><b>Record of Fishing Vessels</b> 2018-06 07</p>	I	<p>CCM submitted a statement in ARPt2 that:</p> <ul style="list-style-type: none"> <li>a. confirms CCM’s implementation through adoption of a national binding measure that requires provision of complete and updated information in accordance with the standards, specifications, and procedures for the WCFPC Record of Fishing Vessels, in respect of each of its flagged fishing vessels authorized to fish beyond CCM area of national jurisdiction in the Convention Area, for placement on the WCPFC Record of Fishing Vessels, and that such information be provided by the CCM within 72 hours of commencement of fishing activities by CCM’s authorized vessels</li> <li>b. describes how CCM is monitoring and ensuring that its vessels are not operating in the Convention Area beyond CCM area of jurisdiction without having complete and updated information entered in the WCPFC Record of Fishing Vessels, and how CCM is responding to instances of potential non-compliance by its vessels with this requirement.</li> </ul>
39	<p><b>Record of Fishing Vessels</b> 2018-06 17</p>	I	<p>CCM submitted a statement in ARPt2 that:</p> <ul style="list-style-type: none"> <li>a. 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 CMM 2018-06</li> <li>b. 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</li> </ul>

#	CMM/para	Category	DRAFT AUDIT POINT
			CCM’s national jurisdiction, and how CCM is responding to potential infringements or instances of non-compliance with this requirement.
40	Record of Fishing Vessels 2018-06 18	I	CCM submitted a statement in ARPt2 that: <ul style="list-style-type: none"> <li>a. 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</li> <li>b. 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 how CCM is responding to potential infringements or instances of non-compliance with this requirement.</li> </ul>
41	*Rev - Convention Art 24.3	I	CCM submitted a statement in ARPt2 that: <ul style="list-style-type: none"> <li>a. confirms CCM’s implementation through adoption of a national binding measure that requires its vessels operating in the high seas of the Convention Area do so in accordance with Annex III of the Convention.</li> <li>b. describes how CCM is monitoring and ensuring that its vessels operating on the high seas of the Convention Area are operating in accordance with Annex III of the Convention, and how CCM is responding to potential infringements or instances of non-compliance with this requirement.</li> </ul>
	Proposed Revision Unnecessary as Annex III provisions are reflected in CMMs		[No revision; proposal to remove this audit point]

#	CMM/para	Category	DRAFT AUDIT POINT
<b>Part G: Activity Related Requirements</b>			
42	<b>*Rev - Tropical Tuna</b> 2021-01 48	R	The Secretariat confirms that CCM submitted operational level catch and effort data for all its flagged vessels' fishing activities in EEZs and high seas S20N, in accordance with the Standards for the Provision of Operational Level Catch and Effort Data.
	Proposed Revision New underlined text	R	The Secretariat confirms that CCM submitted operational level catch and effort data for all its <b>flagged vessels' fishing activities in EEZs and high seas S20N, <u>for the CMR year</u></b> , in accordance with the Standards for the Provision of Operational Level Catch and Effort Data <b><u>and this measure</u></b> .
43	<b>Tropical Tuna</b> 2021-01 50	R	The Secretariat confirms that 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,  The Secretariat confirms that CCM cooperated with Scientific Service Provider in concluding a data handling agreement that enabled the CCM to provide its operational level data to the Commission.
44	<b>*Rev - Charter Notifications</b> 2019-08 03	R	The Secretariat confirms one of the following for the applicable CCM:  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 for a 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
	Proposed Revision	R	The Secretariat confirms one of the following for the applicable CCM:

#	CMM/para	Category	DRAFT AUDIT POINT
	Change “OR” to “AND” given nature of obligations.		<p>1. Chartering CCM provided complete information of any additional vessel(s) to be identified as operating pursuant to charter arrangement</p> <p>AND</p> <p>2. Chartering CCM provided complete information in respect of any changes made for a chartered vessel previously notified to the WCPFC ED</p> <p>AND</p> <p>3. Chartering CCM provided notice of termination of any chartered vessel previously notified to the WCPFC ED</p>
45	High Seas Boarding and Inspection 2006-08 41	R	The Secretariat confirms that CCM provided information on actions CCM has taken in response to HSBI of CCM fishing vessels that resulted in observation of alleged violations, and that information on CCM proceedings and sanctions is included, as applicable.
46	Data Buoys 2009-05 01, 03, 05	I	<p>CCM submitted a statement in AR Pt 2 that:</p> <ul style="list-style-type: none"> <li>a. 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, taking on board a data buoy without proper authorization, or in the event of entanglement with a data buoy, requires the CCM fishing vessel to remove entangled fishing gear such that minimal damage occurs to the data buoy.</li> <li>b. describes how CCM is monitoring and ensuring that its flagged vessels are not interacting with or fishing within 1nm of any data buoy, taking on board a data buoy without proper authorization, or in the event of entanglement with a data buoy, are removing the entangled fishing gear with minimal damage to the data buoy, and how the CCM is responds to potential infringement or instances of non-compliance with these requirements.</li> </ul>
47	*Rev - Vessels without Nationality 2009-09 05	R	Secretariat confirms that CCM submitted a report of whether any sightings took place by CCM of fishing vessels without nationality operating in the high seas of the Convention Area.

#	CMM/para	Category	DRAFT AUDIT POINT
	Proposed Revision Difficult to measure compliance.	R	[No revision; proposal to remove this audit point]
48	Transshipment 2009-06 35 (a)(v)	R	The Secretariat confirms that the CCM submitted a plan that details the steps CCM is taking to encourage its vessels to transship in ports in the future.
49	Eastern High Seas Pocket 2016-02 06	L	The Secretariat confirms that none of the vessels for which the CCM is responsible has engaged in transshipment activities in the EHSP.
50	HS Catch and Effort Reporting 2013-05 01	I	CCM submitted a statement in ARPt2 that: <ul style="list-style-type: none"> <li>a. 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</li> <li>b. describes how CCM is monitoring and ensuring that its 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 how CCM responds to potential infringements or instances of non-compliance with this requirement.</li> </ul>
51	HS Catch and Effort Reporting 2013-05 02	I	CCM submitted a statement in ARPt2 that: <ul style="list-style-type: none"> <li>a. 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) of CMM 2013-05.</li> <li>b. describes how CCM is monitoring and ensuring that its vessel masters record the minimum specified information, and how CCM responds to potential infringements or instances of non-compliance with this requirement.</li> </ul>

#	CMM/para	Category	DRAFT AUDIT POINT
52	HS Catch and Effort Reporting 2013-05 03	I	CCM submitted a statement in ARPt2 that: <ul style="list-style-type: none"> <li>a. 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</li> <li>b. 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 how CCM responds to potential infringement or instances of non-compliance with this requirement.</li> </ul>
53	HS Catch and Effort Reporting 2013-05 04	I	CCM submitted a statement in ARPt2 that: <ul style="list-style-type: none"> <li>a. 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</li> <li>b. 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 how the CCM responds to potential infringements or instances of non-compliance with this requirement.</li> </ul>
<b>Part H: Inspection Activity Related Requirements</b>			
54	*Rev - Convention Articles 23(5) and 25(2)	R	The Secretariat confirms that CCM provided updates to their case information contained in the Online Compliance Case File System.
	Proposed Revision  Updates are dependent on numerous factors, important point is to	R	[No revision; proposal to remove this audit point]



#	CMM/para	Category	DRAFT AUDIT POINT
	follow up and take action, which is addressed elsewhere.		
55	High Seas Boarding and Inspection 2006-08 07	I	<p><i>For flag CCMs with vessels authorized to operate on the high seas:</i></p> <p>CCM submitted a statement in AR Pt 2 that:</p> <ul style="list-style-type: none"> <li>a. 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</li> <li>b. describes how CCM is monitoring and ensuring that in the event of an HSBI event, CCM flagged vessels are accepting authorized inspectors to carry out their activities, and how CCM responds to potential infringement or instances of non-compliance with this requirement.</li> </ul> <p><i>For Contracting Parties with vessels on the Register of Inspection Vessels:</i></p> <p>Contracting Party (CP) submitted a statement in AR Pt2 report that:</p> <ul style="list-style-type: none"> <li>a. 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 CMM 2006-08 during the conduct of HSBI operations</li> <li>b. 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 how the CP responds to potential infringements or instances of non-compliance with this requirement.</li> </ul>
56	*Rev - High Seas Boarding and Inspection 2006-08 30 and 32	I	<p>Contracting Party submitted a statement in AR Pt 2 that:</p> <ul style="list-style-type: none"> <li>a. confirms CP’s implementation through adoption of a national binding measure that requires its authorized inspectors to complete a full report and submit 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 where a serious violation</li> </ul>

#	CMM/para	Category	DRAFT AUDIT POINT
			<p>is observed, that its authorized inspector is required to immediately notify the authorities of the fishing vessel directly as well as through the Secretariat.</p> <p>b. describes how CP is monitoring and ensuring that its authorized inspectors are completing a full report and submitting 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 that its authorized inspectors are immediately notifying the fishing vessel authorities and the Secretariat when serious violations are observed, and how the CP responds to potential infringements or instances of non-compliance with this requirement.</p>
	<p>Proposed Revision</p> <p>Simplify, assess as a Report to the fishing vessel authorities and where relevant, the Secretariat.</p>	R	<p>The Secretariat confirms receipt from the CP, and the CCM of the relevant fishing vessel, that a full report of a high seas boarding and inspection event was submitted in the applicable timeframe. Where a serious violation was observed by the CP, the Secretariat confirms receipt of notification from the CP.</p>
57	<p>High Seas Boarding and Inspection</p> <p>2006-08 33 and 36</p>	I	<p>CCM submitted a statement in AR Pt2 that:</p> <p>a. confirms its implementation through adoption of a national binding measure that requires CCM fishing vessel authorities to respond no later than 3 full working days to a HSBI observed serious violation notification</p> <p>b. describes how CCM is monitoring and ensuring that its fishing vessels respond no later than 3 full working days to a HSBI observed serious violation notification, and how the CCM responds to potential infringements or instances of non-compliance with this requirement.</p>
58	<p>High Seas Boarding and Inspection</p> <p>2006-08 40</p>	R	<p>Secretariat confirms receipt of a report from a Contracting Party on its high seas boarding and inspection activities and where possible violations were observed, the information is clear and accurate and has been shared with the relevant parties.</p>
59	<p>High Seas Boarding and Inspection</p>	R	<p>Secretariat confirms that CCM submitted updated HSBI-related information on any relevant cases in the Online Compliance Case File System and that the CCM also submitted information in its ARPt2 on any</p>

#	CMM/para	Category	DRAFT AUDIT POINT
	2006-08 41		actions taken in response to alleged violations observed during HSBI events, including information on proceedings and sanctions, where applicable.
60	<b>Port State Measures</b> 2017-02 05	I	CCM submitted a statement in ARPt2 that: <ul style="list-style-type: none"> <li>a. 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</li> <li>b. describes how CCM is monitoring and ensuring that its flagged vessels cooperate with any CCM port that is implementing WCPFC port state measures when in that CCM’s port, and how the CCM responds to potential infringement or instances of non-compliance with this requirement.</li> </ul>
61	<b>Port State Measures</b> 2017-02 08	I	CCM submitted a statement in AR Pt2 that: <ul style="list-style-type: none"> <li>a. confirms CCM’s implementation through adoption of a national binding measure that ensures fisheries inspections in its ports are conducted by CCM’s Government Authorized Inspectors</li> <li>b. describes how CCM is monitoring and ensuring that fisheries inspections in its ports are conducted by CCM’s Government Authorized Inspectors, and how CCM responds to instances of potential infringement or instances of non-compliance with this requirement.</li> </ul>
62	<b>Port State Measures</b> 2017-02 09 and 10	I	CCM submitted a statement in AR Pt2 that: <ul style="list-style-type: none"> <li>a. 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</li> <li>b. 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 how CCM responds to potential infringements or instances of non-compliance with this requirement.</li> </ul>

#	CMM/para	Category	DRAFT AUDIT POINT
63	<b>*Rev - Port State Measures</b> 2017-02 13 and 14	I	CCM submitted a statement in AR Pt 2 that: <ul style="list-style-type: none"> <li>a. 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</li> <li>b. describes how CCM is monitoring and ensuring that where port inspections have been requested, the report is provided to the required parties, and how the CCM responds to potential infringements or instances of non-compliance with this requirement.</li> </ul>
	<b>Proposed Revision</b> Simplify, assess as a Report to the Secretariat where applicable.	R	<b>The Secretariat confirms through the relevant requesting CCM and the port CCM that a port inspection report was provided, where requested.</b>
64	<b>Port State Measures</b> 2017-02 15	I	CCM submitted a statement in AR Pt2 that: <ul style="list-style-type: none"> <li>a. confirms CCM's implementation through adoption of a national binding measure that requires investigation of any alleged IUU fishing by CCM flagged fishing vessels as identified in a port inspection report</li> <li>b. describes how CCM is monitoring and ensuring that investigation of alleged IUU fishing by its fishing vessels is taking place where required, and how the CCM responds to potential infringements and instances of non-compliance with this requirement.</li> </ul>
65	<b>Port State Measures</b> 2017-02 17	I	CCM submitted a statement in AR Pt2 that: <ul style="list-style-type: none"> <li>a. 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.</li> </ul>

#	CMM/para	Category	DRAFT AUDIT POINT
			<ul style="list-style-type: none"> <li>b. 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 how CCM responds to potential infringements or instances of non-compliance with this requirement.</li> </ul>
66	Port State Measures 2017-02 19 and 21	R	Secretariat confirms that port CCM has submitted details on its point of contact for purposes of CMM 2017-02 and that the port CCM has notified the Secretariat of its relevant measures adopted pursuant to CMM 2017-02 within 30 days of such measures entering into force.
<b>Part I: Observer Activity Related Requirements</b>			
67	Regional Observer Program 2018-05 10	I	<p>CCM submitted a statement in AR Pt2 that:</p> <ul style="list-style-type: none"> <li>a. 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)</li> <li>b. describes how CCM monitoring and ensuring that its vessel captains are aware of observer duties relevant to Commission measures, and how CCM responds to potential infringements or instances of non-compliance with this requirement.</li> </ul>
68	Regional Observer Program 2018-05 15(g)	I	<p>CCM submitted a statement in AR Pt2 that:</p> <ul style="list-style-type: none"> <li>a. 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 CMM 2018-05)</li> <li>b. describes how CCM is monitoring and ensuring that its vessel operators comply with the Guidelines for the Rights and Responsibilities of Vessel Operators, Captains, and Crew (Annex B</li> </ul>

#	CMM/para	Category	DRAFT AUDIT POINT
			of CMM 2018-05), and how CCM responds to potential infringements or instances of non-compliance with this requirement.
69	<b>*Rev - Regional Observer Program</b> 2018-05 Annex C 06	I	CCM submitted a statement in AR Pt2 that: <ul style="list-style-type: none"> <li>a. 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</li> <li>b. describes how CCM is monitoring and ensuring that its flagged non-PS vessels are achieving a minimum observer coverage rate of 5%, and how CCM responds to potential infringements or instances of non-compliance with this requirement.</li> </ul>
	Proposed Revision Simplify, assess as a Report	R	<b>The Secretariat confirms receipt of a report from the CCM that it has achieved a minimum observer coverage rate of 5% for its flagged, non-PS vessels.</b>
70	<b>*Rev - Tropical Tuna</b> 2021-01 32	I	CCM submitted a statement in AR Pt 2 that: <ul style="list-style-type: none"> <li>a. 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.</li> <li>b. describes how CCM is monitoring and ensuring that its flagged PS vessels are carrying observers from the ROP, as required, and how CCM responds to potential infringements or instances of non-compliance with this requirement.</li> </ul>
	Proposed Revision Simplify, assess as a Report	R	<b>The Secretariat confirms receipt of a report from the CCM that its flagged purse seine vessels carried an ROP observer where that flagged purse seine vessel was 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.</b>
71	<b>*Rev - Tropical Tuna</b> 2021-01 33	I	CCM submitted a statement in AR Pt2 that:

#	CMM/para	Category	DRAFT AUDIT POINT
			<ul style="list-style-type: none"> <li>a. 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.</li> <li>b. 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 how CCM responds to potential infringements or instances of non-compliance with this requirement.</li> </ul>
	<b>Proposed Revision</b> Simplify, assess as a Report	R	<b>The Secretariat confirms receipt of a report from the CCM that confirms its flagged purse seine vessels carried an observer when said vessels were operating solely within the CCM's national jurisdiction between 20N and 20S.</b>
72	<b>Transshipment</b> 2009-06 13	I	<p>CCM submitted a statement in AR Pt 2 that:</p> <ul style="list-style-type: none"> <li>a. confirms CCM's implementation through adoption of a national binding measure of the requirement for vessels the CCM is responsible for to carry observers from the WCPFC ROP to observe transshipments at sea.</li> <li>b. includes information on level of observer coverage achieved according to relevant vessel category (paragraphs 13a, 13b, or 13c of CMM 2009-06).</li> <li>c. 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 how CCM responds to potential infringements or instances of non-compliance with this requirement</li> </ul> <p>CCM reported in its high seas transshipment declarations that there was an ROP observer on board a CCM offloading vessel or the receiving vessel (WCPFC16 decision)</p>
73	<b>*Rev - Observer Safety</b> 2017-03 03-06	I	<p>CCM submitted a statement in AR Pt2 that:</p> <ul style="list-style-type: none"> <li>a. 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</li> </ul>

#	CMM/para	Category	DRAFT AUDIT POINT
			<p>b. describes how CCM is monitoring and ensuring that the CCM vessel operator notifies/d the Maritime Rescue Coordination Center, the CCM observer provider, and the Secretariat in the event an observer dies, is missing, or presumed fallen overboard, or experiences serious illness or injury, and how the CCM responds to potential infringements or instances of non-compliance with this requirement.</p>
	<p>Proposed Revision Delete “monitoring”</p>	I	<p>CCM submitted a statement in AR Pt2 that:</p> <p>a. confirms CCM’s implementation through adoption of a national binding measure that requires CCM vessel operators, in the event an observer dies, is missing, or presumed fallen overboard, or experiences serious illness or injury, to notify the Maritime Rescue Coordination Center, the CCM observer provider, and the Secretariat</p> <p>describes how CCM is <del>monitoring</del> and ensuring that the CCM vessel operator notifies/d the Maritime Rescue Coordination Center, the CCM observer provider, and the Secretariat in the event an observer dies, is missing, or presumed fallen overboard, or experiences serious illness or injury, and how the CCM responds to potential infringements or instances of non-compliance with this requirement.</p>
74	*Rev - Observer Safety 2017-03 07 and 08	I	<p>CCM submitted a statement in AR Pt 2 that:</p> <p>a. confirms CCM’s implementation through adoption of a national binding measure that requires its flagged vessels to do the following in the event that there are reasonable grounds to believe an observer has been assaulted, intimidated, threatened, or harassed, or the observer or observer provider indicates to the fishing vessel CCM that they wish for the observer to be removed from the vessel:</p> <ul style="list-style-type: none"> <li>i. Immediately take action to ensure safety of observer and mitigate and resolve situation on board</li> <li>ii. Notify the flag CCM authorities and the observer provider of the situation, including status and location of observer</li> <li>iii. 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</li> <li>iv. Cooperates fully in any and all official investigations into the incident</li> </ul>



#	CMM/para	Category	DRAFT AUDIT POINT
			<ul style="list-style-type: none"> <li>v. 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</li> <li>b. 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 how the CCM responds to potential infringements or instances of non-compliance with this requirement.</li> </ul>
	<p>Proposed Revision</p> <p>Delete “monitoring”</p>	<p>I</p>	<p>CCM submitted a statement in AR Pt 2 that:</p> <ul style="list-style-type: none"> <li>a. 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:               <ul style="list-style-type: none"> <li>i. Immediately take action to ensure safety of observer and mitigate and resolve situation on board</li> <li>ii. Notify the flag CCM authorities and the observer provider of the situation, including status and location of observer</li> <li>iii. 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</li> <li>iv. Cooperates fully in any and all official investigations into the incident</li> <li>v. 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</li> </ul> </li> <li>b. describes how CCM is <del>monitoring</del> 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</li> </ul>

#	CMM/para	Category	DRAFT AUDIT POINT
			observer has been assaulted, intimidated, threatened, or harassed, and how the CCM responds to potential infringements or instances of non-compliance with this requirement.
75	*Rev - Observer Safety 2017-03 09	I	CCM submitted a statement in AR Pt2 that: <ul style="list-style-type: none"> <li>a. confirms CCM’s implementation through adoption of a national binding measure that ensures it is facilitating port entry for fishing vessels and facilitating safe disembarkation of a WCPFC ROP observer for reasons relating to the observer’s safety or well-being.</li> <li>b. 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 how CCM responds to potential infringements or instances of non-compliance with this requirement.</li> </ul>
	Proposed Revision  Insert “port” in front of “CCM”	I	CCM submitted a statement in AR Pt2 that: <ul style="list-style-type: none"> <li>a. confirms <u>port</u> CCM’s implementation through adoption of a national binding measure that ensures it is facilitating port entry for fishing vessels and facilitating safe disembarkation of a WCPFC ROP observer for reasons relating to the observer’s safety or well-being.</li> <li>b. describes how <u>port</u> 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 how CCM responds to potential infringements or instances of non-compliance with this requirement.</li> </ul>
76	*Rev - Observer Safety 2017-03 10	I	CCM submitted a statement in AR Pt 2 that: <ul style="list-style-type: none"> <li>a. 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.</li> <li>b. 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 how CCM responds to potential infringements or instances of non-compliance with this requirement.</li> </ul>

#	CMM/para	Category	DRAFT AUDIT POINT
	Proposed Revision Delete “monitoring”	I	CCM submitted a statement in AR Pt 2 that: <ul style="list-style-type: none"> <li>a. 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.</li> <li>b. describes how CCM is <del>monitoring</del> 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 how CCM responds to potential infringements or instances of non-compliance with this requirement.</li> </ul>
77	*Rev - Observer Safety 2017-03 11	I	CCM provider of WCPFC ROP observers submitted a statement in AR Pt 2 that: <ul style="list-style-type: none"> <li>a. confirms CCM’s implementation through adoption of a national binding measure that its national authority responsible for provision of ROP observers will notify the relevant flag CCM in the event that an observer dies, is missing, or presumed fallen overboard during the course of observer duties, will cooperate fully in any search and rescue operations, will cooperate fully in investigations, and where required, will facilitate the safe disembarkation of observers.</li> <li>b. 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 how CCM responds to potential infringements or instances of non-compliance with this requirement.</li> </ul>
	Proposed Revision Delete “monitoring”	I	CCM provider of WCPFC ROP observers submitted a statement in AR Pt 2 that: <ul style="list-style-type: none"> <li>a. 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</li> </ul>

#	CMM/para	Category	DRAFT AUDIT POINT
			<p>the event that an observer dies, is missing, or presumed fallen overboard during the course of observer duties, will cooperate fully in any search and rescue operations, will cooperate fully in investigations, and where required, will facilitate the safe disembarkation of observers.</p> <p>b. describes how CCM is <del>monitoring</del> 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 how CCM responds to potential infringements or instances of non-compliance with this requirement.</p>
78	*Rev - Observer Safety 2017-03 12	I	<p>CCM submitted a statement in AR Pt 2 that:</p> <p>a. 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.</p> <p>b. 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 how CCM responds to potential infringements or instances of non-compliance with this requirement.</p>
	Proposed Revision  Delete “monitoring”	I	<p>CCM submitted a statement in AR Pt 2 that:</p> <p>a. 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.</p> <p>b. describes how CCM is <del>monitoring</del> 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 how CCM responds to potential infringements or instances of non-compliance with this requirement.</p>

#	CMM/para	Category	DRAFT AUDIT POINT
<b>Part J: Other Obligations not Categorized in Sub-Themes</b>			
79	<b>*Rev - Marine Pollution</b> 2017-04 08	R	The Secretariat confirms that CCM submitted information on types of assistance provided to SIDS related to provision of adequate port facilities for receiving and appropriately disposing of waste from fishing vessels, with an emphasis on the reporting year.
	Proposed Revision  Not to be assessed by the CMS		<b>[No revision; proposal to remove this audit point]</b>

## IV. DRAFT Audit Points Checklist for Proposed New Obligations ("Audit Points Checklist")<sup>4</sup>

*(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.

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<sup>4</sup> From FFA Members Discussion Paper on WCPFC Audit Points, July 2021

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.