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Recommended Draft Audit Points for the WCPFC Compliance Monitoring Scheme (CMS)

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Paper by the CMS Audit Points Lead

Introduction

1. The Commission committed to a CMS Future Work Plan in its adoption of CMM 2018-07 at its 15th regular session in Honolulu, Hawaii, to be progressed through a CMS-Intersessional Working Group (CMS-IWG), led by the Vice Chair of the Technical and Compliance Committee (TCC). The Federated States of Micronesia (FSM) on behalf of Forum Fisheries Agency (FFA) members agreed to lead intersessional work on CMS audit points in 2019 and presented a paper outlining work-to-date to WCPFC16 in 2019 for consideration. WCPFC16 agreed to continue the audit points work in 2020.
2. The COVID-19 pandemic in early 2020 caused a delay in the continuation of CMS Future Work, which led in part to WCPFC17 adopting TCC16's recommendation that Ms. Rhea Moss-Christian (Marshall Islands) lead the development of CMS audit points, beginning in 2021. Progress was further delayed in 2021 due to the Commission's focus on renewing its tropical tuna measure in 2021, which took place in a virtual meeting setting.
3. In May 2022, the CMS-IWG agreed to a revised CMS Future Work Plan, which included a plan to develop draft audit points during the 2022 intersessional period for the consideration of TCC18.
4. In a small working group, TCC18 considered draft audit points for 60 obligations agreed by the Commission to be assessed in the 2022 dCMR, covering the 2021 reporting year. TCC18 agreed to recommend 59 draft audit points to the Commission for adoption at WCPFC19. TCC18 also tasked the CMS Audit Points Lead to prepare the remaining draft audit points for ~100 obligations for consideration by the CMS-IWG ahead of WCPFC19, with a view to proposing a complete set of draft audit points to the Commission for adoption.
5. There are five Audit Point papers prepared for the CMS-IWG and available on the WCPFC [website](#), as follows:

- i. May 2022 CMS-IWG Draft WCPFC Audit Points
Reference document containing existing evaluation criteria prepared by the WCPFC Secretariat compared to draft audit points submitted by FFA members for discussion. Includes detail on obligation, applicability, and data sources used for verification.
- ii. August 2022 CMS-IWG Supplementary Draft WCPFC Audit Points
Draft audit points for 60 obligations agreed by the Commission to be assessed in the 2022 dCMR, covering 2021 activities.
- iii. TCC18 Agreed Draft Audit Points (Attachment D of TCC18 Summary Report)
Draft audit points agreed by TCC18 for 59 obligations, to be recommended to WCPFC19 for adoption.
- iv. October 2022 CMS-IWG Supplementary2 Draft WCPFC Audit Points
Remaining draft audit points for 101 obligations for review by the CMS-IWG.
- v. November 2022 Revised CMS-IWG Supplementary2 Draft WCPFC Audit Points
Revised draft audit points based on CMS-IWG feedback on remaining 101 obligations.

Progress at WCPFC19

6. In a meeting of a CMS Small Working Group (SWG) during WCPFC19, CCMs reviewed the CMS-IWG's revised draft audit points for the remaining Limit (L) and Report (R) obligations, for a total of 38 draft audit points. Limited available time prevented the SWG from considering the remaining draft audit points for 46 Implementation (I) obligations.
7. Members noted that agreement on audit points for obligations containing the language "actively fishing for" or "fishing for" requires further consideration by the Commission on the interpretation of these terms in order for these audit points to be fully implemented.
8. In respect of Implementation obligations, one CCM offered the following view for future consideration of outstanding Implementation obligation audit points: in Audit Points for implementation obligations imposed on CCM authorities, "national binding measures" includes Terms of Reference for Government Authorities, Code of Conduct for the Staff, and any other instruments obliging the government authority to comply with obligations.
9. Proposed draft audit points agreed to by the CMS-IWG and the WCPFC19 SWG are contained at [Annex A](#), which also includes proposed draft audit points agreed to by TCC18. Remaining draft audit points requiring further discussion and consideration in 2023 are contained at [Annex B](#).
10. Part of the audit points development included a task to develop a checklist that would accompany proposed new and amended obligations for the purpose of agreeing to how an obligation would be assessed for compliance at the same time a proposed new obligation is adopted, or an existing obligation is amended. The SWG considered a draft Audit Points

Checklist prepared by FFA members in their 2021 Audit Points Discussion Draft and agreed to recommend it to the Commission for adoption. The draft Checklist is contained at [Annex C](#).

Recommendation

WCPFC19 is invited to adopt the proposed draft audit points contained at Annex A, and the proposed draft audit points checklist contained at Annex C. WCPFC19 is further invited to task the CMS-IWG to complete its review of the remaining draft audit points contained at Annex B in 2023, with a view to recommending proposed draft audit points to WCPFC20 for adoption.

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Draft Audit Points for Adoption by WCPFC19

#	CMM/para	Category	AUDIT POINT
Part A: Overarching Reporting Requirements			
1	MCS Data Rules 44 (2009 Document)	R	<p>Where a CCM has requested data, the following information has been reported in respect of the information:</p> <p>Secretariat confirms that the CCM has reported information in its ARPt2 on:</p> <ol style="list-style-type: none"> a. CCM's domestic measures taken to ensure the confidentiality of any data and information received pursuant to the MCS Data Rules and Procedures b. a statement affirming that they have complied with the data retention and destruction requirements of Section V of these Rules and Procedures c. a summary report of the status of any investigation, judicial or administrative proceedings <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 https://www.wcpfc.int/administration-wcpfc-data-access-rules-and-procedures.</p>
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	Special Requirements 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.
4	Record of Fishing Vessels 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.

#	CMM/para	Category	AUDIT POINT
5	Compliance Monitoring Scheme 2021-03 17	R	The Secretariat confirms that CCM submitted a report of its progress under an approved Capacity Development Plan
6	Compliance Monitoring Scheme 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.
Part B: Quantitative Limits in CMMs for Tuna and Billfish			
7	SWP Str Marlin 2006-04 01	L	The CCM reported in AR Pt2 the number of its flagged vessels fishing for MLS south of 15S and the Secretariat can verify the CCM's reported number of vessels and confirm that the CCM's allowable limit has not been exceeded.
8	SWP Str Marlin 2006-04 04	R	The Secretariat confirms that the CCM submitted in its ARPt1: <ul style="list-style-type: none"> a. the number of its flagged vessels that fished for MLS south of 15S between 2001-2004 and has nominated the maximum number of its flagged vessels that are permitted to continue to fish for MLS south of 15S b. the catch levels of CCM flagged vessels that have taken MLS as a bycatch the number and catch levels of its vessels fishing for MLS south of 15S.
9	Swordfish 2009-03 01	L	The CCM reported in AR Pt2 its total number of flagged vessels fishing for SWO south of 20S and the Secretariat can verify the CCM's reported catch level and confirm that the CCM's allowable limit has not been exceeded.
10	Swordfish 2009-03 02	L	The CCM reported in AR Pt2 its total catch of SWO by its flagged vessels in the area south of 20S and the Secretariat can verify the CCM's reported catch level and confirm that the CCM's allowable limit has not been exceeded.

#	CMM/para	Category	AUDIT POINT
11	Swordfish 2009-03 03	I	<p>1. CCM submitted a <i>statement</i> in AR Pt2 that:</p> <ul style="list-style-type: none"> a. confirms CCM’s implementation through adoption of a national binding measure that ensures that CCM flagged vessels do not shift effort (for swordfish) to the area north of 20S b. describes how it is monitoring its flagged vessels to ensure they do not shift effort for SWO to the area north of 20S and how the CCM responds to potential infringements or instances of non-compliance with this requirement. <p>2. The Secretariat can verify that the CCM’s flagged vessels have not shifted effort to the area north of 20S.</p>
12	Swordfish 2009-03 08	R	The Secretariat confirms that the CCM submitted the required information contained in the template in Annex 2 of CMM in its AR Pt 1.
13	NP Striped Marlin 2010-01 05	L	The CCM reported its catch level in AR Pt2 and the Secretariat can verify the CCM’s reported catch limit and confirm that its allowable limit was not exceeded.
14	NP Striped Marlin 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.
15	SP Albacore 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.
16	SP Albacore 2015-02 04	R	The Secretariat confirms that the CCM submitted information on annual catch levels by its flagged vessels taking SP Albacore, as well as the number of CCM flagged vessels actively fishing for SP Albacore south of 20S, with catch levels reported by species groups.
17	NP Albacore 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.
18	NP Albacore 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.

#	CMM/para	Category	AUDIT POINT
19	Tropical Tuna 2021-01 24	L	<ol style="list-style-type: none"> Coastal CCM or PNA Office on behalf of PNA Parties+Tokelau notified their EEZ PS effort or catch limit or collective PNA+Tokelau EEZ effort or catch limit to the Secretariat. Coastal CCM confirms in AR Pt2 that its notified EEZ limit or the PNAO confirms on behalf of PNA+Tokelau that the notified collective EEZ limit has not been exceeded and the Secretariat can verify the CCM's reported information and confirm that the notified EEZ or collective EEZ limit has not been exceeded.
20	Tropical Tuna 2021-01 25	L	CCM submitted its high seas PS effort level in the area between 20N and 20S in AR Pt 2 and the Secretariat can verify the CCM's reported information and confirm that the allowable limit has not been exceeded.
21	Tropical Tuna 2021-01 Att 2 03	R	<ol style="list-style-type: none"> CCM submitted reports to the Secretariat at least 24 hours prior to entry and no more than 6 hours prior to exiting HSP1-SMA in the required format: VID/Entry or Exit: Date/Time; Lat/Long Secretariat review of VMS alerts for CCM vessels operating in HSP1-SMA against received entry/exit reports does not show any discrepancies and Secretariat confirms CCM has no vessels with VTAF data gaps or other VMS reporting anomalies.
22	Tropical Tuna 2021-01 37	L	The CCM reported its total bigeye catch in its AR Pt2 and the Secretariat can verify the CCM's reported catch level and confirm that the allowable limit has not been exceeded.
23	Tropical Tuna 2021-01 38	R	The Secretariat confirms that it received 12 bigeye longline catch reports for each month of the reporting year.
24	Tropical Tuna 2021-01 40	L	CCM reported its total bigeye catch in its AR Pt 2 and the Secretariat can verify the CCM's reported catch level and confirm that it does not exceed 2,000mt.
25	Tropical Tuna 2021-01 42	L	The CCM reported its number of CCM flagged PS vessels >24m with freezing capacity and operating between 20N and 20S and the Secretariat can verify the CCM's reported information and confirm that the allowable limit has not been exceeded.

#	CMM/para	Category	AUDIT POINT
26	Tropical Tuna 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 or effort from the level that was replaced, and the Secretariat can verify that the allowable limit was not exceeded.
27	Tropical Tuna 2021-01 44	L	The CCM reported in AR Pt2 its number of flagged LL vessels with freezing capacity targeting bigeye and the Secretariat can verify the CCM's reported information and confirm that the allowable limit has not been exceeded.
28	Tropical Tuna 2021-01 45	L	The CCM reported in AR Pt2 its number of flagged ice-chilled LL vessels targeting bigeye and landing exclusively fresh fish and the Secretariat can verify the CCM's reported information and confirm that the allowable limit has not been exceeded.
29	Pacific Bluefin 2021-02 08 (2020-02 05)	R	The Secretariat confirms CCM submitted a complete report to the Secretariat on total fishing effort and catch levels of PBT by fishery for the previous three years and catch information includes discards.
30	Pacific Bluefin 2021-02 02 (2020-02 02(1))	L	CCM reported its total level of fishing effort by CCM's flagged vessels fishing for PBF north of 20N in its report to the Secretariat as required by paragraph 8 of the CMM, and the Secretariat can verify the CCM's reported total fishing effort and confirm that the CCM's allowable limit was not exceeded.
31	Pacific Bluefin 2021-02 03 (2020-02 02(2))	L	CCM reported its total catches of PBF less than 30kg and 30kg or larger and the Secretariat can verify the CCM's reported total catches and confirm that the total catch level does not exceed the CCM's allowable annual limit.
32	Pacific Bluefin 2021-02 04	L	CCM reported its total catches of PBF 30kg or larger and the Secretariat can verify the CCM's reported total catches and confirm that the CCM's catch of PBF 30kg or larger has not increased by more than 15% above its allowable limit, or that the CCM's catch of PBF 30kg or larger has not exceeded 10mt beyond the CCM's applicable baseline catch limit.

#	CMM/para	Category	AUDIT POINT
33	Pacific Bluefin 2021-02 14	R	The Secretariat confirms receipt of a complete report by the CCM on national binding measures adopted to implement paragraphs 2, 3, 4, 7, 8, 10, 11, 13, and 16 of the CMM, and that the report includes results of the CCM's monitoring of international trade of products derived from PBF.
Part C: Additional Measures for Tropical Tunas			
34	High Seas Catch Retention 2009-02 08-12	R	If a discard report was submitted, the Secretariat confirms that the report contained all the information at CMM 2009-02 para 12(a-k).
35	Tropical Tuna 2021-01 14	I	<p>CCM submitted a <i>statement</i> in AR Pt2 that:</p> <ul style="list-style-type: none"> a. confirms CCM's implementation through adoption of a national binding measure that prohibits CCM flagged PS vessels from fishing on FADs between 1 July and 30 September in EEZs and high seas between 20N and 20S. b. describes how CCM is monitoring its flagged PS vessels to ensure they do not fish on FADs in EEZs and on high seas between 20N and 20S and how potential infringements or instances of non-compliance with this requirement are handled. <p>*FOR PNA MEMBERS THAT NOTIFY EXEMPTIONS AS PER FOOTNOTE 1: In addition to the statements required in a and b for its flagged vessels operating in other EEZs and on the high seas between 20N and 20S, the PNA member submitted a notification to the WCPFC ED within 15 days of its approval of an arrangement to which domestic vessels that the 3-month FAD closure will not apply in PNA member EEZ.</p>
36	Tropical Tuna 2021-01 15	I	<p>Based on the CCM's notification by the required deadline of its choice of implementation of which two consecutive additional months of FAD closure on the high seas, the CCM has submitted a statement that:</p> <ul style="list-style-type: none"> a. confirms CCM's implementation through adoption of a national binding measure that prohibits CCM flagged PS vessels from fishing on FADs on the high seas between 20N and 20S during the chosen additional two months closure period b. describes how CCM is monitoring its flagged PS vessels to ensure they do not fish on FADs on the high seas between 20N and 20S during the chosen additional two months closure period,

#	CMM/para	Category	AUDIT POINT
			and how potential infringements or instances of non-compliance with this requirement are handled.
Part E: Mitigating Impacts of Fishing, Including on Species of Special Interest			
37	High Seas Driftnets 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.
38	Cetaceans 2011-03 01	I	CCM submitted a <i>statement</i> in AR Pt2 that: <ul style="list-style-type: none"> a. confirms CCM’s implementation through adoption of a national binding measure that prohibits CCM flagged PS vessels from setting a purse seine net on a school of tuna associated with a cetacean (if sighted prior to commencement of the set) b. describes how CCM is monitoring its flagged PS vessels to ensure they do not set a purse seine net on a school of tuna associated with a cetacean where a sighting occurs prior to commencement of the set, and how potential infringements or instances of non-compliance with this requirement are handled.
39	Cetaceans 2011-03 02	I	CCM submitted a <i>statement</i> in AR Pt2 that: <ul style="list-style-type: none"> a. confirms CCM’s implementation through adoption of a national binding measure that requires the vessel master of CCM flagged PS vessels to follow safe release guidelines in the event a cetacean is unintentionally encircled in the PS net b. describes how CCM is monitoring its flagged PS vessels to ensure safe release guidelines are followed and how potential infringements or instances of non-compliance with this requirement are handled.
40	Cetaceans 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.
41	Seabirds 2018-03 02 <i>(under the “Resolves” section of CMM)</i>	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.

#	CMM/para	Category	AUDIT POINT
42	Seabirds 2018-03 08	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.
43	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.
44	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.
45	Sea Turtles 2018-04 05 a-d	R	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. Where a CCM is undertaking research on FAD designs that reduce sea turtle entanglement, the Secretariat confirms receipt of CCM's research results.
46	Sea Turtles 2018-04 06	I	CCM submitted a <i>statement</i> in AR Pt2 that: <ul style="list-style-type: none"> a. confirms CCM's implementation through adoption of a national binding measure that requires operators of CCM flagged LL vessels to carry and use line cutters and de-hookers to handle and promptly release sea turtles caught or entangled and where appropriate, carry and use dip-nets in accordance with WCPFC guidelines b. describes how CCM is monitoring its flagged LL vessels to ensure this requirement is followed and how potential infringements or instances of non-compliance with this requirement are handled.
47	Sea Turtles 2018-04 07a	I	CCM submitted a <i>statement</i> in AR Pt2 that: <ul style="list-style-type: none"> a. confirms CCM's implementation through adoption of a national binding measure that requires operators of CCM flagged LL vessels to employ at least one of the three mitigation methods listed in paragraph 7a of the CMM b. describes how CCM is monitoring its flagged LL vessels to ensure that at least one of the mitigation measures in paragraph 7a of the CMM is being employed, and how potential infringements or instances of non-compliance with this requirement are handled.

#	CMM/para	Category	AUDIT POINT
			and the Secretariat confirms that CCM provided information in AR Pt 2 of any CCM vessel interactions with sea turtles in fisheries managed under the Convention and confirmation that CCM vessels are required to record all incidents involving sea turtles during fishing operations.
48	Sharks 2019-04 05	R	The Secretariat confirms that CCM reported in AR Pt 2 information on alternative measures not contained in the CMM that the CCM is applying in areas under CCM's national jurisdiction.
49	Sharks 2019-04 07-10	I	CCM submitted a <i>statement</i> in AR Pt2 that: <ul style="list-style-type: none"> a. confirms CCM's implementation through adoption of a national binding measure that requires CCM flagged vessels to fully utilize any sharks that are retained on board and to prohibit any finning from taking place, or required alternative measures to ensure individual shark carcasses and their corresponding fins can be easily identified on board the vessel at any time b. describes how CCM is monitoring its flagged vessels to ensure that sharks are being fully utilized and fins are naturally attached to the carcass or alternative measures are applied as per the CMM, and how potential infringements or instances of non-compliance with this requirement are handled.
50	Sharks 2019-04 11	R	The Secretariat confirms receipt of a report from CCM in AR Pt 2 with information on CCM implementation of measures taken to require CCM vessels to land sharks with fins naturally attached to the carcass, including a detailed explanation of implementation of paragraphs 8 and 9 of CMM 2019-04 and CCM's compliance monitoring activities.
51	Sharks 2019-04 12	I	CCM submitted a <i>statement</i> in AR Pt2 that: <ul style="list-style-type: none"> a. confirms CCM's implementation through adoption of a national binding measure that prohibits CCM flagged fishing vessels from retaining on board, transshipping, landing, or trading any fins harvested in contravention of CMM 2019-04 b. describes how CCM is monitoring its flagged fishing vessels to ensure that no fins are retained on board, transshipped, landed or traded, and how potential infringements or instances of non-compliance with this requirement are handled.
52	Sharks 2019-04 13	I	CCM submitted a <i>statement</i> in AR Pt2 that:

#	CMM/para	Category	AUDIT POINT
			<ul style="list-style-type: none"> a. confirms CCM's implementation through adoption of a national binding measure that requires CCM flagged fishing vessels to land or tranship all shark carcasses with their corresponding fins and in a manner that enables inspectors to verify b. describes how CCM is monitoring its flagged fishing vessels to ensure that all shark fins that are landed or transhipped with their corresponding carcasses can be verified, and how potential infringements or instances of non-compliance with this requirement are handled.
53	Sharks 2019-04 14-15	I/R	<p>Based on the CCM's notification to the Secretariat of which option will apply to the CCM or its individual vessels, the CCM has submitted a statement in AR Pt 2 that:</p> <ul style="list-style-type: none"> a. confirms CCM's implementation through adoption of a national binding measure that requires its flagged LL vessel or vessels to apply the CCM's selected option b. describes how CCM is monitoring its flagged LL vessels to ensure that the selection option is being applied and how potential infringements or instances of non-compliance with this requirement are handled.
54	Sharks 2019-04 16	R	The Secretariat confirms CCM submitted a report in its AR Pt 2 of its management plan for CCM's flagged LL vessels targeting sharks (note report guidance in CMM Annex 2 para 5).
55	Sharks 2019-04 18	I	<p>CCM submitted a <i>statement</i> in AR Pt2 that:</p> <ul style="list-style-type: none"> a. confirms CCM's implementation through adoption of a national binding measure that requires CCM flagged vessels with observers or electronic monitoring cameras on board to haul any sharks that are caught alongside the vessel before being cut free to facilitate species ID b. describes how CCM is monitoring its flagged vessels with observers or electronic monitoring cameras on board to ensure that any sharks caught are hauled alongside to facilitate species ID, and how potential infringements or instances of non-compliance with this requirement are handled.
56 57 58	Sharks (OWT, SS) 2019-04 20 (01-03)	I	<p>CCM submitted a <i>statement</i> in AR Pt2 that:</p> <ul style="list-style-type: none"> a. confirms CCM's implementation through adoption of a national binding measure that prohibits CCM flagged vessels or vessels under CCM charter to retain on board, tranship, store, or land any oceanic whitetip or silky shark, in whole or in part; requires release of any oceanic whitetip or silky shark that is caught, in accordance with applicable safe release guidelines; surrender in whole any

#	CMM/para	Category	AUDIT POINT
			<p>unintentionally caught oceanic whitetip or silky shark that are frozen as part of CCM flagged PS vessels' operation to the responsible government authorities or discard them at the point of landing or transshipment, upon which any surrendered OWT or SS may be donated for human consumption</p> <p>b. describes how CCM is monitoring its flagged vessels or vessels it charters to ensure the requirements are met, and how potential infringements or instances of non-compliance with this requirement are handled.</p>
59 60	<p>Sharks (Whale)</p> <p>2019-04 21 (01-07) 2019-04 21(04)</p>	I/R	<p>CCM submitted a <i>statement</i> in AR Pt2 that:</p> <p>a. confirms CCM's implementation through adoption of a national binding measure that: prohibits its flagged and chartered vessels from setting a purse seine on a school of tuna associated with a whale shark if the animal is sighted prior to the commencement of a set, or retaining on board, transshipping, or landing any whale shark caught in the Convention Area, in whole or in part, in the fisheries covered by the Convention; ensures that all reasonable steps are taken to ensure safe release of incidentally encircled whale sharks and that the incident is reported to the CCM's relevant authority</p> <p>b. describes how the CCM is monitoring its flagged and chartered vessels to ensure the requirements are met and how potential infringements or instances of non-compliance with this requirement are handled.</p> <p>*CCMs with vessels authorized to fish in the EEZ of any member of the PNA shall include in their statement in AR Pt 2 the requirement for this prohibition to be in accordance with the PNA 3IA. (para 21.3)</p> <p>*CCMs with vessels authorized to fish in EEZs of CCMs north of 30N, the CCM shall implement the CMM or compatible measures consistent with obligations in the CMM and provide a description of those measures in AR Pt 2. (para 21.4)</p>
61	<p>Sharks</p> <p>2019-04 23</p>	R	The Secretariat confirms CCM submitted a report in AR Pt2 that addresses each of the elements contained in the template at Annex 2 of the CMM.
62	<p>Mobulids</p> <p>2019-05 04-06, 08, 10</p>	I	<p>CCM submitted a <i>statement</i> in AR Pt 2 that:</p> <p>a. confirms CCM's implementation through adoption of a national binding measure that: prohibits its flagged vessels from retaining on board, transshipping, or landing any part or whole carcass of a</p>

#	CMM/para	Category	AUDIT POINT
			<p>mobulid ray, and require prompt release alive and unharmed any mobulid ray that is caught, in accordance with safe handling practices in the CMM; requires CCM PS vessel operators to surrender any unintentionally caught and landed mobulid rays to the relevant government authorities at the point of landing or transshipment, or discard them where possible, and allows observers to collect biological samples of mobulid rays that are caught and dead at haul back</p> <p>b. describes how the CCM is monitoring its flagged vessels to ensure the requirements are met and how potential infringements or instances of non-compliance with this requirement are handled.</p>
Part F: Operational Requirements for Fishing Vessels			
63	VMS SSPs 2.8	R	<p>1. The Secretariat confirms that CCM’s flagged vessels are on the FFA Good Standing List.</p> <p>or</p> <p>The Secretariat confirms that the CCM has provided complete VTAF details.</p>
64	RFV 2018-06 03	I	<p>CCM submitted a <i>statement</i> in AR Pt 2 that:</p> <p>a. confirms CCM’s implementation through adoption of a national binding measure that prohibits fishing by CCM flagged vessels beyond areas of CCM’s national jurisdiction without the appropriate CCM authorization</p> <p>describes how the CCM is monitoring and ensuring that its flagged vessels are not operating beyond the CCM’s areas of national jurisdiction without the appropriate CCM authorization, and how potential infringements or instances of non-compliance with this requirement are handled.</p>
65	RFV 2018-06 09	R	The Secretariat confirms that a fished/did not fish report has been received from the CCM using the required template.
66	VMS VMS SSPs 2.13 and 7.2.2	R	For each inspection that has been conducted in the previous year, The Secretariat confirms that CCM submitted a complete report of each of its MTU AUDIT INSPECTIONS.
67	Vessel Markings and Specs 2004-03 03	R	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.

#	CMM/para	Category	AUDIT POINT
Part G: Activity Related Requirements			
68	SciData 01 (annual catch estimates)		Assessment is in accordance with Tier-Scoring Evaluation Level:
69	SciData 02 (number of active vessels)		<ul style="list-style-type: none"> • A Tier Score of III = COMPLIANT • A Tier Score of I or II = NON-COMPLIANT/PRIORITY
70	SciData 03 (operational level C/E data)		I No data are provided, or data have been provided but they have been evaluated as 'unusable' (instances where none of the data provided can be used in assessments). This level of data gap is the most severe and has by far the greatest impacts on the scientific work of the Commission.
71	SciData 05 (size composition data)		II Data have been provided, most of which can be used for the scientific work of the Commission, but (i) there are one or several (minimum-standard) data fields not provided an/or (ii) the coverage of the data is not according to the requirements. In these cases, some of the scientific work of the Commission cannot be undertaken. The % value assigned in this category represents the estimated proportion of the key attribute data provided compared to the full set of key attribute data required as stipulated in the WCPFC data submission guidelines.
			III Data have been provided, there are no gaps in the data provided and the coverage of data is according to the requirements.
72	High Seas Boarding and Inspection 2006-08 41	R	1. 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.
73	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	AUDIT POINT
74	Transshipment 2009-06 11	R	The Secretariat confirms receipt by the CCM in AR Pt 1 of the required information in the prescribed format contained at Annex II of CMM 2009-06, and confirms that the report includes the required information for all CCM transshipment events in the Convention Area of all HMFS covered by the Convention, as well as HMFS taken in the Convention Area and transhipped outside the Convention Area, in accordance with paras 10, 11, and 12 of CMM 2009-06.
75	Transshipment 2009-06 29	L	The Secretariat verifies the information reported by the CCM in AR Pt 2 and confirms that the CCM's allowable limit of PS vessels transhipping outside of port has not been exceeded. *Note additional reporting obligations for COVID19-related requirements: The Secretariat has received information in AR Pt 2 of the CCM's approach to implementation of the suspension from 20 April to 31 December 2021.
76	Transshipment 2009-06 34	L	The Secretariat confirms that none of the vessels for which the CCM is responsible has engaged in high seas transshipment, unless the CCM indicated in the WCPFC Record of Fishing Vessels or by other means of communication that the vessel or vessels are authorized pursuant to paragraph 37 of CMM 2009-06 to engage in high seas transshipment activities.
77	Transshipment 2009-06 35(a)(ii)	R	The Secretariat confirms that CCM indicated its flagged vessels authorized to tranship on the high seas, including by completing the relevant data field in the RFV data.
78	Transshipment 2009-06 35(a)(iii)	R	Where a CCM (or chartering CCM) has indicated that it has authorized its flagged vessels to engage in high seas transshipment and indicated such authorization in its RFV, the Secretariat confirms that it has received the corresponding WCPFC high seas transshipment notification in respect of each CCM-authorized vessel in accordance with Annex III of CMM 2009-06 or WCPFC ER Standards for high seas transshipment.
79	Transshipment 2009-06 35(a)(iv)	R	Where a CCM (or chartering CCM) has indicated that it has authorized its flagged vessels to engage in high seas transshipment and indicated such authorization in its RFV, the Secretariat confirms that it has received the corresponding WCPFC high seas transshipment declaration in respect of each CCM-authorized vessel in accordance with Annex I of CMM 2009-06 or WCPFC ER Standards for high seas transshipment.

#	CMM/para	Category	AUDIT POINT
80	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.
81	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.
82	Charters 2019-08 02	R	The Secretariat confirms that notification from a CCM of which vessels are to be identified as operating pursuant to a chartering arrangement with the CCM was received within the required timeframe.
83	Charter Notifications 2019-08 03	R	The Secretariat confirms one of the following for the applicable CCM: 2. Chartering CCM provided complete information of any additional vessel(s) to be identified as operating pursuant to charter arrangement AND 3. Chartering CCM provided complete information in respect of any changes made for a chartered vessel previously notified to the WCPFC ED AND Chartering CCM provided notice of termination of any chartered vessel previously notified to the WCPFC AND
84	Charters 2019-08 07	R	The Secretariat confirms that it received a report from the chartering CCM on the catch and effort of vessels notified as operating under charter to the CCM.
85	Tropical Tuna 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, for the CMR year, in accordance with the Standards for the Provision of Operational Level Catch and Effort Data and this measure.
86	Tropical Tuna 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,

#	CMM/para	Category	AUDIT POINT
			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.
Part H: Inspection Activity Related Requirements			
87	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.
88	High Seas Boarding and Inspection 2006-08 30 and 32	R	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.
89	High Seas Boarding and Inspection 2006-08 40	R	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.
90	High Seas Boarding and Inspection 2006-08 41	R	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 actions taken in response to alleged violations observed during HSBI events, including information on proceedings and sanctions, where applicable.
91	Port State Measures 2017-02 13 and 14	R	The Secretariat confirms through the relevant requesting CCM and the port CCM that a port inspection report was provided, where requested.
92	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.

#	CMM/para	Category	AUDIT POINT
Part I: Observer Activity Related Requirements			
93	Tropical Tuna 2021-01 32	R	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.
94	Tropical Tuna 2021-01 Att2 05-06	I	CCM submitted a <i>statement</i> in AR Pt 2 that: <ul style="list-style-type: none"> a. confirms CCM’s implementation through adoption of a national binding measure that requires CCM flagged vessels to employ a WCPFC Regional Observer while operating in HSP-1 SMA describes how the CCM is monitoring and ensuring that its flagged vessels are not operating in HSP-1 SMA without a WCPFC Regional Observer, and how potential infringements or instances of non-compliance with this requirement are handled

Outstanding Draft Audit Points¹

#	CMM/para	Category	DRAFT AUDIT POINT
Part A: Overarching Reporting Requirements			
1	*Rev - CMM Criteria 2013-06 01	I Needs further discussion	[CCM submitted a statement in ARPt2 that: 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. 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.]
	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.]

¹ Draft Audit Points marked with an asterisk (*) reflect intersessional comments by the CMS-IWG in November 2022 as well as discussions in a small working group at WCPFC19.

	sufficient to report on efforts.		
2	*Rev - CMM Criteria 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. REMOVE
	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). REMOVE Also note: General agreement that there is a need to define the process within the Commission on how to address this obligation
Part B: Quantitative Limits in CMMs for Tuna and Billfish			
3	Tropical Tuna 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>
Part C: Additional Measures for Tropical Tunas			
4	Tropical Tuna 2021-01 29	I	CCM submitted a statement in AR Pt2 that: <ul style="list-style-type: none"> 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 operators of vessels on the high seas to submit a report to the ED within 48-hours after any discard. 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.

5	Tropical Tuna 2021-01 21	I	<p>CCM submitted a statement in AR Pt2 that:</p> <ul style="list-style-type: none"> c. confirms CCM’s implementation through adoption of a national binding measure that limits each of CCM flagged PS vessel to 350 activated instrumented buoys d. 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.
6	Tropical Tuna 2021-01 26	I	<p>CCM submitted a statement in AR Pt2 that:</p> <ul style="list-style-type: none"> c. 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 d. 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>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>
Part E: Mitigating Impacts of Fishing, Including on Species of Special Interest			
7	High Seas Driftnets 2008-04 02	I	<p>CCM submitted a statement in AR Pt2 that:</p> <ul style="list-style-type: none"> a. confirms CCM’s implementation through adoption of a national binding measure that prohibits CCM fishing vessels operating on the high seas in the Convention Area from using large-scale driftnets 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.

8	<p>Cetaceans</p> <p>2011-03 03</p>	I	<p>CCM submitted a statement in AR Pt 2 that:</p> <ul style="list-style-type: none"> a. confirms CCM’s implementation through adoption of a national binding measure that 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 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.
9	<p>Marine Pollution</p> <p>2017-04 02</p>	I	<p>CCM submitted a statement in AR Pt2 that:</p> <ul style="list-style-type: none"> a. confirms CCM’s implementation through adoption of a national binding measure that prohibits its fishing vessels from discharging any plastics (including plastic packaging, items containing plastic and polystyrene) 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.
10	<p>Seabirds</p> <p>2018-03 01, 02, 06</p>	I	<p>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):</p> <ul style="list-style-type: none"> a. confirms CCM’s implementation through adoption of a national binding measure 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.
11	<p>Sea Turtles</p> <p>2018-04 05 a-d</p>	I	<p>CCM submitted a statement in AR Pt2 that:</p> <ul style="list-style-type: none"> a. 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

			<ul style="list-style-type: none"> 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.
12	<p>*Rev - Sea Turtles 2018-04 07 b-e</p> <p>Separate Reporting and Implementation Obligations; bracketed text</p>	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> <ul style="list-style-type: none"> 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 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><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>
13	<p>Mobulid Rays 2019-05 03</p>	I	<p>CCM submitted a statement in AR Pt2 that:</p> <ul style="list-style-type: none"> a. confirms CCMs implementation through adoption of a national binding measure that prohibits CCM vessels from targeting fishing or intentional setting on mobulid rays 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.
Part F: Operational Requirements for Fishing Vessels			
14	<p>VMS 2014-02 04</p>	I	<p>CCM submitted a statement in ARPt2 that:</p>

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

16	<p>Tropical Tuna 2021-01 31</p>	I	<p>CCM submitted a statement in ARPt2 that:</p> <ul style="list-style-type: none"> 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 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.
17	<p>Vessel Markings and Specs 2004-03 03</p>	I	<p>CCM submitted a statement in ARPt2 that:</p> <ul style="list-style-type: none"> 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. 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.
18	<p>Record of Fishing Vessels 2018-06 02</p>	I	<p>CCM submitted a statement in AR Pt2 that:</p> <ul style="list-style-type: none"> a. confirms CCM’s implementation through adoption of a national binding measure that prohibits its flagged 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 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.
19	<p>Record of Fishing Vessels 2018-06 04</p>	I	<p>CCM submitted a statement in AR Pt 2 that:</p>

			<ul style="list-style-type: none"> a. confirms CCM’s implementation through adoption of a national binding measure that 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"> i. the specific areas, species and time periods for which the authorization is valid; ii. permitted activities by the vessel; 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; 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 certified copy thereof, issued by a coastal State, as well as a valid certificate of vessel registration; and v. any other specific conditions to give effect to the provisions of the Convention and conservation and management measures adopted pursuant to it. 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.
20	Record of Fishing Vessels 2018-06 07	I	CCM submitted a statement in ARPt2 that: <ul style="list-style-type: none"> 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 WCPFC 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 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.
21	Record of Fishing Vessels 2018-06 17	I	CCM submitted a statement in ARPt2 that:

			<ul style="list-style-type: none"> 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 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 CCM’s national jurisdiction, and how CCM is responding to potential infringements or instances of non-compliance with this requirement.
22	Record of Fishing Vessels 2018-06 18	I	CCM submitted a statement in ARPt2 that: <ul style="list-style-type: none"> 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 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.
23	*Rev - Convention Art 24.3	I	CCM submitted a statement in ARPt2 that: <ul style="list-style-type: none"> 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. 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.
	Proposed Revision Unnecessary as Annex III provisions are reflected in CMMs		[No revision; proposal to remove this audit point]

Part G: Activity Related Requirements

24	<p>Data Buoys</p> <p>2009-05 01, 03, 05</p>	I	<p>CCM submitted a statement in AR Pt 2 that:</p> <ol style="list-style-type: none"> 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. 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.
25	<p>HS Catch and Effort Reporting</p> <p>2013-05 01</p>	I	<p>CCM submitted a statement in ARPt2 that:</p> <ol style="list-style-type: none"> 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 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.
26	<p>HS Catch and Effort Reporting</p> <p>2013-05 02</p>	I	<p>CCM submitted a statement in ARPt2 that:</p> <ol style="list-style-type: none"> 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. 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.

27	HS Catch and Effort Reporting 2013-05 03	I	CCM submitted a statement in ARPt2 that: <ul style="list-style-type: none"> 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 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.
28	HS Catch and Effort Reporting 2013-05 04	I	CCM submitted a statement in ARPt2 that: <ul style="list-style-type: none"> 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 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.
Part H: Inspection Activity Related Requirements			
29	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> CCM submitted a statement in AR Pt 2 that: <ul style="list-style-type: none"> a. confirms CCM’s implementation through adoption of a national binding measure that requires CCM flagged vessels operating on the high seas to accept boarding and inspection by authorized inspectors 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. <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> <ol style="list-style-type: none"> 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 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.
30	<p>High Seas Boarding and Inspection 2006-08 33 and 36</p>	I	<p>CCM submitted a statement in AR Pt2 that:</p> <ol style="list-style-type: none"> 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 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.
31	<p>Port State Measures 2017-02 05</p>	I	<p>CCM submitted a statement in ARPt2 that:</p> <ol style="list-style-type: none"> 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 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.
32	<p>Port State Measures 2017-02 08</p>	I	<p>CCM submitted a statement in AR Pt2 that:</p> <ol style="list-style-type: none"> 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 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.

33	Port State Measures 2017-02 09 and 10	I	CCM submitted a statement in AR Pt2 that: <ul style="list-style-type: none"> 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 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.
34	Port State Measures 2017-02 15	I	CCM submitted a statement in AR Pt2 that: <ul style="list-style-type: none"> 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 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.
35	Port State Measures 2017-02 17	I	CCM submitted a statement in AR Pt2 that: <ul style="list-style-type: none"> 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. 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.
Part I: Observer Activity Related Requirements			
36	Regional Observer Program 2018-05 10	I	CCM submitted a statement in AR Pt2 that: <ul style="list-style-type: none"> 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) 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.
37	Regional Observer Program 2018-05 15(g)	I	CCM submitted a statement in AR Pt2 that: <ul style="list-style-type: none"> 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) 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 of CMM 2018-05), and how CCM responds to potential infringements or instances of non-compliance with this requirement.
38	*Rev - Regional Observer Program 2018-05 Annex C 06	I	CCM submitted a statement in AR Pt2 that: <ul style="list-style-type: none"> 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 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.
	Proposed Revision	R	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.

	Simplify, assess as a Report One request to maintain as Implementation; One suggestion that this is a limit requirement		
39	*Rev - Tropical Tuna 2021-01 33	I	CCM submitted a statement in AR Pt2 that: <ul style="list-style-type: none"> 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. 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.
	Proposed Revision Simplify, assess as a Report	R	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.
40	Transshipment 2009-06 13	I	CCM submitted a statement in AR Pt 2 that: <ul style="list-style-type: none"> a. confirms CCM's implementation through adoption of a national binding measure of the requirement for vessels the CCM is responsible for to carry observers from the WCPFC ROP to observe transshipments at sea. b. includes information on level of observer coverage achieved according to relevant vessel category (paragraphs 13a, 13b, or 13c of CMM 2009-06). 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 <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>

41	<p>*Rev - Observer Safety</p> <p>2017-03 03-06</p>	I	<p>CCM submitted a statement in AR Pt2 that:</p> <ul style="list-style-type: none"> 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 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>Proposed Revision</p> <p>Delete “monitoring”</p>	I	<p>CCM submitted a statement in AR Pt2 that:</p> <ul style="list-style-type: none"> 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>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>
42	<p>*Rev - Observer Safety</p> <p>2017-03 07 and 08</p>	I	<p>CCM submitted a statement in AR Pt 2 that:</p> <ul style="list-style-type: none"> a. confirms CCM’s implementation through adoption of a national binding measure that 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"> i. Immediately take action to ensure safety of observer and mitigate and resolve situation on board ii. Notify the flag CCM authorities and the observer provider of the situation, including status and location of observer

		<ul style="list-style-type: none"> 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 iv. Cooperates fully in any and all official investigations into the incident 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 <p>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.</p>
<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"> 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"> i. Immediately take action to ensure safety of observer and mitigate and resolve situation on board ii. Notify the flag CCM authorities and the observer provider of the situation, including status and location of observer 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 iv. Cooperates fully in any and all official investigations into the incident 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

			<ul style="list-style-type: none"> 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.
43	<p>*Rev - Observer Safety</p> <p>2017-03 09</p>	I	<p>CCM submitted a statement in AR Pt2 that:</p> <ul style="list-style-type: none"> 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. 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.
	<p>Proposed Revision</p> <p>Insert “port” in front of “CCM”</p>	I	<p>CCM submitted a statement in AR Pt2 that:</p> <ul style="list-style-type: none"> 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. 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.
44	<p>*Rev - Observer Safety</p> <p>2017-03 10</p>	I	<p>CCM submitted a statement in AR Pt 2 that:</p> <ul style="list-style-type: none"> a. confirms CCM’s implementation through adoption of a national binding measure that 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. 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.

	<p>Proposed Revision</p> <p>Delete “monitoring”</p>	I	<p>CCM submitted a statement in AR Pt 2 that:</p> <ul style="list-style-type: none"> a. confirms CCM’s implementation through adoption of a national binding measure that 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. 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.
45	<p>*Rev - Observer Safety</p> <p>2017-03 11</p>	I	<p>CCM provider of WCPFC ROP observers submitted a statement in AR Pt 2 that:</p> <ul style="list-style-type: none"> a. confirms CCM’s implementation through adoption of a national binding measure that 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. 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.
	<p>Proposed Revision</p> <p>Delete “monitoring”</p>	I	<p>CCM provider of WCPFC ROP observers submitted a statement in AR Pt 2 that:</p> <ul style="list-style-type: none"> a. confirms CCM’s implementation through adoption of a national binding measure that 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. 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.
46	*Rev - Observer Safety 2017-03 12	I	CCM submitted a statement in AR Pt 2 that: <ul style="list-style-type: none"> a. confirms CCM’s implementation through adoption of a national binding measure that 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. 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.
	Proposed Revision Delete “monitoring”	I	CCM submitted a statement in AR Pt 2 that: <ul style="list-style-type: none"> a. confirms CCM’s implementation through adoption of a national binding measure that 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. 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.

Annex C | Proposed Audit Points Checklist

DRAFT Audit Points Checklist for Proposed New or Amended Obligations ("Audit Points Checklist")

(To be completed by proponents of new and amended measures. This checklist should not be confused with the "2013-06 Checklist", which is specific to impacts of new or amended 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 (R) or Implementation Statements (I), impose Limits (L), or have Deadlines (D)? Please fill out the relevant section(s) for each of the proposed new obligations.

I. Deadline

Specify what is required and by what deadline.

II. Report

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

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

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

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

III. Implementation

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

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

IV. Quantitative Limit

Specify the proposed CCM-level or Collective limit.

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

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

V. Other

If none of the other categories are appropriate:

Specify the nature of the obligation.

Specify how compliance is to be assessed.

Process for considering proposed audit points alongside new proposals

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 new or amended obligations. This process will assist in identifying data gaps, potential duplication of reporting, and existing measures that might be linked to new or amended obligations.

The process for considering proposed audit points for proposed new obligations is as follows:

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

Step 2: Where proposed new or amended 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 or amended obligation(s) reaches the stage of finalization for adoption, the lead CCM on finalizing the proposed new or amended obligation(s) also updates the AP Checklist to reflect the final proposed new or amended obligation(s).

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