



**TECHNICAL AND COMPLIANCE COMMITTEE**  
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**OVERVIEW OF COMPLIANCE MONITORING SCHEME MATTERS FOR TCC12**

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WCPFC-TCC12-2016-10A\_rev1<sup>1</sup>  
18 September 2016

**Paper prepared by the Secretariat**

**Purpose**

1. The paper provides an overview of the draft Compliance Monitoring Report (dCMR) online systems and also presents for TCC12's consideration some observations from the Secretariat on this year's dCMR. There are three other related papers that cover other specific aspects of the dCMR namely:
  - a. Obligations to be assessed by the Compliance Monitoring Scheme (WCPFC-TCC12-2016-10B);
  - b. List of Capacity Assistance Needs Identified in dCMRs (WCPFC-TCC12-2016-10C); and
  - c. Summary of Investigation Status for alleged violations that may be relevant to dCMRs (WCPFC-TCC12-2016-10D).

**Background**

2. The Commission has been implementing the WCPFC Compliance Monitoring Scheme (CMS) since 2011. Its purpose is described in paragraph 1 of CMM 2015-07, as:

*“to ensure that Members, Cooperating Non-Members and Participating Territories (CCMs) implement and comply with obligations arising under the Convention and conservation and management measures (CMMs) adopted by the Commission. The CMS is designed to:*

  - (i) assess CCMs' compliance with their obligations;*
  - (ii) identify areas in which technical assistance or capacity building may be needed to assist CCMs to attain compliance;*
  - (iii) identify aspects of conservation and management measures which may require refinement or amendment for effective implementation;*
  - (iv) respond to non-compliance through remedial options that include a range of possible responses that take account of the reason for and degree*

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<sup>1</sup> Revision 1 includes minor editorials

*of non-compliance, and include cooperative capacity-building initiatives and, in case of serious non-compliance, such penalties and other actions as may be necessary and appropriate to promote compliance with CMMs and other Commission obligations;<sup>1</sup> and*

*(v) monitor and resolve outstanding instances of non-compliance.*

*Footnote 1: In accordance with the process for identifying responses to non-compliance adopted by the Commission to complement the Scheme, as provided for in paragraph 38 of this measure.*

### **WCPFC Online Reporting Systems used to support the Compliance Monitoring Scheme**

3. Since 2013, the WCPFC CMS continues to be supported by the online reporting systems for the Annual Report Part 2 and Compliance Monitoring which is hosted on the WCPFC Intranet using a Microsoft Sharepoint web application platform. In 2016, the Secretariat has continued the practice of using the individual CCM portal page on the secure side of the WCPFC website (each CCM has access to their own CCM portal, and not that of others) to facilitate the dissemination of additional supporting information relevant to draft CMRs other than alleged infringements detected through the observer reports.
4. For 2016, the WCPFC online reporting systems used to support the Compliance Monitoring Scheme was comprised of six (6) lists. Five have been used in previous years by the Secretariat and CCMs and they are:
  - a. Annual Reports Part 2 (RY 2015) - ALL CCMs that are required to submit an Annual Report Part 2 to the Commission (170 questions);
  - b. Addressing CMR Issues - This list is part of the 2016 Annual Report Part 2 and was relevant to only those CCMs who had a score of “Non-Compliant” or “Priority Non-Compliant” in the Final CMR Report adopted by WCPFC12. CMM 2015-07 paragraph 36 says: *“Each CCM shall include, in its Part 2 Annual Report, any actions it has taken to address non-compliance identified in the Compliance Monitoring Report from previous years.*
  - c. MTU Audit Inspections - This list is relevant to CMM 2014-02 9a VMS SSPs 7.2.2 and CMM 2014-02 9a VMS SSPs 7.2.4 (Annual Report (RY 2015) Q-139 and/or Q-140). ALL CCMs that have answered “YES” to one or both of these questions in Annual Report Part 2 should have completed this section. This list can be accessed by CCMs throughout the year, and is not time-limited;
  - d. 01-July-2016 Reporting Deadline Checklist - designed as a tool to allow CCMs to confirm to the Secretariat that they have completed one or more of the relevant annual reporting online lists for Annual Report Part 2. It also reminded CCMs about CMM 2013-10 paragraph 9 reporting requirement (Fished/Did Not Fish report) which is also due on 1 July 2016, and which is an important report for draft CMR reviews; and
  - e. The Compliance Monitoring Report (2015) – was based on the WCPFC11 agreed template (Annex 1) and CMM 2015-07. CCM reported information in Annual Report Part 2 (YES/NO/not applicable and any explanations) and replies to the preliminary draft CMR, and these are auto-populated into the draft CMR report. The Compliance Monitoring Report template (2015) provided a mechanism for CCMs to submit as part of draft CMR replies their Investigation Status Reports, as stipulated under CMM 2015-07 paragraph 8 and Capacity Development Plans as stipulated under CMM

2015-07 paragraph 5. Annex II – V provide notes and list of CMM paragraphs that were included in the 2016 dCMR and Annual Report Part 2 online systems covering 2015 activities.

5. The sixth list is the new online system that was launched in 2016, was a new Compliance Case File online system to tracks individual alleged violations which may be relevant to the Compliance Monitoring Scheme. This online system supports the notification of alleged violations and can track progress for individual alleged violations, up until the conclusion of the investigation by the relevant flag CCM. For observer-data based alleged violations, flag CCMs are provided with details sufficient to commence their investigations eg to identify the vessel, the trip start and end dates, if relevant the fishing area, the CMM paragraph related to the alleged violation and observer programme that supplied the observer. Four lists have been published in the online Compliance Case File system to date and are currently accessible by the relevant flag CCM and the Secretariat:
  - a. **Article 25-2 Compliance Cases:** Contain any alleged infringements (other than ROP observer reported incidents listed below) in which a flag State investigation has been requested, in accordance with Article 25(2) of the Convention. For 2015, these request for flag State investigation were identified in aerial surveillance, HSBI, port inspection, VMS, Secretariat or other reports;
  - b. **FAD Sets Alleged infringements:** Contain alleged infringements, related to setting on FADs during the FAD closure period, identified in ROP observer data;
  - c. **Observer Obstruction Alleged Infringements:** Contain alleged infringements, related to observer obstruction, identified in ROP observer data; and
  - d. **Shark Catch Alleged Infringements:** Contain alleged infringements, related to shark finning or prohibition to retain silky shark or oceanic white-tip sharks identified in ROP observer data.
6. The successful delivery of the WCPFC online systems continues to be as a result of the combined efforts of the WCPFC Secretariat Compliance and IT staff, IMS contractor Taz-E P/L and website contractor Eighty Options. SPC provided assistance to the Secretariat so that the current ROP-data could be accessed and used as a source of information in the online Compliance Case File system.

### **2016 CCM Annual Reports and draft CMR submissions**

7. Key dates for Annual Report Part 2 and draft CMRs online systems in 2016 were:
  - a. **5 February:** Fish/did not fish template sent out to CCMs (5 months in advance of the reporting deadline of 1 July);
  - b. **26 February:** *2016 Suggested Checklist for Reporting Requirements* was published to website;
  - c. **29 February:** Annual Report Part 2 online system was made available for CCMs use (4 months in advance of the reporting deadline of 1 July) and Notification to CCMs was via *WCPFC Circular 2016/07* which included a 10-page quick guide and confirmed that the Secretariat will post copies of supporting files for draft CMRs on CCMs portals;

- d. **20 April:** Launch of Online Compliance Case File System Facility for tracking alleged infringements relevant to the Compliance Monitoring Scheme. Notification to CCMs was via *WCPFC Circular 2016/14*;
- e. **1 July:** Deadline for Annual Report Part 2;
- f. **4 July:** Deadline for Annual Report Part 1;
- g. **29 July:** Draft CMRs for thirty-seven (37) CCMs and one collective group of Members were made available for individual CCM review. The online system for CMR was updated by the Secretariat based on the WCPFC12 agreed list of obligations and the requirements of CMM 2015-07. Notification to CCMs was via *WCPFC Circular 2016/42* - which included a 10-page quick guide for the draft CMR online system and advised of expansion of the Online Compliance Case File System to include Article 25(2) and Shark catch alleged infringements;
- h. **24 August:** was the cut-off date for CCM replies to their draft CMR for responses to be considered in the full draft CMR; and
- i. **8 September:** The full draft CMR was made available for all CCMs review. Notification to CCMs was via *WCPFC Circular 2016/47* and this circular also confirmed the process for CCMs to submit any additional information as replies to the full draft CMR in advance of TCC12.

8. Table 1 below provides as a comparison, the key statistics related to each year's draft CMR report: Annex 4 to this paper provides the list of the CMM paragraphs and Convention provisions which were included in the full draft CMR grouped by section.

**Table 1. Summary of key statistics for the draft CMRs prepared by WCPFC Secretariat 2011 - 2016**

Date of CMR review	CMS CMM ref.	Covering year	# of draft CMR sections	Number of CMMs which were covered by the draft CMR	# CCMs	Rows per CCM in draft CMR	Total number of rows for full draft CMR
2011	2010-03	2010	5	14 + Scientific Data to be Provided	37	75	2775
2012	2011-06	2011	5	14 + Scientific Data to be Provided	33	74	2442
2013	2012-02	2012	5	17 + Scientific Data to be Provided	39	62	2418 (1048 were "applicable")
2014	2013-02	2013	8	25 CMMs, Convention and Scientific Data to be Provided	38	132	5019 (2300 were "applicable")
2015	2014-07	2014	7	13 CMMs, Convention and Scientific Data to be Provided	36	107 -111	3861 (1671 were "applicable")
2016	2015-07	2015	8	19 CMMs, Convention (4) and Scientific Data to be Provided (4)	37	120	4442 (1879 were "applicable")

### Secretariat Observations

9. For the operations of the CMS last year (2015) and the first half of this year (2016) the Secretariat makes the following observations:

- a. At WCPFC12 the Commission pre-approved the list of obligations to be assessed under CMR for the next three years (WCPFC12 Summary Report Attachment O). The new Capacity Development Plan and Investigation Status Report features of the CMM 2015-07 were accommodated through modification of the template for online Compliance Monitoring Reporting (WCPFC11 Summary Report, Attachment W). In 2016, the timeliness of annual report submissions from CCMs has improved and details on CCM submissions of Annual Reports from 2010-2016 are provided in WCPFC-TCC12-2016-IP01. Together these initiatives assisted the Secretariat with completing the draft CMR as per CMM 2015-07;
- b. Despite the timely completion of the draft CMR, the WCPFC Secretariat MCS/compliance staff still has to carefully manage their work program and time and other commitments during the period of late April through the end of September, to meet the specified draft CMR deadlines and TCC annual meeting deadlines. In this respect the Secretariat would continue to insist that due consideration is given to the options raised at SC11/TCC11/WCPFC12 for agreement to an earlier submission date for Annual Report Part 1 and Part 2;
- c. The content and depth of analysis undertaken by the Secretariat in preparation of draft CMRs continues to improve and is supported by previous years and ongoing investments by the Commission on the development and enhancement of the WCPFC IMS hosted databases for CMM reporting at the Secretariat. In this respect the Commission will be asked to continue to support a budget for IMS developments and enhancements over the next two to three years (2016 – 2018); and
- d. CMM 2015-07 paragraph 40 says that the measure shall be reviewed in 2017 and the terms of that reviewed will be determined by TCC12 - there is a separate paper on this issue (see WCPFC-TCC12-2016-11).

**Recommendation**

10. TCC12 is invited to note the paper
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**Annex 1 – Updated template for 2015 draft Compliance Monitoring Report (based on CMM 2015-07 and WCPFC11 Summary Report, Attachment W)**

<b>CCM</b>	
<b>CMR Section</b>	<i>The equivalent of para 3 of CMM 15-07 in the new CMM</i>
<b>CMM Paragraph</b>	<i>The list of CMM paragraphs as agreed by WCPFC12</i>
<b>CCM Assessment</b>	<p>CCM advice in Annual Report part 2:</p> <p>* YES (fully implemented),</p> <p>* NO (not fully implemented)</p> <p>*N/A (not applicable)</p> <p>* [blank] – not included in AR Pt 2</p>
<b>CCM Implementation</b>	<p>May include as appropriate:</p> <p>CCM explanation from Annual Report Part 2</p> <p>Notes from Secretariat on other relevant information regarding implementation or potential issues</p>
<b>Potential Issue</b>	<p>choice of:</p> <p>*no issues detected;</p> <p>*additional information;</p> <p>*potential compliance issue.</p>
<b>Secretariat Explanation</b>	<i>text explanation as the basis for the identification of a potential issue by WCPFC Secretariat</i>
<b>CCM Additional Information</b>	<i>The equivalent of para 27 of CMM 15-07 in the new CMM</i>
<b>Capacity Building Requested</b>	<i>The equivalent of para 24 (iii) of CMM 15-07 in the new CMM</i>
<b>Capacity Development Plan</b>	<i>Applicable if CCM submitted a reply to dCMR under heading of “Capacity Development Plan” (CMM 15-07 para 05)</i>
<b>Investigation Status Report</b>	<i>Applicable if CCM submitted a reply to dCMR under heading of “Investigative Status Report” and/or included replies to relevant cases in Compliance Case File online system (CMM 15-07 para 08)</i>
<b>Potential Issue – TCC Assessment</b>	<b>Completed by TCC based on the equivalent of Annex I in CMM 2015-07</b>
<b>TCC Explanation</b>	<b>Completed by TCC</b>

**Annex II - Explanatory notes on columns in full dCMR covering 2015 activities, prepared by the WCPFC Secretariat and in accordance with WCPFC11 agreed template (Attachment W of WCPFC11 Summary Report)**

**CMR Section:** The sections are intended to reflect the relevant bullet points listed in paragraph 3 and also paragraph 4 of CMM 2015-07, and they are:

- (i) Catch and effort limits for target species;
- (ii) Catch and effort reporting for target species;
- (iii) Reporting including with respect to implementation of measures for non-target species;
- (iv) Spatial and temporal closures and restrictions on the use of fish aggregating devices (FADs);
- (v) Authorisation to fish and RFV, observer, VMS coverage and HSBI scheme;
- (vi) Provision of scientific data; and
- (vii) Submission of AR Part 2 and compliance with other reporting deadlines, including compliance with CMM 2015-07 para 36. Collective obligations as per para 4 of CMM 2015-07

**CMM paragraph -**

refers to the specific paragraph within a Conservation and Management Measure (CMM), or the Article and subparagraph of the Convention. The list of obligations is based on the list of obligations adopted at WCPFC 12 (WCPFC 11 para 469, Attachment O)

**CCM Assessment** – this was populated automatically from the same paragraph which was in AR Pt 2 covering 2015 activities – choice of YES (fully implemented), NO (not fully implemented) or N/A]. Note that this will be "blank" where a CCM had not completed this field in AR Pt 2, prior to the full dCMR being completed.

**Applicability checked** – populated by Secretariat.

In some cases, this might differ from a CCMs assessment in AR Pt 2, and was made based on the Secretariats understanding of the nature of the requirement and the characteristics of a particular CCMs fishery, eg whether a requirement applies to flag CCMs, or coastal CCMs.

**CCM Implementation** - populated automatically from ARPT2.

Any text explanations that CCMs have provided in AR Part 2 for their YES, NO or N/A answer in AR Pt 2 for the same CMM or Convention reporting requirement.

**Potential Issue** - populated by Secretariat

choice of: no issues detected; need additional information; potential compliance issue.

**Secretariat Explanation** - populated by Secretariat

– text explanation for the choice made by the Secretariat of potential issue. As applicable, there may be notes on supplementary information, including as applicable:

- quotes or notes from AR Pt1 reported information,
- notes on relevant information from WCPFC records and information from WCPFC databases,
- notes on updated information and advice from SPC, and
- a short reference (CMR issue (RY 2012 and/or RY 2013 and/or RY2014 )) to highlight that the CCM had a previous year CMR issue for this CMM requirement or for a similar provision under a CMM which was replaced in 2014.

**Summary of Issue** - populated by Secretariat

– this column is closely related to the Secretariat explanation, and is a short title that seeks to summarize the Secretariat Explanation where “need additional information” or “potential compliance issue” has been chosen (this field is left blank where the potential issue choice was “no issues detected”).

**CCM Additional information** – populated from any replies that WCPFC received as a reply to the draft dCMR report– these include those provided in the online dCMR system to a potential issue and any received by email or through the CCM portal. In some instances the Secretariat has included as notes some replies to CCMs comments and/or notes on additional information received. A cell will be blank either because the Secretariat had chosen “no issues detected” in the draft dCMR report sent to each CCM, or because the CCM chose not to provide a reply to the dCMR before August 28 (paragraph 12 of CMM 2015-07).

**Capacity building requested** - populated by the Secretariat, includes "YES" when CCM has noted in information that they require assistance. May include requests to subregional agencies

**TCC Assessment/Potential Issue-TCC** – to be populated by TCC/CMS working group

As a suggestion there could be a choice of: "no issues detected"; "potential compliance issue" and "not assessed".

**TCC Explanation** – to be populated by TCC/CMS working group

Text field which as a suggestion might be used by TCC for including

- Notes on corrective actions that the CCM is to undertake or capacity building that a CCM needs; and/or
- Notes on TCC’s assessment based on the compliance status and next steps table, in Annex I to CMM 2015-07.



**Annex IIIA: List of CMM paragraphs reviewed in 2015 draft CMR, grouped by eight dCMR sections**

**(i) Catch and effort limits for target species**

CMM 2005-03 02  
CMM 2009-06 29  
CMM 2009-06 34  
CMM 2010-05 01  
CMM 2010-07 09  
CMM 2013-08 01  
CMM 2014-01 20  
CMM 2014-01 22  
CMM 2014-01 25  
CMM 2014-01 30  
CMM 2014-01 40  
CMM 2014-01 41  
CMM 2014-01 47  
CMM 2014-01 49  
CMM 2014-01 50  
CMM 2014-01 51  
CMM 2014-01 52  
CMM 2014-04 03

**(ii) Catch and effort reporting for target species**

CMM 2005-03 03  
CMM 2005-03 04  
CMM 2009-06 11  
CMM 2009-06 35 a (ii)  
CMM 2009-06 35 a (iii)  
CMM 2009-06 35 a (iv)  
CMM 2010-02 02  
CMM 2010-05 04

CMM 2013-05 01  
CMM 2013-05 02  
CMM 2014-01 19  
CMM 2014-01 24  
CMM 2014-01 44  
CMM 2014-01 48  
CMM 2014-01 Att C 03  
CMM 2014-01 Att C 04  
CMM 2014-01 Att C 08

**(iii) Reporting including with respect to implementation of measures for non-target species**

CMM 2008-03 02  
CMM 2008-03 07c  
CMM 2008-04 05  
CMM 2011-04 03  
CMM 2012-07 04  
CMM 2012-07 09  
CMM 2013-08 03  
CMM 2014-04 05  
CMM 2014-04 11

**(iv) Spatial and temporal closures and restrictions on the use of FADs**

CMM 2014-01 14  
CMM 2014-01 16  
CMM 2014-01 37

**(v) Authorizations to fish and RFV, Observer, VMS coverage and HSBI Scheme**

CMM 2006-08 07  
CMM 2006-08 30  
CMM 2006-08 32  
CMM 2006-08 33 and 36  
CMM 2006-08 40

CMM 2006-08 41  
CMM 2007-01 07  
CMM 2007-01 10  
CMM 2007-01 13  
CMM 2007-01 14 (vii)  
CMM 2007-01 Attachment K Annex C 06  
CMM 2009-06 13  
CMM 2013-10 02  
CMM 2013-10 03  
CMM 2013-10 04  
CMM 2013-10 07  
CMM 2013-10 09  
CMM 2013-10 16  
CMM 2013-10 17  
CMM 2014-01 33  
CMM 2014-01 34  
CMM 2014-01 Att C 05-06  
CMM 2014-02 04  
CMM 2014-02 9a  
CMM 2014-02 9a VMS SSPs 2.8  
CMM 2014-02 9a VMS SSPs 7.2.2  
CMM 2014-03 02

**(vi) Provision of Scientific Data**

SciData 01  
SciData 02  
SciData 03  
SciData 05

**(vii) Submission of AR Part 2 and compliance with other reporting deadlines**

CMM 2005-03 03  
CMM 2006-08 30

CMM 2006-08 33 and 36  
CMM 2006-08 40  
CMM 2006-08 41  
CMM 2007-01 Attachment K Annex C 06  
CMM 2008-03 02  
CMM 2008-03 07c  
CMM 2008-04 05  
CMM 2009-06 11  
CMM 2009-06 35 a (iii)  
CMM 2009-06 35 a (iv)  
CMM 2010-02 02  
CMM 2010-07 12  
CMM 2011-04 03  
CMM 2012-07 04  
CMM 2012-07 09  
CMM 2013-07 19  
CMM 2013-08 03  
CMM 2013-10 07  
CMM 2013-10 09  
CMM 2014-01 16  
CMM 2014-01 16 footnote 3  
CMM 2014-01 23  
CMM 2014-01 24  
CMM 2014-01 37  
CMM 2014-01 44  
CMM 2014-01 50  
CMM 2014-01 57  
CMM 2014-01 59  
CMM 2014-01 Att C 03  
CMM 2014-02 9a VMS SSPs 7.2.2  
CMM 2014-04 05

CMM 2014-04 11

Convention Article 23 (5)

Convention Article 23 2 (b)

Convention Article 23 2 (c)

Convention Article 25 (2)

SciData 01

SciData 02

SciData 03

SciData 05

**Collective obligations as per para 4 of CMM 2014-02**

CMM 2014-01 20

CMM 2014-01 24

## Annex IV: List of CMM paragraphs reviewed in 2015 draft CMR, grouped CMM

Count of CMR Section CMM and CMM paragraph	Section							para 4
	i	ii	iii	iv	v	vi	vii	
<b>CMM 2005-03</b>								
CMM 2005-03 02	1							
CMM 2005-03 03		1						1
CMM 2005-03 04		1						
<b>CMM 2006-08</b>								
CMM 2006-08 07					1			
CMM 2006-08 30					1			1
CMM 2006-08 32					1			
CMM 2006-08 33 and 36					1			1
CMM 2006-08 40					1			1
CMM 2006-08 41					1			1
<b>CMM 2007-01</b>								
CMM 2007-01 07					1			
CMM 2007-01 10					1			
CMM 2007-01 13					1			
CMM 2007-01 14 (vii)					1			
CMM 2007-01 Attachment K Annex C 06					1			1
<b>CMM 2008-03</b>								
CMM 2008-03 02			1					1
CMM 2008-03 07c			1					1
<b>CMM 2008-04</b>								
CMM 2008-04 05			1					1
<b>CMM 2009-06</b>								
CMM 2009-06 11		1						1
CMM 2009-06 13					1			
CMM 2009-06 29		1						
CMM 2009-06 34		1						
CMM 2009-06 35 a (ii)		1						
CMM 2009-06 35 a (iii)		1						1
CMM 2009-06 35 a (iv)		1						1

<b>CMM 2010-02</b>			
CMM 2010-02 02	1	1	
<b>CMM 2010-05</b>			
CMM 2010-05 01	1		
CMM 2010-05 04	1		
<b>CMM 2010-07</b>			
CMM 2010-07 09	1		
CMM 2010-07 12		1	
<b>CMM 2011-04</b>			
CMM 2011-04 03	1	1	
<b>CMM 2012-07</b>			
CMM 2012-07 04	1	1	
CMM 2012-07 09	1	1	
<b>CMM 2013-05</b>			
CMM 2013-05 01	1		
CMM 2013-05 02	1		
<b>CMM 2013-07</b>			
CMM 2013-07 19		1	
<b>CMM 2013-08</b>			
CMM 2013-08 01	1		
CMM 2013-08 03		1	
<b>CMM 2013-10</b>			
CMM 2013-10 02		1	
CMM 2013-10 03		1	
CMM 2013-10 04		1	
CMM 2013-10 07		1	1
CMM 2013-10 09		1	1
CMM 2013-10 16		1	
CMM 2013-10 17		1	
<b>CMM 2014-01</b>			
CMM 2014-01 14		1	
CMM 2014-01 16		1	1
CMM 2014-01 16 footnote 3			1
CMM 2014-01 19		1	
CMM 2014-01 20	1		1
CMM 2014-01 22	1		

CMM 2014-01 23			1
CMM 2014-01 24	1		1 1
CMM 2014-01 25	1		
CMM 2014-01 30	1		
CMM 2014-01 33		1	
CMM 2014-01 34		1	
CMM 2014-01 37		1	1
CMM 2014-01 40	1		
CMM 2014-01 41	1		
CMM 2014-01 44	1		1
CMM 2014-01 47	1		
CMM 2014-01 48	1		
CMM 2014-01 49	1		
CMM 2014-01 50	1		1
CMM 2014-01 51	1		
CMM 2014-01 52	1		
CMM 2014-01 57			1
CMM 2014-01 59			1
CMM 2014-01 Att C 03	1		1
CMM 2014-01 Att C 04	1		
CMM 2014-01 Att C 05-06		1	
CMM 2014-01 Att C 08	1		
<b>CMM 2014-02</b>			
CMM 2014-02 04		1	
CMM 2014-02 9a		1	
CMM 2014-02 9a VMS SSPs 2.8		1	
CMM 2014-02 9a VMS SSPs 7.2.2		1	1
<b>CMM 2014-03</b>			
CMM 2014-03 02		1	
<b>CMM 2014-04</b>			
CMM 2014-04 03	1		
CMM 2014-04 05		1	1
CMM 2014-04 11		1	1
<b>Convention</b>			
Convention Article 23 (5)			1
Convention Article 23 2 (b)			1

Convention Article 23 2 (c)		1
Convention Article 25 (2)		1
<b>SciData</b>		
SciData 01		1 1
SciData 02		1 1
SciData 03		1 1
SciData 05		1 1

**Annex V: List of questions in Annual Report Part 2 covering 2015 activities (170 questions + MTU audit list+ prev year CMR issues list)**

Q-001	CMM 2004-03 02	Fishing vessel marking and technical specifications
Q-002	CMM 2004-03 03	Record of WCPFC identification number (WIN)
Q-003	CMM 2005-03 02	CCMs take measures to ensure level of fishing effort by vessels fishing for NP ALB is not increased
Q-004	CMM 2005-03 03	Catch report of NP ALB due every six months
Q-005	CMM 2005-03 04	Annual report of catches and fishing effort north of the equator directed at ALB
Q-006	CMM 2006-04 01	Limit number of fishing vessels fishing for MLS S 15 S, to 2000 – 2004.
Q-007	CMM 2006-04 04	Annual catches of MLS (bycatch), and annual numbers of vessels fishing for MLS S15S and their catch levels.
Q-008	CMM 2006-08 07	Fishing vessels to accept HSBI boardings by duly authorised inspectors, and as applicable Members to ensure compliance of its authorised inspectors with the HSBI procedures
Q-009	CMM 2006-08 30	Provide Full Report on HSBI
Q-010	CMM 2006-08 32	Notification of serious violation(s) detected during HSBI
Q-011	CMM 2006-08 33 and 36	Response by authorities of the fishing vessel to a serious violation notification
Q-012	CMM 2006-08 40	Annual reporting by members on the HSBI carried out by its authorized inspection vessels.

Q-013	CMM 2006-08 41	Annual reporting by members on their actions in response to HSBI of their fishing vessels that resulted in observation of alleged violations.
Q-014	CMM 2007-01 07	Vessels to be prepared to accept an observer from the ROP, if required
Q-015	CMM 2007-01 08	CCM shall be responsible for meeting the level of observer coverage as set by the Commission.
Q-016	CMM 2007-01 09	CCMs shall source observers for their vessels as determined by the Commission.
Q-017	CMM 2007-01 10	CCMs shall explain to the vessel captain, observer duties relevant to appropriate measures adopted by the Commission.
Q-018	CMM 2007-01 13	CCM shall nominate a WCPFC National Observer Coordinator
Q-019	CMM 2007-01 14 (vii)	CCMs to ensure vessel operators comply with the Guidelines for the Rights and Responsibilities of Vessel Operators, Captains and Crew
Q-020	CMM 2007-01 Attachment K Annex C 04	ROP data submission
Q-021	CMM 2007-01 Attachment K Annex C 06	CCMs shall achieve 5% coverage of the effort in each fishery under the jurisdiction of the Commission
Q-022	CMM 2007-01 Attachment K Annex C 08	CCMs shall meet any additional ROP observer obligations as specified in CMMs
Q-023	CMM 2008-03 01	Implement FAO Guidelines to Reduce Sea Turtle Mortality in Fishing Operations
Q-024	CMM 2008-03 02	Report on Implementation of FAO Guidelines and this CMM
Q-025	CMM 2008-03 04	CCMs to ensure fishermen use proper mitigation and handling techniques and foster the recovery of any turtles that are incidentally captured
Q-026	CMM 2008-03	Sea Turtle mitigation requirements for purse

	05a	seine vessels
Q-027	CMM 2008-03 05b	Purse seine sea turtle incident reporting requirements
Q-028	CMM 2008-03 06	Requirements for sea turtle mitigation in longline fisheries
Q-029	CMM 2008-03 07a	Sea turtle mitigation requirements for shallow-set longline vessels that fish for swordfish
Q-030	CMM 2008-03 07c	Reporting requirement for operational definitions of shallow set swordfish fisheries, and sea turtle mitigation requirements including large circle hooks
Q-031	CMM 2008-03 07d	Reporting requirement for incidents involving sea turtles in shallow-set longline fisheries for swordfish
Q-032	CMM 2008-03 08	Research trials of circle hooks and other mitigation methods in shallow-set longline fisheries for swordfish, and report to SC and TCC
Q-033	CMM 2008-04 02	Measures necessary to prohibit use by their vessels of large-scale driftnets in the high seas
Q-034	CMM 2008-04 05	Reporting requirement for MCS actions related to large-scale driftnet fishing on the high seas
Q-035	CMM 2009-02 03-07	FAD Closure Rules - high seas
Q-036	CMM 2009-02 08-13	Rules for Purse seine catch retention, including reporting - high seas
Q-037	CMM 2009-02 12	Submit purse seine Catch Discard Report within 48 hours after any discard - high seas
Q-038	CMM 2009-03 01	Limit number of vessels fishing for SWO S20S to the number in any one year between 2000-2005
Q-039	CMM 2009-03 02	Limit the catch of SWO by its vessels in area S20S to the amount in any one year during 2000-2006
Q-040	CMM 2009-03	CCMs shall not shift their fishing effort for

	03	SWO to the area north of 20°S
Q-041	CMM 2009-03 08	Report annually the number of vessels that fished for SWO and total catch of SWO
Q-042	CMM 2009-05 01	CCMs shall prohibit their fishing vessels from fishing within 1 nautical mile of or interacting with a data buoy in the high seas
Q-043	CMM 2009-05 03	CCMs shall prohibit their fishing vessels from taking on board a data buoy unless specifically authorized or requested to do so by the Member or owner responsible for that buoy.
Q-044	CMM 2009-05 05	Report any entanglements with a data buoy and remove the entangled fishing gear with as little damage to the data buoy as possible
Q-045	CMM 2009-06 11	Annual report on all transshipment activities covered by this Measure (including transshipment activities that occur in ports or EEZs) in accordance with the specified guidelines (Annex II)
Q-046	CMM 2009-06 13	CCM shall ensure that vessels they are responsible for carry observers from the WCPFC ROP to observe transshipments at sea.
Q-047	CMM 2009-06 29	Limit on purse seine vessels transshipment outside of port to vessels that have received an exemption from the Commission. Where applicable, flag CCM authorisation should be vessel-specific and address any specific conditions identified by the Commission.
Q-048	CMM 2009-06 34	Ban on high seas transshipment, unless a CCM has determined impracticability in accordance with para 37 guidelines, and has advised the Commission of such.
Q-049	CMM 2009-06 35 a (ii)	Flag State's notification to the Secretariat on its flag vessels that are authorised to transship on the high seas
Q-050	CMM 2009-06 35 a (iii)	WCPFC Transshipment Advance Notification (including fields in Annex III)

Q-051	CMM 2009-06 35 a (iv)	WCPFC Transshipment Declaration (including information in Annex I)
Q-052	CMM 2010-01 05	Catch limits applicable to CCMs with vessels fishing in the Convention Area north of the equator: commencing 2011
Q-053	CMM 2010-01 08	Report on implementation including report against limits of the CMM (in AR Pt 2)
Q-054	CMM 2010-02 02	E-HSP Entry and Exit report
Q-055	CMM 2010-02 06	Any transshipment activities undertaken in the E-HSP shall be in accordance with applicable CMMs.
Q-056	CMM 2010-05 01	Limit on number of vessels actively fishing for SP ALB in area S 20 S above 2005 or 2000-2004 levels
Q-057	CMM 2010-05 04	Annual reports of SP ALB as a bycatch, and annual numbers of vessels actively fishing for SP ALB S20S and their catch levels.
Q-058	CMM 2010-07 06	Full utilization of any catches of sharks retained
Q-059	CMM 2010-07 07	Vessels implement 5% fin to weight ratio or an alternative
Q-060	CMM 2010-07 09	Take measures to prohibit their vessels from retaining, transshipping, landing or trading in any fins harvested in contravention of this CMM
Q-061	CMM 2010-07 10	requirement to take measures to encourage release of live sharks
Q-062	CMM 2010-07 12	Report on implementation of this CMM, and any alternative measures that are applied (para 11)
Q-063	CMM 2011-03 01	Prohibit purse seine setting on cetaceans, if animal is sighted prior to commencement of the set
Q-064	CMM 2011-03 02	Requirement in the event of unintentional encircling of cetaceans in the purse seine net

Q-065	CMM 2011-03 03	Ensuring safe release of cetacean, unintentionally encircled in purse seine nets
Q-066	CMM 2011-03 05	Report of any instances in which cetaceans have been encircled by the purse seine nets of flagged vessels (AR Pt 1)
Q-067	CMM 2011-04 01	Prohibit vessels from retaining on board, transshipping, storing or landing any oceanic whitetip sharks, in whole or in part
Q-068	CMM 2011-04 02	Requirement to release oceanic whitetip sharks, as soon as possible
Q-069	CMM 2011-04 03	Annual report on estimated number of releases and status upon release of oceanic whitetip shark (Part 1 report)
Q-070	CMM 2012-04 01	Prohibit purse seine setting on whale sharks, if animal is sighted prior to commencement of the set
Q-071	CMM 2012-04 03	Part 2 report - advice on compatible measures adopted for mitigating impacts of purse seine fisheries on whale sharks
Q-072	CMM 2012-04 04	Requirement in the event of non-deliberate encircling of whale shark in the purse seine net, including safe release
Q-073	CMM 2012-04 06	advice in Part 1 Annual Report of any instances in which whale sharks have been encircled by the purse seine nets of their flagged vessels, including the details required under paragraph 4(b)
Q-074	CMM 2012-05 03	Notifications of charter arrangements made to the flag State and ED, including any updated information
Q-075	CMM 2012-07 01	Required longline mitigation measures to be used by vessels fishing S 30 S (weighted branch lines, night setting and tori lines: choose at least two of the three) (applied from 1 July 2014)



Q-076	CMM 2012-07 02	Required longline mitigation measures to be used by vessels fishing N 23 N (choose at least two of measures in Table 1, including at least one from Column A) (applied from 1 July 2014 to vessels >24m length overall)
Q-077	CMM 2012-07 04	Report on which mitigation measures are used N 23 N or S 30 S, as well as technical specifications. Subsequent years include advice on any changes.
Q-078	CMM 2012-07 09	Report all available information on interactions with seabirds throughout Convention Area, as reported or collected by observers in Annual Report Part 1 (guidelines for reporting in Annex 2)
Q-079	CMM 2013-05 01	Requirement to ensure the master of each vessel completes an accurate written or electronic log of every day that it spends at sea on the high seas of the Convention Area as specified.
Q-080	CMM 2013-05 02	Requirement that information recorded by the master of each vessel each day with fishing operations shall, at a minimum include the information as specified
Q-081	CMM 2013-05 03	Requirement that the master of each vessel fishing in the Convention Area provides an accurate and unaltered original or copy of the required information to its national authority within 15 days of the end of a trip or transshipment, or within the period
Q-082	CMM 2013-05 04	Requirement that the master of each vessel fishing in the Convention Area provides an accurate and unaltered original or copy of the required information pertaining to the current trip on board the vessel at all times during the course of a trip

Q-083	CMM 2013-06 01	Requirement 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, to develop their own fisheries for hmfs
Q-084	CMM 2013-07 01-03	General provisions of CMM on SPECIAL REQUIREMENTS OF SMALL ISLAND DEVELOPING STATES AND TERRITORIES
Q-085	CMM 2013-07 04-05	Requirements to assist with Capacity Development of Personnel of SIDS and Territories
Q-086	CMM 2013-07 06-07	Requirements to assist with technology transfers to SIDS and Territories
Q-087	CMM 2013-07 08-09	Requirements to assist SIDS and Territories in the areas of fisheries conservation and management
Q-088	CMM 2013-07 10-11	Requirements to assist SIDS and Territories in the areas of Monitoring, Control and surveillance
Q-089	CMM 2013-07 12-18	Requirements to support for the Domestic Fisheries Sector and Tuna-fisheries related businesses and market access
Q-090	CMM 2013-07 19	Annual report on implementation of CMM on SPECIAL REQUIREMENTS OF SMALL ISLAND DEVELOPING STATES AND TERRITORIES
Q-091	CMM 2013-08 01	Prohibit vessels from retaining on board, transshipping, storing or landing any silky sharks, in whole or in part (applied after 1 July 2014)
Q-092	CMM 2013-08 02	Requirement that vessels release silky sharks, as soon as possible. (applied after 1 July 2014)
Q-093	CMM 2013-08 03	Annual report on estimated number of releases of silky shark caught in the Convention Area, including status upon release (Pt 1)

Q-094	CMM 2013-10 02	CCMs to ensure its fishing vessels only transship to/from, and provide bunkering for/ are bunkered by or otherwise supported by vessels on the RFV
Q-095	CMM 2013-10 03	CCMs should only allow its fishing vessels to be used for fishing, if properly authorised
Q-096	CMM 2013-10 04	Vessels authorization requirement
Q-097	CMM 2013-10 07	Requirement to notify any additions, modifications and deletions of Vessels from the record, including for each vessel all details as set out in paragraph 6 of this CMM
Q-098	CMM 2013-10 09	Submission by Member to ED a list of all vessels on national record in previous year, noting "fished" or "did not fish" for each vessel.
Q-099	CMM 2013-10 16	CCMs to advise of the results of their annual review of implementation of paragraph 1
Q-100	CMM 2013-10 17	Flag CCM to ensure its FVs have been placed on the RFV in accordance with this CMM. Vessels not on RFV shall be deemed not to be authorized to fish for, retain on board, transship or land HMFS in the CA beyond the national jurisdiction of its flag State
Q-101	CMM 2013-10 18	CCMs to prohibit landings in ports or transshipment to vessels not on RFV
Q-102	CMM 2014-01 09	Limits on transfer of purse seine effort from tropical fishery (20N - 20S) to areas N 20 N and S 20 S
Q-103	CMM 2014-01 10	Limits on transfer of longline effort or capacity to other areas
Q-104	CMM 2014-01 14	Purse seine 3 months FAD closure (July, August, September 2015)
Q-105	CMM 2014-01 16	Advice on additional FAD set reduction choice during 2015

Q-106	CMM 2014-01 16 footnote 3	Advice of purse seine vessels to be exempted or managed outside the FAD set limits (2014 - 2016)
Q-107	CMM 2014-01 19	Reporting requirements when a CCM chooses the "limit on the number of FAD sets" additional FAD set reduction option (para 16 b and para 17 b)
Q-108	CMM 2014-01 20	PNA shall limit purse seine effort in their EEZs to 2010 levels under PNA VDS
Q-109	CMM 2014-01 21	CCMs shall support the ongoing development and strengthening of the PNA VDS including implementation and compliance with the requirements of the VDS as appropriate
Q-110	CMM 2014-01 22	Limit on certain other (non-PNA) coastal States with effort in their EEZs exceeding 1,500 days 2006 - 2010 annually, to limit to 2001-2004 levels average or 2010 levels.
Q-111	CMM 2014-01 23	certain other coastal States to establish and notify limit for purse seine fishing in their waters
Q-112	CMM 2014-01 24	Reporting against EEZ limits
Q-113	CMM 2014-01 25	2015 Limits on high seas purse seine effort
Q-114	CMM 2014-01 Att C 03	Philippines vessels Entry/Exit reports for HSP-1 SMA
Q-115	CMM 2014-01 Att C 04	Philippines to ensure its flagged vessels report sightings of any fishing vessel to the Commission Secretariat (vessel type, date, time, position, markings, heading and speed)
Q-116	CMM 2014-01 Att C 05-06	Specific requirements for deploying observers on Philippines vessels fishing in HSP-1
Q-117	CMM 2014-01 Att C 08	Philippines to monitor landings by vessels operating in HSP1-SMA and collect reliable catch data by species
Q-118	CMM 2014-01 30	Purse seine catch retention requirements (20N - 20S)

Q-119	CMM 2014-01 32	Purse seine vessels are not to operate under manual reporting during FAD closure period
Q-120	CMM 2014-01 33	Requirement for purse seine vessels to carry a ROP observer
Q-121	CMM 2014-01 34	100% purse seine coverage: specific rules for vessels fishing exclusively in areas under its national jurisdiction
Q-122	CMM 2014-01 37	Submit FAD Management Plan
Q-123	CMM 2014-01 40	Bigeye longline catch limits by flag, as specified in Attachment F. Any overage to be deducted from the catch limit for the following year.
Q-124	CMM 2014-01 41	Bigeye longline catch limits by flag for certain other members which caught less than 2000t in 2004.
Q-125	CMM 2014-01 44	Monthly reporting of bigeye longline catches
Q-126	CMM 2014-01 47	Limit on total effort and capacity of certain other commercial tuna fisheries (that take >2000Mt of BET, YFT and SKJ)
Q-127	CMM 2014-01 48	Estimates of fishing effort for other fisheries for bigeye, yellowfin or skipjack, or proposals for provision of effort data for 2013 and beyond
Q-128	CMM 2014-01 49	Limit by flag on number of purse seine vessels >24m with freezing capacity between 20N and 20S
Q-129	CMM 2014-01 50	Notifications of new purse vessels for which building approval has already been granted which will be considered in the setting of the capacity limit in CMM 2014-01
Q-130	CMM 2014-01 51	Limit by flag on number of longline vessels with freezing capacity targetting bigeye above the current level

Q-131	CMM 2014-01 52	Limit by flag on number of ice-chilled longline vessels targetting bigeye and landing exclusively fresh fish above the current level or above the number of current licenses under established limited entry programmes
Q-132	CMM 2014-01 57	Requirement to provide operational level catch and effort data for China, Indonesia, Japan, Korea, Philippines and Chinese Taipei, although subject to a 3 year grace period based on a national plan that is to be submitted to the Commission.
Q-133	CMM 2014-01 59	Requirement to provide 1 x 1 aggregate data for China, Indonesia, Japan, Korea, Philippines and Chinese Taipei vessels fishing in EEZs and high seas N 20 N, as well as to cooperate in providing operational data to SPC for stock assessment
Q-134	CMM 2014-01 60	Requirement to report any agreement made under para 59 (with SPC for stock assessment purposes) to the Commission
Q-135	CMM 2014-02 04	Vessels shall continue to report to Commission VMS after moving into Northern Quadrant
Q-136	CMM 2014-02 9a	Fishing vessels comply with the Commission standards for WCPFC VMS including being fitted with ALC/MTU that meet Commission requirements
Q-137	CMM 2014-02 9a VMS SSPs 2.8	Provision of ALC/MTU 'VTAF' data
Q-138	CMM 2014-02 9a VMS SSPs 5.4 - 5.5	VMS Manual Reporting procedures - applies 1 March 2013 - 1 March 2017
Q-139	CMM 2014-02 9a VMS SSPs 7.2.2	CCMs to conduct periodic audits of ALC/MTUs of its vessels and report results to the Commission (AR Pt 2)

Q-140	CMM 2014-02 9a VMS SSPs 7.2.4	Protocol for inspecting States to inspect ALCs/MTU of other CCMs vessels at sea, includes reporting requirements for inspecting States
Q-141	CMM 2014-02 9a VMS SSPs 7.2.5	Report to Secretariat any ALC/MTU, and associated details, that appear to not be in compliance with applicable CMMs related to VMS reporting
Q-142	CMM 2014-03 02	Requirements and specifications to implement CMM 2013-10 paragraph 6 (submit completed vessel record data for vessels authorised fish beyond its flag CCMs areas under national jurisdiction)
Q-143	CMM 2014-04 01	General commitment to implement rebuilding plan in 2015
Q-144	CMM 2014-04 03	Total effort by vessels limited to 02-04 level N20N and catches of PBF <30kg size reduced to 50% off 02-04 level (overage deducted from following year)
Q-145	CMM 2014-04 04	Limit for CCMs to take every possible measure to not increase catches of PBT >30+ kg from 2002 - 2004 average levels
Q-146	CMM 2014-04 05	data submission for baseline 2002 - 2004 fishing effort in 2015, and 2013 and 2014 catch levels and fishing effort for < 30kg and >= 30 kg. in 2015. In subsequent years, CCMs are to report catch and fishing effort for previous year
Q-147	CMM 2014-04 06	Requirement to cooperate for effective implementation of CMM, including juvenile catch reduction
Q-148	CMM 2014-04 07	Requirement to monitor and obtain prompt results of recruitment of juveniles each year
Q-149	CMM 2014-04 08	Requirement to take measures necessary to prevent commercial transaction of Pacific bluefin tuna and its products that undermine the effectiveness of this CMM

Q-150	CMM 2014-04 11	report on implementation of this CMM
Q-151	CMM 2014-05 01	Shark mitigation measures to be applied to fisheries targetting tuna and billfish
Q-152	CMM 2014-05 02	Submit management Plans for fisheries that target sharks in association with WCPFC fisheries
Q-153	CMM 2015-07 36	Report on actions taken to address previous year non-compliance in AR Pt 2
Q-154	Data RaP MCS 44	Statement of compliance with Data RaP
Q-155	Convention Article 23 (3)	Advice from members on its measures for areas under their national jurisdiction, including conservation and management measures, inspections and surveillance activities. Summary to be provided in Annual Report Part 2
Q-156	Convention Article 23 (4)	Measures CCM adopted for regulating activities of fishing vessels flying its flag. Summary to be provided in Annual Report Part 2
Q-157	Convention Article 23 (5)	Report from CCM on outcome of an investigation, conducted at the request of another Member related to alleged violations of CMMs by its nationals. Summary to be provided in Part 2
Q-158	Convention Article 23 2 (b)	Report by CCMs on fishing activities in the Convention Area ("Annual Report Part 1")
Q-159	Convention Article 23 2 (c)	Report on CCM steps to implement conservation and management measures in the Convention area ("Annual Report Part 2")
Q-160	Convention Article 25 (11)	Report on mechanisms for monitoring international trade and domestic distribution of HMFS. Summary to be provided in Annual Report Part 2

Q-161	Convention Article 25 (2)	Report of outcome of an investigation conducted, at the request of another Member of its vessels alleged violation of the Convention or CMMs. Summary to be provided in Part 2
Q-162	Convention Article 25 (8)	Annual Statement of compliance measures, including imposition of sanctions (to be provided in Annual Report Part 2)
Q-163	Convention Article 27	Reports of outcomes of Port State Inspections. Summary to be provided in Part 2
Q-164	Convention Article 5 (j)	Reports on surveillance activities (sea patrols and aerial surveillance) conducted in areas beyond national jurisdiction. Summary to be provided in Part 2

Q-165	SciData 01	Estimates of Annual Catches
Q-166	SciData 02	Number of vessels active
Q-167	SciData 03	Operational Level Catch and Effort Data
Q-168	SciData 04	Catch and effort data aggregated by time period and geographic area
Q-169	SciData 05	Size composition data
Q-170	SciData 07	Time periods covered and schedule for the provision of data