Western and Central Pacific Fisheries Commission

TECHNICAL AND COMPLIANCE COMMITTEE
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EXECUTIVE DIRECTOR'S REPORT ON OPERATIONAL ISSUES WITH THE WCPFC MCS PROGRAMMES

Paper prepared by the Secretariat

Purpose

1. This report consolidates the main findings and recommendations from the technical and operational papers prepared for TCC12 as required under the Convention and the related CMMs as directed by the Commission. As in previous years the report focusses on Secretariat prepared papers and is structured following the order of the TCC12 agenda (agenda number and referenced working papers are provided in brackets and in italics).[1]

2. TCC12 participants should also refer to paper TCC12-2016-IP03 which provides in summary form updates on decisions and issues from TCC11, WCPFC12 and SC12 alongside the TCC12 provisional agenda. The paper also includes references to the TCC Workplan 2016-2018.

IUU Vessel List – *[(3) - TCC12-2016-08_rev1]*

3. Two vessels are included on the draft IUU list and there is no updated information related to vessels on the WCPFC IUU list. Copies of the supporting documentation, including letters of nomination and subsequent correspondence are provided as attachments to TCC12-2016-08_rev1 (the attachments are only available to authorized CCM users through the secure CCM section of WCPFC website). Copies of letters sent by the Secretariat in early 2016 concerning the approved WCPFC IUU list are also available on the secure pages of the website.

Suggested Action:
4. Pursuant to CMM 2010-06, TCC12 is invited to,

a) adopt a Provisional IUU Vessel List, and submit it to the Commission for consideration and approval; and

b) recommend, as appropriate any proposed changes to the current WCPFC IUU Vessel List.

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[1] Agenda version revision 1 as at 31 August 2016

Cooperating Non-Member requests - *[(4) - TCC12-2016-09_rev1]*

5. Seven (7) requests have been received for renewal of Cooperating Non-Member (CNM) status in 2017, all from current CNMs. Copies of the requests, a spreadsheet that compiles the information and any covering letters are provided as attachments to TCC12-2016-09 (the attachments are only available to authorized CCM users through the secure CCM section of WCPFC website).

> **Suggested Action:**
> 6. TCC12 is invited to consider the requests for CNM status for 2017 and make recommendations and technical advice to the Commission. It is expected that a working group will develop draft recommendations for TCC12 to consider.

Compliance Monitoring Scheme - *[(5) - TCC12-2016-10A-D]*

TCC's review of the full draft CMR (5.1)
7. 37 individual CCMs and one collective groups of Members received draft Compliance Monitoring Reports (draft CMR) on 29 July 2016 from the Secretariat and in the said reports approximately 440 potential issues were highlighted. The full draft CMR, which incorporated replies from 24 CCMs was made available to all CCMs on 8th September 2016. A paper that overviews the Secretariats support to the Compliance Monitoring Scheme is provided in TCC12-2016-10A.

8. Draft CMRs were again successfully delivered this year, and some considerable hours were worked over the last couple of months by the Compliance/MCS team. In 2016, 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 into the development and enhancement of the WCPFC IMS hosted databases for CMM reporting at the Secretariat. The improved timeliness of CCM Annual Report submissions, the Secretariat use of the online technical systems to facilitate notification to CCMs in early 2016 of CMM reporting gaps and alleged violations, and the prioritization made by WCPFC12 in adopting the list of CMM paragraphs for draft CMRs (WCPFC12 Summary Report Attachment O), all contributed to making the process of developing draft CMR more manageable than in previous years.

9. In 2016, the WCPFC Compliance Monitoring Scheme was again supported by the five online reporting systems lists that together comprise Annual Report Part 2 and Compliance Monitoring Report which are hosted on the WCPFC Intranet using a Microsoft Sharepoint web application platform. 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) was also used to facilitate the dissemination in March/April of additional supporting information relevant to draft CMRs. In April, the new online Compliance Case File system was launched and this supports the notification to flag CCMs of alleged violations by their vessels and assists the Secretariat with tracking the progress of investigations of individual alleged violations. Some summary information about the status of investigations of alleged violations which are included in the online Compliance Case File system is provided in TCC12-2016-10D. 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. The IT budget lines in Part 1 of the budget, and IMS-related budget lines in Part 2.2 are used to support CMS system development, ongoing-support and maintenance.

10. 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 particularly from May through the end of September, to meet the specified draft CMR deadlines and TCC annual meeting deadlines. In this respect the Secretariat respectfully insists that due consideration is given to the options raised at SC11/TCC11/WCPFC12 for earlier deadlines for Annual Report deadlines to provide more time within the compliance monitoring report process.

11. Other supporting papers relevant to this agenda item include:

   i. TCC12-IP01 notes that there were further improvements in the timeliness of submissions of Annual Report Part 1 and Part 2 during 2016, which did assist the Secretariat with being able to meet the deadline for draft CMRs;

   ii. TCC12-IP04_rev1 is the updated Scientific Data Gaps paper, which the Secretariat referenced in the preparation for the full draft CMR section vi) *Provision of Scientific Data* information*;*

   iii. TCC12-IP02 provides a copy of the WCPFC12 agreed Final Compliance Monitoring Report;

   iv. TCC12-IP05 explains the current status of information on ROP data submissions for 2015 activities, and available information on purse-seine and longline observer coverage;

   v. TCC12-RP01-06, the required reports overview the Secretariats administration of key MCS programmes and associated CCM reporting; and

   vi. TCC12-IP07 and IP08 provide detail on the reporting and data related to the tropical tuna CMM.

> **Suggested Action:**
> 12. TCC12 consider recommending that WCPFC12 agree to an earlier submission date for Annual Report Part 1 and Part 2, possibly in May or June.

Respond to capacity assistance needs identified through the CMS process including through annual consideration of implementation plan (TCC Workplan 2016-2018)– (5.1a)

13. TCC12-2016-10C provides a list of the CMM paragraphs which were noted by CCMs in their Annual Report Part 2 or replies to draft CMRs as areas requiring capacity assistance needs. This paper also summarises the Capacity Development Plans submitted by CCMs pursuant to CMM 2015-07 paragraph 5. Authorised CCM users may access individual CCMs indications of capacity assistance need in the dCMR and associated documentation.

14. In the first half of 2016, the Assistant Compliance Manager attended the FFA MCS Working Group meeting and worked alongside the FFA Secretariat to assist many FFA CCMs with their Annual Reports Part 2. Assistance and advice was provided to many developing CCMs at the Tuna Data Workshop related to preparation of Annual Report Part 1. In addition, throughout the year the Secretariat was able to work with and assist many CCMs electronically with their Annual Reports Part 2 and draft CMR reporting – this assistance was often in response to specific requests from CCMs, or CCMs accepting the Secretariat offers to assist them. There was a 2016 budgetary allocation of USD50,000 for targeted capacity building with a note that it was *proposed to be directed to specific areas identified in the CMR process and Annual Report Part 2 assistance, and if funds permit to specific needs identified in the CMR process*. As in past years, there was budgetary provisions to support staff travel to the above mentioned meetings to assist with CCMs Annual Reporting and

CMS-related preparations. Actual spending to date against this line item will be reported to FAC10.

> **Suggested Action:**
> 15. TCC12 is invited to consider the capacity assistance needs listed in TCC12-2016-Table 1 and any other areas identified by CCMs during TCC12's review of dCMRs when developing the Provisional Compliance Report and noting the task set out in paragraph 30 (ii) of CMM 2015-07.

Develop a multi-year program of obligations to be assessed under the CMS - (5.3)

16. WCPFC12 agreed to a list of obligations to be assessed by the CMS in 2016-2018, the frequency for assessment of CMMs in forward years and the detail of CMM paragraphs to be included in the Compliance Monitoring Report (WCPFC12 Summary Report para 469, 471 and Attachment O). TCC12-2016-10B Table 2 lists some suggested updates and revisions that should be made to the WCPFC12 agreed list.

> **Suggested Action:**
> 17. TCC12 is invited to
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> a) consider the Secretariat proposed changes to the agreed list of obligations to be assessed in the Compliance Monitoring Scheme for 2017 and 2018 as outlined in Annex I and summarized in TCC12-2016-10B Table 2; and
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> b) provide a recommendation to WCPFC13 on proposed changes to WCPFC12 Summary Report Attachment O and noting the task set out in paragraph 15 of CMM 2015-07.

Provide advice on CMMs that need revision to improve compliance and monitoring, including those for which interpretation issues have been identified through the CMS process - (5.4)

18. TCC12-2016-10B provides a list in Table 1 of some CMM paragraphs which might be useful for TCC to consider under this agenda item.

> **Suggested Action:**
> 19. TCC12 is invited to consider TCC12-2016-10B Table 1 and any other areas identified by one or more CCMs during TCC12's review of dCMRs when developing the Provisional Compliance Report and noting the task set out in paragraph 30 (i) and (iii) of CMM 2015-07.

Consider and provide recommendations on terms of an independent audit or review of the CMS - *[(5.5) - TCC12-2016-11]*

20. A discussion paper, TCC12-2016-11, has been prepared for the consideration of TCC12 in response to paragraph 40 of CMM 2015-07 to undertake a review of the Compliance Monitoring Scheme (CMS) at the end of 2017 by an independent panel selected by the Executive Director in consultation with Members.

> **Suggested Action:**
> 21. TCC12 consider the paper and make recommendations to WCPFC13 regarding the terms of the review of the Compliance Monitoring Scheme in 2017.

Report on, and review implementation of trial WCPFC Port coordinators Programme 2015-2016 *[(7.2) - TCC12-2016-13]*

22. WCPFC11 agreed to establish a trial WCPFC port coordinators programme which would be implemented on a trial basis for two (2) years in 5 ports in the WCPO. The second report on the trial is provided as TCC12-2016-13. At the request of SC12, the TCC12 paper has been updated and expanded to include a proposal for extension of the Port Coordinators Programme by the Commission.

Suggested Action:

23. TCC12 is invited to

    a) note the second report of the trial Port Coordinators Programme

    b) consider a recommendation to the Commission that notes the success of the trial Port Coordinators programme and recommends extending the program to other ports in the WCPO, where appropriate; and

    c) consider the proposed revised terms of reference in TCC12-2016-13 Attachment 1 as the basis for the proposed extension of the Port Coordinators Programme.

Vessel Monitoring System (VMS) – *[(8.1) - TCC12-2016-RP01]*

24. Just over 3,200 vessels are reporting to the Commission VMS. In 2015/16 the Commission continued its association with the FFA and the Pacific VMS for Commission VMS services. The Pacific VMS ensures the FFA VMS and Commission VMS operate as two separate and distinct entities to protect the integrity of the Commission VMS data. The redundant system for backup/data security purposes is located at the Secretariat in Kolonia, Pohnpei.

Report on VMS transition – *[(8.1a) - TCC12-2016-14]*

25. During the first half of 2016, the FFA retired the Polestar VMS and transitioned Pacific VMS services to Trackwell. The new Commission VMS from Trackwell was officially launched on 1st July 2016. A report of progress confirming the successful transition of the Commission VMS to Trackwell is provided in TCC12-2016-14.

26. TCC12-2016-14 includes some projected figures for VMS-related line items in the 2016 budget and notes that during the VMS transition period, additional costs under the SLA and the airtime services were incurred, there are projected overspends in 2016 budget for the VMS SLA and VMS airtime budget lines that are estimated to amount to $180,000. FFA advised the Commission at WCPFC12 that cost savings of at least $150,000 per annum can be anticipated from 2017 onwards, compared to the previous $400,000 per annum SLA charge. Other costs include: VMS contracts for airtime services for positions from WCPFC-VMS direct reporting vessels which have been showing some marginal increase at $100,000 – 115,000 per annum; and costs of support to VMS redundancy provision which has been maintained at $18,700 per annum.

Annual Report on VMS *[(8.1) - TCC12-2016-RP01]*

27. Notes on in-house developments and matters of interest for 2015/16:

    i. CCMs will recall that in early 2015 the Secretariat had completed necessary work to develop a VMS to RFV "mapping table" which provided a link between vessels data in the RFV and the vessels data in the Commission VMS database. This work was

scheduled as a key component of the in-house work necessary to provide the Secretariat with the capability to utilize WCPFC VMS data in its integrated MCS monitoring of CMMs.

ii. The Secretariat reports that the vessel mapping table, was usefully used to support the VMS transition arrangements. In addition, through the arrangements that the Secretariat defined for the Commission VMS transition to Trackwell, the vessel information contained the Commission VMS, is now based on the vessel details as showing in the WCPFC Record of Fishing Vessels (this is achieved through linking a VMS record to the corresponding RFV record through the RFV VID). This is unlike the arrangements for the previous VMS service system which required that the VMS vessels list necessarily needed to be manually updated with vessel details including flag and name changes.

iii. Continued and ongoing support to "flick the switch" implementation (WCPFC9 decision on application of the WCPFC VMS to WCPFC members' waters) and members' high seas MCS operations;

iv. The Secretariat confirms that the work to complete the online list related to VMS reporting has been delayed as a result of the draws on staff and contractor time to necessarily support the VMS transition. The Secretariat continues to see this mechanism as a priority initiative which will better support WCPFC VMS monitoring, and the work in response to this tasking is ongoing.

v. Ongoing monitoring and support of the VMS manual reporting provisions in the VMS SSPs, with some continuing challenges. The Secretariat does acknowledge there remain some challenges to the implementation of the VMS SSPs for manual reporting provisions. One of these challenges is that the first step, which occurs before a vessel may be asked to manually report its position to WCPFC: the Secretariat must be able to ascertain that there has been non-reception of two consecutive, programmed high seas VMS positions. The Secretariat confirms that the necessary work to meet the requirements of VMS_SSPs 5.6 "The Secretariat shall maintain and make available to all CCMs a current list of those vessels subject to manual reporting and the duration of that reporting" will be completed as part of the delivery of the VMS reporting WCPFC12 tasking;

vi. The Secretariat maintains that E-reporting initiatives are likely to offer much potential for improving the quality and timeliness of information on VMS manual reporting by presenting a standardized electronic format as alternative to the pdf and in-text emails many CCMs are currently using; and

vii. In response to the agreed amendments to 2.7 of the VMS SSPs at WCPFC12 the Secretariat has identified on page 7 of TCC12-2016-RP01 a list of non-compliant ALCs that have been included by CCMs on the list of approved ALC types.

Suggested Action:
28. TCC12 is invited to:

   a. note the report and discuss the activities of the Commission VMS in 2015/16;
   b. note the Secretariat advice and recommendation provided in accordance with VMS SSPs 2.7 requirement, that three Argos units (ARGOS – FVT; ARGOS – MAR-GE and ARGOS – MAR-GEV2) do not meet agreed VMS requirement in CMM 2014-02 Annex 1 (paragraph 4) of CMM 2014-02, and the DMR unit is presently not able to report to the Commission VMS, and these MTUs should be removed from the list of CCMs approved MTUs; and

c. consider recommending to the Commission that the following four (4) MTUs/ALCs should be determined to be non-type approved ALCs and these units should be removed from the list of CCM approved MTUs within 3 years:
* ARGOS – FVT
* ARGOS – MAR-GE
* ARGOS – MAR-GEV2
* PT.SOG Indonesia – DMR-800 D/D2.

Regional Observer Programme – *[(8.2) - TCC12-2016-RP02_rev2]*

29. The Commission Regional Observer Programme (ROP) is comprised of 23 observer programmes of Members and subregional agencies. In 2015/16 most Regional Observer Programme (ROP) observers for the 100% observer coverage on purse seiners were sourced from Pacific Island Observer Programmes. Pacific Island observer programmes also continue to supply most observers to meet 100% high seas transshipment on carriers and some of the 5% ROP longline coverage rate requirement. There is often an attrition rate in observer programmes, so training is required for most observer programmes on a continual basis. Non-Pacific Island countries of the Commission also have available observers that are being used in ROP trips to collect data as required by the Commission.

30. The Secretariat was tasked at WCPFC12 to work with SPC-OFP in developing an online solution for providing advance notification to flag States of alleged infringements reported on observer trip monitoring summary. In March 2016, the Secretariat implemented the online Compliance Case file system, and three of the lists (FAD set alleged infringements, shark-catch alleged infringements and observer obstructions) are based on the ROP data set. For observer-data based alleged violations, flag CCMs are provided with details sufficient to commence their investigations eg to identify the vessel, the trip's start and end dates, if relevant the fishing area, the CMM paragraph related to the alleged violation and observer programme that supplied the observer. Joint work is continuing between the Secretariat and SPC-OFP to finalise the part of the online IT solution for the "observer trip monitoring summary" to be included in the online compliance case file system in the absence of the complete ROP data set. An update will be provided to TCC12. The IT budget lines in Part 1 of the budget, and IMS-related budget lines in Part 2.2, are being used for the launch of this this online initiative.

31. The ROP section of the Secretariat has continued to support observer and de-briefer training sessions of Members, and in 2016 a $20,000 budget was provided for this activity. In 2015/16, assistance was given on request to help the Philippines with observer and de-briefer training. In addition, staff have participated in observer related meetings and workshops within the region.

32. The main issues to emerge from the program that require TCC12's consideration and which are not otherwise noted in the agenda are as follows:

i. The year 2015 saw a number of events occurred that are having ramifications on all programmes, safety at sea issues were highlighted at the WCPFC12 and Commissions new minimum standards are in place and all programmes will need to ensure they have these new minimum standards in place in their programmes by January 2017. From January 2017 all programmes when audited will be checked to ensure these safety measures for observers are in place. These new WCPFC standards are being recognized across the globe as a minimum standard that should be used for observer safety in all programmes.

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ii. A second phase of audits commenced in 2014 to ensure ROP standards are maintained, and a schedule was approved as guidance by WCPFC11. The Philippines, Vanuatu, Solomon Islands, and FFA observer programmes were reviewed in 2014. In 2015 those observer programmes audited were Nauru, Fiji, Tonga, Kiribati, and the United States, Hawaii-based Pacific Island Regional Observer program. The intention in 2016 was to audit the programmes of PNG, Korea, RMI and FSM. The current annual budgetary allocation is sufficient and should be maintained;

iii. In August 2016, a cross-endorsement training for experienced observers by IATTC and WCPFC staff was held in Port Vila, Vanuatu providing certification to 20 observers. There are approximately 50 observers from Pacific Island countries with IATTC/WCPFC cross endorsement certification. In 2016 a $28,000 budget was provided for this activity, and costs for the Vanuatu training activity were shared by FFA Secretariat.

iv. The paper *Status of ROP Data Management"* presented at the Science Committee on data management indicates the amount of ROP data that has been entered and also highlights possible data gaps and other problems in receiving the data for entry. This paper is one of the papers that was drawn on in the preparation of draft Compliance Monitoring reports covering 2015 activities by the Secretariat. *(see TCC12-2016-IP05)*;

v. The paper (TCC12-2016-RP02) provides summary information from observer data on whale shark and cetacean encounters with purse seine vessels; seabird and sea turtle fishery interactions, as well as silky shark and oceanic white tip sharks interactions; and

vi. The 2016 version of the booklet of the current Commission Conservation and Management Measures and Resolutions that are specifically relevant to observers that are in force was updated and distributed to all observer programmes. An electronic version of the handbook, as well as complete compendium of the CMMs can be downloaded from the WCPFC website. In 2016 a $28,000 budget was provided for this activity, and this is adequate for the production and postage costs.

High Seas Transshipment Monitoring - *[(8.3) - TCC12-2016-RP03]*

33. In 2015 there were 753 high seas transshipment reported to the WCPFC Secretariat in accordance with CMM 2009-06; 23 receiving vessels and 310 offloading vessels from 7 CCMs were involved in these reported transshipments during 2015. Advance notifications and post-transshipment declaration reporting by CCMs of high seas transshipment events continues to improve and is complete in 2015 for some CCMs, but overall gaps remain in WCPFC holdings of reported transshipment events. From 1 Jan - 30 July 2016, 427 high seas transshipment activities were reported involving 16 receiving vessels and 234 offloading vessels from 11 CCMs. TCC12-2016-RP03 Annex 2A – 2D provides a summary of CCMs responses in Annual Report Part 1 of their annual report for 2015 against all transshipment activities covered by CMM 2009-06.

34. Some points of note from 2015 year and first six months of 2016 include:

i. As was the case in past years, reported high seas transshipments were sparse in the north western and south eastern part of the WCPF Convention Area, and were more dense in the tropical eastern Pacific, particularly within and around the overlap area with IATTC;

ii.   Few high seas transshipment activities were reported to have occurred in the high seas pockets, no reported high seas transshipments in HSP1-SMA or EHSP-SMA;

iii.   Some high seas transshipment activities were reported to have occurred in the southern part of the Convention Area;

iv.   As was the case in past years, reasonable proportions of the total estimated longline catch of bigeye tuna and swordfish were reported to have been transshipped in the high seas during 2015 (TCC12-2016-RP03, Table 3 and Table 5);

v.   The first six months of 2016, is comparable to the 2014 and 2015 levels of high seas transshipment events and quantities transshipped in the high seas;

vi.   The list of vessels which CCMs have advised WCPFC of having positive determinations of impracticability in accordance with paragraph 34 of CMM 2009-06 (now associated with the Record of Fishing Vessels), now includes the majority of vessels that are reported to be involved in high seas transshipments; and

vii.   Reporting by CCMs of high seas transshipment events has improved in 2015/16. This may be due to a number of factors including the fact that this obligation is assessed under the Compliance Monitoring Scheme; the work that the Secretariat does in terms of informing CCMs of any reporting gaps early in the year; and/or simply perhaps vessels/CCMs are becoming more familiar with the reporting requirement, but gaps remain in WCPFC holdings of reported transshipment events.

35. The report (TCC12-2016-RP03) also provides updates on in-house activities in support of high seas transshipment monitoring:

i.   Progress towards more routine advice to CCMs of high seas transshipment reporting gaps; and

ii.   Progress towards improved capability to verify high seas transshipment reporting through VMS analysis and observer data.

36. On the latter update, the Secretariat confirms that the work to incorporate IT solutions that verify high seas transshipment reporting through VMS analysis and observer data has been delayed as a result of the draws on staff and contractor time to necessarily support the VMS service provider transition that commenced in late 2015 and was completed in July 2016. The Secretariat continues to see this mechanism as a priority initiative which will better support WCPFC VMS monitoring, and the work in response to this tasking is ongoing. The revised scheduling for this work is currently being reviewed, and will be considered alongside other MCS/compliance tasking to the Secretariat in 2017. The IT budget lines in Part 1 of the budget, and IMS-related budget lines in Part 2.2, as well as some external funding from the European Union, are to be used for this online publishing initiative.

37. The Secretariat maintains that E-reporting initiatives are likely to offer much potential for improving the quality and timeliness of information on high seas transshipments by presenting a standardized electronic format as alternative to the pdf and in-text emails many CCMs are currently using. The ERandEMWG2 has asked the Secretariat to complete a draft of the standardized electronic format for high seas advance transshipment notifications (CMM 2009-06 35 a(iii)), high seas transshipment declarations (CMM 2009-06 35 a (iv)) and to facilitate ROP observer monitoring of high seas transshipments. Such initiatives would have the added benefit of improving the capability of the WCPFC Secretariat to publish reporting gaps for routine checking and review by flag CCMs, and to be able to provide high seas advance transshipment notifications (CMM 2009-06 35 a(iii)) as part of routine MCS data requests.

Draft Guidelines for the determination of circumstances where it is impracticable for certain vessels to transship in port or in waters under national jurisdiction - *(8.3a) – TCC12-2016-15_rev1*

38. At WCPFC12, the Commission noted paragraph 37 of CMM 2009-06 and tasked the Executive Director to prepare draft guidelines for the determination of circumstances where it is impracticable for certain vessels to transship in port or in waters under national jurisdiction. The paper TCC12-2016-15_rev1 responds to this tasking.

Suggested Action:
39. TCC12 is invited to:

   a) consider the proposed draft guidelines for the determination of impracticability under paragraph 37 of CMM 2009-06;

   b) consider in accordance with paragraph 38 of CMM 2009-06 whether to prohibit transshipment in areas of high seas in the Convention Area entirely surrounded by the EEZ of members of the Commission and Participating Territories; and

   c) consider tasking the Secretariat to work closely with ROP observer programmes to better support the training and safety of high seas transshipment observers, including through the use of electronic tools.

Proposal to amend CMM 2009-06 (WCPFC12 para 556) - *(8.3a) – TCC12-2016-16_rev1*

40. During 2015, the IWG-ROP supported in principle that the Commission consider adopting proposed amendments to CMM 2009-06, to establish additional reporting requirements for receiving vessels operating in the Convention Area. A concept of establishing a requirement for carrier vessels to declare their intention to partake in high seas transshipment activities was proposed. During WCPFC12, the Commission agreed to consider this proposal alongside the pre-notification process with a view to complementing and enhancing efforts to provide better support to ROP observer safety and security (WCPFC12 summary report paragraph 215).

Suggested Action:
41. TCC12 is invited to consider the IWG-ROP's recommendations related to carrier notification of intent to transship and the associated proposed amendments to CMM 2009-06 as contained in WCPFC12-2015-21a (attachment to TCC12-2016-16_rev1).

High Seas Boarding and Inspection (HSBI) - *[(8.4) - TCC12-2016-RP04]*

42. Since March 2014, there have been 13 members that have notified the Commission, through the Executive Director, of their intention to participate in conducting boarding and inspection activities under the WCPFC HSBI Scheme.

43. In 2015, the Secretariat received 70 reports from 4 Members conducting HSBI activities. In the first eight months of 2016, the Secretariat received 83 reports from 5 Members undertaking HSBI activities. The number of HSBI activities has increased compared to past years.

44. The HSBI activities undertaken by WCPFC members has provided a mechanism to assist flag CCMs with checking the implementation by their vessels of a number of CMMs that are in force (CMM 04-03 (vessel and gear marking), 09-06 (transshipment), 10-02 (EHSP), 10-

07 (sharks), 12-07 (seabirds), 13-05 (daily catch and effort reporting), 13-10 (RFV and authorization to fish) and 14-02 (VMS)).

45. Since August 2015, the Register of Inspection Vessels and database for authorities of Inspection Vessel and Authorities of Fishing Vessel has been accessible through the HSBI page on the public side of the website at http://www.wcpfc.int/high-seas-boarding-inspection.

46. At the time of writing the Secretariat was in the final stages of implementing the WCPFC12 tasking for an online technical solution to make available to authorized CCM MCS personnel, through secure login, a list of vessels that have been previously inspected under the HSBI scheme. An update will be provided to TCC12. The IT budget lines in Part 1 of the budget, and IMS-related budget lines in Part 2.2 were used for this online publishing initiative.

Suggested Actions:
47. TCC12 is invited to note and discuss the recent activities undertaken under the HSBI scheme.

Record of Fishing Vessels (RFV) - *[(8.5) - TCC12-2016-RP05-rev1]*

48. As at 17 August 2015, 30 CCMs (including five CNMs) have submitted 4526 records of their respective fishing vessels to the Executive Director.

49. The RFV is continuously publicly available via the WCPFC web site as required by paragraph 9 of CMM 2014-03. Since August 2015 tables and graphs of summary information contained in the RFV have been made available on the website at https://www.wcpfc.int/vessels/charts. These summary statistics, presented as graphs and tables, are automatically updated, as the RFV changes and is reflective of what is in the RFV at that point in time. Since December 2015, the display of each individual vessel record on the website now includes a notation for the date the record was last updated. The IT budget lines in Part 1 of the budget, and IMS-related budget lines in Part 2.2 were used for on-going support to the RFV database maintenance and its associated online publishing initiatives.

50. During last year (2015) and the first half of this this year (2016), the Secretariat makes the following observations related to the RFV:

   i. The implementation of the RFV SSPs, since its coming into force in June 2014, together with the review of completeness by the Compliance Monitoring Scheme (CMS) has greatly streamlined and improved the operation of the RFV including the completeness of the information within the RFV.

   ii. Currently all vessels in the RFV have complete minimum required data fields. CCMs may recall that WCPFC12 agreed that all vessels on the RFV shall complete the minimum required fields by 30 June 2016 and instructed the Secretariat to remove any vessels without the minimum required data fields after that date (WCPFC 12 Summary Report para 503). The Secretariat worked closely with relevant CCMs, and 1188 vessels were deleted from the RFV in accordance with the WCPFC12 decision, on 9 July 2016.

   iii. The RFV is a central data source in the WCPFC Integrated MCS databases. An important part of the day to day administration by the Secretariat of the WCPFC RFV involves the management of the vessel history in the RFV. The Secretariat makes best efforts to check for and avoid the creation of duplicates records in the RFV, and will regularly liaise with CCMs to this end. Importantly for integrated MCS record

keeping the understanding of and use of VID (WCPFC vessel identification number) number, which is a system identifier for a vessel in the RFV has continued to improve.

Eastern High Seas Pocket Special Management Area (EHSP-SMA) – *[(8.6) - TCC12-2016-RP06]*

51. In accordance with CMM 2010-02, entry and exit reports for the EHSP-SMA are submitted to the Secretariat via email and are stored in WCPFC's Information Management System (IMS). The Entry/Exit reports received are also transmitted to the three coastal CCMs surrounding the EHSP, and the three countries have requested and receive 100nm high seas VMS data for the EHSP-SMA, in accordance with the Data Rules and Procedures.

52. This year's report confirms that over 70 vessels were detected or reported entering or exiting the EHSP-SMA. The report shows that there are some improvements in reporting compared to previous year reports, but there are still some vessels that enter and exit the EHSP-SMA which are not reporting in accordance with CMM 2010-02.

53. The Secretariat maintains that E-reporting initiatives are likely to offer much potential for improving the quality and timeliness of information on EHSP-SMA monitoring by presenting a standardized electronic format as alternative to the pdf and in-text emails many CCMs are currently using.

54. Since August 2015, the Secretariat published 'live list' of all fishing vessels present in the EHSP on the secure page on the WCPFC website, are displayed in a table as well as in a map of the EHSP in the EHSP page on the website. Vessels are also directly linked to the WCPFC RFV providing user with the ability to easily access vessel details on the RFV. Authorised CCMs users can view on the EHSP secure page. The IT budget lines in Part 1 of the budget, and IMS-related budget lines in Part 2.2 were used for on-going support to the EHSP-SMA monitoring and its associated online publishing initiatives.

Intersessional activities - *(10)*

E-reporting and E-monitoring Initiatives – [*(10.1) – TCC12-2016-17]*

55. The Second E-reporting and E-monitoring Intersessional Working Group meeting was held in Bali, Indonesia from 1-2 August 2016. Electronic reporting is recognized as providing ways to enhance data accuracy, data entry efficiency, reducing reporting burden and avoiding duplication for vessel operators and national fisheries agencies. A report will be provided to TCC12 by ERandEMWG Chair, Kerry Smith.

56. The key output from the meeting were recommendations related to Attachment 4 of TCC12-2016-20 a set of draft electronic reporting standards to apply initially to five reporting requirements: Eastern High Seas Pocket Special Management Area reporting (CMM 2010-02); High Seas Pocket One Special Management Area reporting (CMM 2014-01 Attachment C); Manual position reporting in the event of ALC/MTU failure; Operational level catch and effort data; and Observer data (Attachment 5 of Summary Report of ERandEMWG1).

57. ERandEM WG2 recommends that the Secretariat be tasked, working with the Scientific and Data Services Provider (SPC-OFP), to develop a revised draft E-reporting standards document to takes into account the outcomes of the CCM testing and feedback from CCMs on the current draft of this document. CCMs are asked to provide comments on Attachment 4 by TCC12. Updates will be provided by SPC and the Secretariat to TCC12.

58. The proposed draft electronic reporting standards are expected to ensure 1) that electronic technologies can be fully utilized to satisfy agreed Commission scientific data and other reporting requirements; and 2) that technologies can be developed in a way that suits the needs of countries, and vessel operators and the Commission.

59. As noted elsewhere in this report the Secretariat maintains that E-reporting initiatives are likely to enhance the timeliness and quality of reported data. The Secretariat continues to see work to develop and implement the E-reporting import mechanisms into WCPFC IMS systems, as a priority initiative which will offer much potential for improving the quality and timeliness of information on EHSP-SMA, high seas transshipment monitoring, VMS manual reporting and HSP1-SMA record keeping. A scheduling for this work is currently being reviewed, and will be considered alongside other MCS/compliance tasking to the Secretariat in 2017.

CDS-IWG03 – *[(10.2) (TCC12-2016-24]*

60. The CDS-IWG meeting took place on Friday 16th September, in Pohnpei, Federated States of Micronesia. A report will be provided to TCC12 by CDS-IWG Chair, Alois Kinol.

Recommendations from SC and NC – *(10.3)*

61. There are two papers relevant to this agenda item:
    i.   TCC12-2016-IP03 provides in summary form, updates on decisions and issues from TCC11, WCPFC12 and SC12 alongside the TCC12 provisional agenda;
    ii. TCC12-2016-18 provides the outcomes from SC12 related to two data-related matters that SC12 referred to TCC12.

Review of Existing CMMs – *[(11)]*

Bigeye, yellowfin and skipjack (CMM 2015-01, CMM 2009-02) – *[(11.1) - TCC12-2016-IP07; TCC12-2016-IP08; and TCC12-2016-DP04]*

62. TCC12-2016-IP07 and TCC12-2016-IP08 provide detail on the reporting and data related to the tropical tuna CMM. TCC12-DP04 is a delegation paper by PNA reporting on purse seine activity in PNA waters.

South Pacific albacore (CMM 2010-05) - *[(11.2) - TCC12-2016-IP11]*

63. TCC12-2016-IP11 is a paper by SPC on the status of the South Pacific Albacore.

Sharks (CMM 2010-07, 11-04, 12-04, 13-08 and 14-05) - *[(11.3) - TCC12-2016-20 & TCC12-2016-19]*

64. TCC12-2016-20 and TCC12-2016-19 provide information to support TCC12's discussion of the three sub-agenda items related to existing shark CMMs.

65. The paper (TCC12-2016-RP02) provides summary information from observer data on whale shark and cetacean encounters with purse seine vessels, as well as silky shark and oceanic white tip sharks interactions.

66. In March 2016, the Secretariat implemented the online Compliance Case file system, and one of the three of the lists provides notification to flag CCMs of shark-catch related alleged infringements based on the ROP data set. 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. Currently these are related to 2015 calendar year and the following obligations: CMM 2010-07 09; CMM 2011-04 01; and CMM 2013-08 01.

Other matters requiring TCC advice - *[(13)]*

Consider summary of port state measures adopted by other RFMOs and members [(13.1) – TCC12-2016-22]

67. (TCC12-2016-22) is the paper prepared by the Secretariat that provides information on the status of port state measures adopted by various RFMOs.

Cooperation with CCSBT [(13.2) – TCC12-2016-23]

68. (TCC12-2016-23) tables two proposed two proposed Memorandum of Cooperation (MOC) with the Commission for the Conservation of Southern Bluefin Tuna (CCSBT) on exchange and release of data; and endorsement of WCPFC ROP Observers for Observing Transhipments of Southern Bluefin Tuna on the High Seas of the WCPFC Convention Area.

Suggested Action:

69. TCC is invited to:

a) consider the proposed MoC with the CCSBT on data exchange, as amended (TCC12-2016-23 Attachment 1);

b) consider the proposed MoC with the CCSBT on transshipment (TCC12-2016-23 Attachment 2); and

c) provide comments on either of the proposed MoCs including whether they should be supported for signing

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Administrative matters – [*(14)*]

TCC Work Plan and Budget for 2016-2018 – [*(14.1)*]

70. (TCC12-2016-IP10) provides the WCPFC12 adopted TCC Workplan 2016 – 2018. The TCC12 agenda and Secretariat paper preparation has taken into account the agreed priority projects for 2016.

71. TCC12-2016-IP03 provides in summary form, updates on decisions and issues from TCC11, WCPFC12 and SC12 alongside the TCC12 provisional agenda and references to the TCC Workplan 2016-2018.

Data rules and security audit – [*(14.2) - TCC12-2016-RP07]*

72. In 2015/16 the Secretariat has maintained its system of controls over approvals for access to data and information from the Commission. In 2014/2015, the Secretariat received and processed eighty four (84) requests from Members and others for specific WCPFC data, some of which were related to multiple types of WCPFC non-public domain data. These protocols all seem to have worked well with no known breaches occurring.

73. CCMs asked to check and ensure that details for the various groups of Official Contacts details, including the Authorized MCS Entities and Personnel are up to date (see Circular No.: 2015/54, August 2015 for instructions for how CCMs can update these details online).

74. TCC12-2016-RP08 Annex 1 provides a summary of WCPFC non-scientific data holdings as requested by TCC11.

75. TCC12-2016-RP08 will provide the Report of the independent review of the Secretariat's VMS data, and the integrity of the IMS and RFV, which was conducted by Deloitte & Touche LLP Guam.

Report on the Secretariat IMS and website development, and online reporting systems (2016-2018) – [*(14.3)*]

76. The WCPFC Information Management System (IMS) is hosted internally within the Secretariat, using Microsoft SharePoint technologies integrated MySQL database. A SharePoint Intranet/Extranet Portal https://intra.wcpfc.int provides both the Secretariat staff and the authorized CCM users a web front-end (WFE) interface to the IMS. The Commission website http://www.wcpfc.int is hosted externally, and was initially set up to document and gazette WCPFC meeting papers, summary records and copies of WCPFC decisions including CMMs.

77. In 2012 (WCPFC9), the Commission approved a three year plan of support an intensive development of the Secretariats internal systems including the further development of an enhanced and integrated WCPFC Information Management System to improve the integration of WCPFC MCS information (*Proposed enhancements to the Information Management System and WCPFC Website 2013-2015* (*WCPFC9-2012-FAC6-16*)). The development of the IMS has followed an incremental model of implementation, based on a planned corporate data model that reflects core WCPFC Secretariat business tasks.

78. Priorities in 2012 included delivering to Members an online interface for submitting their annual reports to the Commission on compliance and implementation of measures (Annual Report Part 2), as well as developing an internal online system to assist the Secretariat with generating draft Compliance Monitoring Reports for each CCM. The Secretariat also commenced a phased investment to increase the integration of MCS information in the WCPFC IMS and required website enhancements. These commitments made by the Commission to IMS developments and associated IT infrastructure has resulted in delivery of a range of online reporting systems for CCMs and for the Secretariat have already been delivered (including online reporting systems for Annual Report Part 2, draft Compliance Monitoring Reports, MTU audit reporting, and Record of Fishing Vessels updates). The existing IT portfolio includes a private virtual cloud network at WCPFC HQ, Pohnpei. The operational databases are developed and maintained on Microsoft enterprise Sharepoint and SQL Server platforms. The Commission Data Warehouse (DWH) which integrates all existing WCPFC operational data and two external datasets (FFA Good Standing Register and VMS daily positions) is developed and maintained on open source platforms, MySQL and Linux. These new tools, as implemented, now replace most of the ad-hoc spreadsheet desktop recordkeeping that had been used prior to 2012 by the Secretariat MCS/Compliance staff for recording principal CMM reporting datasets. Together these efforts are undertaken with a view to better supporting CCMs in their implementation of these collective MCS measures. In addition, all of the Required Reports which are tabled at TCC12, and the draft Compliance Monitoring Report and related-work, have benefitted and have been supported by the IMS developments to date.

79. In 2016, the Secretariat has continued its work on the integration of databases under a single data warehouse framework, and the development of in-house IT analysis tools (activities in late 2015/16 has focused on VMS transition support and in-house displays of integrated MCS

information). The Secretariat has also been working on improvements to display of a range of MCS tool information on the website (for example HSBI list of vessels inspected and VMS reporting status).

80. In April 2016, the new online Compliance Case File system was launched and this supports the notification to flag CCMs of alleged violations by their vessels and assists the Secretariat with tracking the progress of investigations of individual alleged violations. The source of data include HSBI activity associated reporting, other Article 25(2) notifications and ROP observer data. Some summary information on the investigations of alleged violations included in the online Compliance Case File system is provided in TCC12-2016-10D.

81. 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.

82. Since 2012, the Commission has maintained an annual budget of $100,000 for IMS developments. In addition, a modest annual amount for online publishing through the website, including of Annual Report Part 2, has also been maintained in subsequent budgets ($18,000). Importantly these annual budgets provide for routine maintenance support to the IMS databases considered in the TCC required reports and Secretariat prepared working and information papers, the annual updates and routine procedures associated with the development and publishing of the online Annual Report Part 2 and Compliance Monitoring system, and a modest budget for continued work in support of further enhancing and increasing the integration of MCS information in the WCPFC IMS and to provide the Secretariat with tailored IT analysis tools. At WCPFC12, the Commission supported TCC11s recommendation and agreed to maintain commitments that will ensure the continued development and enhancement of the Commission Secretariat IMS over the next 2-3 years (WCPFC12 Summary Report paragraph 524).

83. In addition to the routine Compliance tasks, the Secretariat maintains that there are five priority work areas which have been identified by the Secretariat for future IMS development within the Secretariat over 2016-2018, and as noted previously the Secretariat has received some voluntary contributions these priorities:

a)   support ways to improve the collection of accurate and timely data, including through electronic reporting (ER) and electronic monitoring (EM);

b)   continuing to expand the analytical capability and business intelligence of the WCPFC IMS, including adding a GIS/map for displaying and integrating various WCPFC data;

c)   improving the access and capability of the Secretariat to review ROP observer data, and ensure that the Secretariat's internal MCS operating procedures and IMS systems adequately cater for record-keeping, handling of evidence and notices to CCMs of possible violations;

d)   review procedures and propose tools, including through the website, so that the Secretariat is better equipped to provide timely access to MCS-relevant information in support of member MCS activities and to share MCS data with CCMs, in accordance with the WCPFC data rules and procedure; and

e)   integration of WCPFC Catch and Effort data, held and maintained by SPC-OFP into the WCPFC IMS datasets.

Staffing

85. Twelve of thirteen MCS/Compliance staff (4 professional level and 8 locally recruited staff) are in place: one ROP data entry staff resigned in early 2016. The travel commitments of the staff October 2015 – September 2016 are attached as *Attachment 1*.

Recommendation

86. TCC12 is invited to note the report.

<u>Attachment 1 - Travel by WCPFC MCS/Compliance staff in 2015/2016:</u>
A list of the travel by the senior Compliance/MCS staff in late 2015/2016 is provided below. The travel has included assistance and involvement in sub-regional activities directly related to the WCPFC work areas. Most travel is funded from the *staff travel* line items in Part 1 of the budget and dedicated activity line items in Part 2.3 of the Technical and Compliance Programme.

China, Beijing
- o In-country VMS training (May 2016) – VMS Manager

European Union
　Spain, Madrid,
- o In-country VMS training (May 2016) – VMS Manager
　Portugal, Lisbon,
- o In-country VMS training (June 2016) – VMS Manager

Federated States of Micronesia, Pohnpei
- o VMS SLA special meeting on VMS transition (Dec 2016) – Compliance Manager, VMS Manager.

Fiji, Nadi
- o PNA observer programme meeting (Feb 2016) – Regional Observer Coordinator & Data Quality Officer

French Polynesia, Papeete Tahiti,
- o In-country VMS training (June 2016) – VMS Manager

Indonesia
　Bali
- o FADMgmtOptionsIWG (Nov 2015) - Compliance Manager, Assistant Compliance Manager
- o Special TCC session (Nov 2015) - Compliance Manager, Assistant Compliance Manager
- o WCPFC12 and associated meetings (Dec 2015)– Compliance Manager, Assistant Compliance Manager, VMS Manager, Regional Observer Programme Coordinator.
- o ERandEMWG2 Meeting (July 2016) - Compliance Manager, Regional Observer Programme Coordinator
- o SC12 Meeting (August 2016) - Compliance Manager, Regional Observer Programme Coordinator
　Jakarta
- o ROP Audit for Indonesian Observer programme to operate as part of the Commission ROP (May 2016) - Regional Observer Programme Coordinator

Japan, Tokyo
- o In-country VMS training and testing (April 2016) – VMS Manager

Iceland, Reykjavik
- o WCPFC VMS System configuration, testing and initial "Level Zero" data load (May 2016) – VMS Manager

Republic of Marshall Islands, Majuro
- o ROP Audit (October 2016 - *pending*) – Regional Observer Programme Coordinator

New Caledonia, Noumea
- o International Conference on Maritime Surveillance in the South Pacific (October 2016) – Compliance Manager.
- o Data Collection Committee Strategy Meeting (April 2016) - Regional Observer Programme Coordinator, Assistant Compliance Manager.
- o SPC Tuna Data Workshop (April 2016) – Assistant Compliance Manager.
- o In-country VMS training (June 2016) – VMS Manager

New Zealand, Auckland
- o 5th Global Fisheries Enforcement Training Workshop (5th GFETW) and MCS Emerging Technologies Workshop (March 2016) - Assistant Compliance Manager, Regional Observer Coordinator.
- o FFA MCS Working Group (March 2016) - Assistant Compliance Manager.

Philippines, Manila
- o Observer training Bureau of Fisheries and Resources (November 2015) - Regional Observer Programme Coordinator.
- o Observer training Bureau of Fisheries and Resources (May 2016) - Regional Observer Programme Coordinator.
- o In-country VMS training (May 2016) – VMS Manager

Solomon Islands, Honiara,
- o Regional Observer Coordinators Workshop (Feb 2016) - Regional Observer Coordinator, ROP Data Quality Officer
- o TrackWell VMS administrator training (February 2016) – VMS Manager

Chinese Taipei,
   Donggang Pingtung
- o MTU audit and training (October 2015) – VMS Manager
   Taipei
- o In-country VMS training and testing (March 2016) – VMS Manager

United States of America, San Diego
- o International Fisheries Observers & Monitoring Conference (IFOMC) (August/September 2016) - Regional Observer Programme Coordinator

Vanuatu, Port Vila
- o FFC (May 2016) - Assistant Compliance Manager
- o In-country VMS training (June 2016) – VMS Manager
- o IATTC/WCPFC Cross Endorsement Training (August 2016) - Regional Observer Programme Coordinator

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