



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

**SYNOPSIS OF SUGGESTIONS AND OPTIONS
THAT ARE PRESENTED IN**

TCC15-2019-10 STREAMLINING WCPFC REPORTING REQUIREMENTS DISCUSSION PAPER

WCPFC-TCC15-2019-10A
23 September 2019

Paper by Secretariat

Synopsis of Suggestions and Options that are presented in TCC15-2019-10

Note some edits have been made to original text in TCC15-2019-10, these edits were made for brevity and for clarity.

#	PRINCIPLES, SUGGESTIONS AND OPTIONS PRESENTED IN TCC15-2019-10	Reference TCC15-2019-10	Possible next steps
	GENERAL		
1	Obligation: CCMs are required and expected to report some information and data to the Commission annually as required by the Convention and CMMs.	Paragraph 73(a) (Pg 28)	For noting
2	Principle: It is important to promote transparency in the work of the Commission for information and data to continue to be accessible in the public domain and that they comply with the Rules and Procedures for the Protection, Access to and Dissemination of Data compiled by the Commission.	Paragraph 73(g) (Pg 28)	For noting
	REVIEW OF REPORTING REQUIREMENTS THAT ARE RELATED TO A CCM-LEVEL OR COLLECTIVE QUANTITATIVE LIMIT	Pg 7 – 10	
3	Obligation: Through the Compliance Monitoring Scheme the annual assessment of compliance for quantitative limits, shall be based on verifiable data indicating that a limit has not been exceeded. (CMM 2018-07 paragraph 7)	Paragraph 23 (pg 7)	For noting
4	Principle: If CCMs are subject to an applicable quantitative limit, they are required and expected to provide in Annual Report Part 2 the supporting details that confirm an applicable quantitative limit was not exceeded. Such supporting details should include any additional and related reporting requirements in that CMM or annual summaries thereof (rather than the report be submitted as a stand-alone report);	Paragraph 73(b) (Pg 28) Table 1 (pg 9)	TCC to consider supporting and recommending for approval by the Commission
5	Streamlining suggestion: It would be more efficient for CMM required reports related to implementation of quantitative limits to be included as the supporting details that each CCM is expected to provide in Annual Report Part 2 as confirmation that the applicable limit was or was not exceeded, rather than continue to have them submitted as stand-alone reporting requirements. Streamlining suggestion: In cases the Commission has decided that dedicated submissions of additional detailed data are necessary to more fully support verifiable reviews of a limit such detailed reports continue to be submitted directly to WCPFC. In these instances, within Annual Report Part 2	Paragraph 28 (pg 8)	Refer Streamlining Suggestions and Table 1 (pg 9) to IWG on CMS Audit Points

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	all CCMs should not need to provide a YES/NO/not applicable response to the reporting requirement. However, CCMs to whom the limit applies would be expected to both meet the corresponding CMM reporting requirement and to declare a summary of their reporting submissions, as the report on the applicable limit to confirm that the applicable limit was or was not exceeded.	Paragraph 32 (pg 10)	
6	<p>Principle: If CCMs are fully meeting the obligation to provide operational catch and effort data and are not subject to a quantitative limit, it is substantially duplicative for these CCMs to provide additional reports that are related to monitoring implementation with that quantitative limit.</p> <p>Streamlining suggestion: Agree to exempt those CCMs who are fully meeting WCPFC requirements to submit operational-level catch and effort data to the Commission and to whom a quantitative limit is not applicable, from the requirement to submit certain CMM required reports.</p>	<p>Paragraph 73(c) (pg 28)</p> <p>Paragraph 27 (pg 8)</p>	TCC to consider supporting and recommending for approval by the Commission
7	Streamlining suggestion: CMM 2005-03 (North Pacific Albacore) should be amended to remove paragraph 3, because it is duplicative with the paragraph 4 report requirement	Table 1 (pg 9)	TCC to consider supporting and recommending for approval by the Commission
8	<p>Streamlining option:</p> <p>Option 1: paragraph 8 of CMM 2009-03 (Swordfish) should be amended to require submission in Annual Report Part 2 OR</p> <p>Option 2: paragraph 8 of CMM 2009-03 (Swordfish) should be removed because it is duplicative with scientific data submissions</p>	<p>Table 1 (pg 9)</p> <p>Paragraph 29 (pg 8)</p>	TCC to consider supporting and recommending for approval by the Commission
9	<p>Comment on adequacy of reporting or formulation of quantitative limit:</p> <p>There are presently eight quantitative limits where there are limited or no additional data presently available to WCPFC to verify the CCM's report on their implementation against the limit. [CMM 2005-03 02 (NP albacore), CMM 2006-04 01 (SW Striped Marlin), CMM 2009-03 01, 02 (Swordfish), CMM 2010-01 05 (NP striped marlin), CMM 2017-01 45, 47, 48 (Tropical tuna vessel limits), CMM 2017-08 (Pacific Bluefin)] Consider whether additional reporting or revised formulations of quantitative limits should be considered so that WCPFC has more ready access to data that can be used to verify a CCMs implementation of a quantitative limit.</p>	<p>Table 2 (pg 11-12)</p> <p>Paragraph 33 (pg 10)</p> <p>Paragraph 81 (pg 31)</p>	TCC to consider referring Table 2 to Commission for their consideration

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	REVIEW OF REPORTING RELATED TO THE STEPS A CCM HAS TAKEN TO IMPLEMENT WCPFC OBLIGATIONS	Pg 10 -15	
10	Obligation: Through the Compliance Monitoring Scheme the annual assessment of compliance for other obligations, shall be based confirms the adoption, in accordance with its own national policies and procedures, of binding measures that implement the obligation and its actions to monitor and ensure compliance. (CMM 2018-07 paragraph 7)	Paragraph 36 (pg 13)	For noting
11	Principle: If CCMs have already provided in a prior year Annual Report a statement that details the steps taken to implement and to monitor and ensure compliance of their vessels with an obligation, and this statement remains current for the reporting year, then this statement should be able to be reconfirmed in future Annual Report Part 2 (rather than repeated verbatim each year)	Paragraph 73(d) (Pg 28) Table 3 (pg 14) ANNEX III (pg 60-63)	IWG on CMS Audit Points may consider developing standards for statements of implementation of each obligation
12	Streamlining suggestion: -CCM should provide for each new obligation a statement of implementation that confirms adoption, in accordance with its own national policies and procedures, of binding measures that implement the obligation and its actions to monitor and ensure compliance with the new obligations. - Secretariat could “hold on file” a copy of each CCMs previous statements of implementation for all prior year obligations that continue to apply in the current reporting year (eg for RY2018 there would be a list of 88 obligations). - Secretariat is tasked to include an online IT tool facility to allow each CCM to make updates to their statements of implementation for any or all prior year obligations. - Within each future Annual Report Part 2 each CCM would instead be asked to complete one question related to obligations in this reporting year that also applied in prior years: “CCM confirms that it has checked, and has as needed updated their statement of implementation of prior year obligations, and confirms that the information therein is current for this reporting year?” YES/NO/not applicable - Secretariat is tasked to publish a collation of all CCMs statements of implementation for all prior year obligations that are applicable to the current reporting year	Paragraph 38 (pg 13) Table 3 (pg 14) ANNEX II (pg 59) ANNEX III (pg 60-63)	TCC to consider supporting and recommending for approval by the Commission, subject to available budget Secretariat to provide to FAC and WCPFC16 the full cost and resource implications

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13	<p>Suggestion related to transparency: Rules and Procedures for the Protection, Access to and Dissemination of Data compiled by the Commission classify the entire Annual Report Part 2 as “Non-public domain data”, although the Commission recently took a decision for part of Annual Report Part 2 to be reclassified as public domain data, specifically the Annual Report from all CCMs against CMM 2013-07 obligations. Consider whether the proposed new “combined report providing all CCMs responses to implementation-type obligations that applied in prior years” should remain classified as non-public domain data.</p>	Paragraph 39 (pg 13)	TCC to consider supporting and recommending for approval by the Commission
	REVIEW OF REPORTING RELATED TO SCIENTIFIC DATA SUBMISSIONS	Pages 15 – 18	
14	<p>Principle: If CCMs are fully meeting the obligation to provide operational catch and effort data to SPC-OFP, it should be possible for SPC-OFP with input from the relevant CCMs to prepare and publish summary tables of essential fisheries information and annual catch estimates based on these scientific data submissions (rather than have additional and duplicative reporting requirements for CCMs to include these tables in their Annual Report Part 1)</p>	Paragraph 73(e) (Pg 28)	TCC to consider supporting and recommending for approval by the Commission, subject to available budget
15	<p>Streamlining suggestion:</p> <ul style="list-style-type: none"> - The Secretariat could be tasked to collaborate with SPC-OFP, to publish on the WCPFC website, Annual Catch and Effort (ACE) tables (Essential Annual Fisheries Information Tables I – IV and Tabular Annual Fisheries Information Tables 1-5 and Figures 1-3 from Annual Report Part 1) that are based on April 30 scientific data submissions. - A suggested process and timeline for the publishing of these tables is provided in Box 2 (pg 17) 15 May provisional ACE tables published, 22 June updated version of ACE tables for SC, 20 Sept latest version of ACE tables for TCC, Nov SPC publishes WCPFC Tuna Fishery Yearbook on WCPFC website [Final estimates of ACE tables in preparation for regular session of the WCPFC]. - CCMs would then be asked in their Annual Report to confirm: <ol style="list-style-type: none"> 1. that they have duly submitted the completed data to the Secretariat/SPC-OFP by April 30? 	<p>Table 4 (pg 18)</p> <p>Paragraph 46-47 (pg 17-18)</p> <p>Box 2 (pg 17)</p>	<p>TCC to consider supporting and recommending for approval by the Commission, subject to available budget</p> <p>Secretariat to provide to FAC and WCPFC16 the full cost and resource implications</p>

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	2. that they have reviewed the scientific data submission summary tables and where applicable have liaised with the SPC-OFP to resolve any issues or differences, particularly for the current reporting year.		
16	Comment on transparency: The above streamlining suggestion is intended to both reduce duplicative submissions of scientific data provided to the Commission by all CCMs and improve access to data that is already made available to the Commission.	Paragraph 39 (pg 13)	TCC to consider supporting and recommending for approval by the Commission
17	Streamlining suggestion: A decision could also possibly be considered for the former version of Annual Report Part 1 to no longer be an obligation, although interested CCMs could choose to voluntarily submit these reports for the information of the Scientific Committee	Paragraph 79 (pg 30)	TCC to consider supporting and recommending for approval by the Commission
	REVIEW OF OTHER REPORTING REQUIREMENTS	Pg 19-27	
18	Principle: In circumstances where it is necessary for CCMs to report certain data and information on an annual basis, including annual reports supporting their implementation of Convention obligations and CMMs, the necessary steps should be taken to ensure there are established templates and standards for such reports and where available online direct-entry and/or electronic reporting IT solutions should be used to assist CCMs and the Secretariat in managing these reports	Paragraph 73(f) (Pg 28)	TCC to consider supporting and recommending for approval by the Commission
	ANNUAL REPORTING RELATED TO IMPLEMENTATION OF CMM ON SPECIAL REQUIREMENTS OF SMALL ISLAND DEVELOPING STATES AND TERRITORIES (CMM 2013-07 19)	Pg 20	
19	Streamlining suggestion: Consider if the CMM 2013-07 paragraph 19 question itself can be omitted as an individual report question, noting that the CMM 2013-07 paragraph 19 report in Annual Report Part 2 is now made up of the six questions that each reflect parts of this report.	Paragraph 54 (pg 20) Table 5 (pg 26)	TCC to consider supporting and recommending for approval by the Commission

#	PRINCIPLES, SUGGESTIONS AND OPTIONS PRESENTED IN TCC15-2019-10	Reference TCC15-2019-10	Possible next steps
	ANNUAL REPORTING RELATED TO IMPLEMENTATION OF CMMs INTENDED TO MINIMIZE IMPACTS OF FISHING ON SPECIES OF SPECIAL INTEREST, INCLUDING NON-TARGET SPECIES	Pg 20 – 24	
20	Streamlining suggestion: in relation to the shark-related CMM reporting (CMM 2010-07 07, CMM 2010-07 12, CMM 2011-04 03 and CMM 2013-08 03), the outcomes to date in the Shark IWG draft CMM proposal should be considered	Paragraph 65 (pg 24) Table 5 (pg 26)	TCC to consider and make appropriate recommendations for approval by the Commission Consider with draft CMM from Shark IWG Chair
21	Streamlining option: In reflecting on the outcomes from the Shark IWG to date and considering FFA members views on duplicative reporting, there appear to be two options for streamlining the each of the five (5) Annual Report Part 1-related additional reporting requirements related to species of special interest (CMM 2018-03 13, CMM 2011-03 05, CMM 2011-04 03 , CMM 2012-04 06 and CMM 2013-08 03): Option 1: Amend Scientific Data to be Provided to the Commission to include these reporting requirements and have the Commission agree that these required reports would be fulfilled through Scientific data submissions. In this case, the annual reporting would instead be completed as part of the annual reporting related to scientific data submissions (pgs 15-18). OR Option 2: All CCMs will continue to be asked to confirm in Annual Report Part 2 (YES/NO/not applicable) that they have duly submitted the report, and where applicable using the required template. In this case, because they are reports related to implementation there is also an outstanding question about whether these reporting requirements should instead be reported in Annual Report Part 2? If so, there is also a further question of whether the report should remain classified as public domain data or be reclassified as non-public domain data.	Paragraph 61 (pg 23) Table 5 (pg 26)	TCC to consider and make appropriate recommendations for approval by the Commission IWG on CMS Audit Points may also consider

#	PRINCIPLES, SUGGESTIONS AND OPTIONS PRESENTED IN TCC15-2019-10	Reference TCC15-2019-10	Possible next steps
22	<p>Streamlining suggestion: There are five (5) Annual Report Part 2-related reporting requirements for species of special interest include information that relates to implementation of FAO Guidelines or International Plans of Action (CMM 2008-03 02), annual advice on the choice of measures implemented (CMM 2018-03 08) or if alternative measures were implemented (CMM 2010-07-12 and CMM 2012-04 03) and updates on a CCMs implementation of CMM 2010-07-07.</p> <p>It is suggested that CCMs should first confirm if there is necessity for CCMs to annually report on each of these obligations in Annual Report Part 2? For example, annual reporting might be considered necessary in the earlier stages of implementation of required bycatch mitigation measures when implementation by all applicable CCMs is not 100% implemented and/or the full efficacy of mitigation measures was yet to be fully ascertained. In such circumstances, then CCMs should also consider developing standards and templates to better clarify the specific additional data and information necessary for CCMs to provide annually.</p> <p>However, if it is not necessary for annually updated information to be submitted by all CCMs, then CCMs might consider reclassifying the reporting requirement to be a report on steps taken to implement an obligation, that the Secretariat should also “hold on file” with other statements of implementation of prior year obligations.</p>	<p>Paragraph 62 - 64 (pg 23)</p> <p>Table 5 (pg 26)</p>	<p>TCC to consider and make appropriate recommendations for approval by the Commission</p>
	<p>ANNUAL REPORTING RELATED TO MCS ACTIVITIES, COMPLIANCE MONITORING SCHEME, AUTHORISATION TO FISH, TRANSHIPMENT ACTIVITIES AND DATA ACCESS RULES AND PROCEDURES</p>	Pg 24	
23	<p>Streamlining suggestion: For the two (2) required reports to be submitted in Annual Report Part 1 the Commission has also established templates and standards for these (CMM 2007-01 Attachment K Annex C 06 and CMM 2009-06 11). So, it is suggested that CCMs might consider the approach recommended in the Shark-IWG draft CMM and to consider reclassifying the reports as annual reports on the implementation of CMM, with submission in Annual Report Part 2. Consider maintaining classification of reports as public domain data.</p>	<p>Paragraph 68 (pg 24)</p> <p>Table 5 (pg 27)</p>	<p>TCC to consider supporting and recommending for approval by the Commission</p>

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24	<p>Streamlining potential: For the following five (5) required reports (CMM 2006-08 40, CMM 2006-08 41, CMM 2009-06 35 a (iii), CMM 2009-06 35 a (iv), Data RaP MCS 44) there is potential for streamlined annual reporting by the Commission building upon the Secretariats established WCPFC IT infrastructure and procedures that are used to support the publishing of routine data summaries on the WCPFC website. Once fully established by the Secretariat, CCMs could be asked in Annual Report Part 2 to check and work with the Secretariat to ensure that the website published reports do provide a current and accurate record of their reporting, particularly for the applicable reporting year.</p>	<p>Paragraph 69 (pg 24)</p> <p>Table 5 (pg 27)</p>	<p>TCC to consider supporting and recommending for approval by the Commission, subject to available budget</p> <p>Secretariat to provide to FAC and WCPFC16 the full cost and resource implications</p>
25	<p>Streamlining suggestion: For the following six (6) required reports (CMM 2008-04 05, CMM 2009-06 35 a (v), CMM 2009-09 05, CMM 2017-05 11, CMM 2017-05 16, Convention Article 25 (8)), it is suggested that CCMs should first confirm if there is necessity for CCMs to annually report on each of the obligations? If so, CCMs should consider developing standards and templates to better clarify the specific additional data and information that are necessary for CCMs to report annually.</p>	<p>Paragraph 70 (pg 25)</p> <p>Table 5 (pg 27)</p>	<p>TCC to consider and make appropriate recommendations for approval by the Commission</p> <p>IWG on CMS Audit Points may also consider</p>

#	PRINCIPLES, SUGGESTIONS AND OPTIONS PRESENTED IN TCC15-2019-10	Reference TCC15-2019-10	Possible next steps
	LIST OF OBLIGATIONS THAT NEED FURTHER CLARIFICATION OF THEIR INTENT, OR OTHERWISE CONSIDER REMOVING FROM THE LIST FOR FUTURE ANNUAL REPORTS	Pg 25	
26	Principle: In circumstances where it is necessary for CCMs to report certain data and information on an annual basis, including annual reports supporting their implementation of Convention obligations and CMMs, the necessary steps should be taken to ensure there are established templates and standards for such reports and where available online direct-entry and/or electronic reporting IT solutions should be used to assist CCMs and the Secretariat in managing these reports	Paragraph 73(f) (Pg 28)	TCC to consider supporting and recommending for approval by the Commission
27	<p>For each of these obligations, it is suggested that CCMs should first confirm if there is necessity for CCMs to annually report on each of these?</p> <ul style="list-style-type: none"> • CMM 2018-03 (resolves 02) • CMM 2009-06 35 a (ii) • CMM 2017-01 04 • CMM 2017-01 29 • CMM 2017-01 46 • CMM 2017-01 Att 2 04 • Convention Article 23 2(b) • Convention Article 23 2 (c) • Convention Article 23 (3) • Convention Article 23 (4) • Convention Article 25 (11) • Convention Article 27 • Convention Article 5 (j) <p>If not, then consider removing them from future annual reporting. If yes, then CCMs should also consider developing standards and templates to better clarify the specific additional data and information necessary for CCMs to provide annually, and how the information is intended to be used.</p>	Paragraph 71 (pg 25)	<p>TCC to consider and make appropriate recommendations for approval by the Commission</p> <p>IWG on CMS Audit Points may also consider</p>

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