



TECHNICAL AND COMPLIANCE COMMITTEE
Sixteenth Regular Session
Electronic Meeting
23 – 29 September 2020

**PRELIMINARY CONSIDERATION OF ANTICIPATED FORECAST OF SECRETARIAT WORK
COMMITMENTS FOR TCC IN 2021/22**

WCPFC-TCC16-2020-20
22 September 2020

Paper by the Secretariat

Purpose

1. The paper presents for the information of TCC participants the outcome of initial internal planning to forecast the future work commitments of the Secretariat's MSC and Compliance programme in 2021/22 in alignment with the Secretariat's Corporate Plan 2020 – 2023 (specifically Corporate Plan *Objective 2.1*, *Objective 3.1* and *Objective 3.2*).

Introduction

2. The Commission at the WCPFC16 in Port Moresby, PNG accepted the Secretariat's Corporate Plan 2020 – 2023 as a living document to guide the work of the Secretariat. The stated Mission for the Secretariat is “*to provide efficient and effective secretariat services to enable the WCPFC to fulfil its key mandate to ensure, through effective management, the long-term conservation and sustainable use of highly migratory fish stocks in the western and central Pacific Ocean.*” The intent of the Corporate Plan for the Secretariat is to describe the mission, goals and objectives of the Secretariat to guide the activities necessary to achieve those objectives over 2021 – 2023.
3. Specifically, in support of the Technical and Compliance Committee and its associated work plan, the Corporate Plan elaborates three objectives that are nested under two goals for Secretariat service delivery. The relevant Goals and associated objectives are as follows:

Goal 2: To manage the provision of technical, scientific and compliance information and advice to the WCPFC

- *Objective 2.1: Effectively administer the WCPFC's MCS and Compliance Programmes and activities*

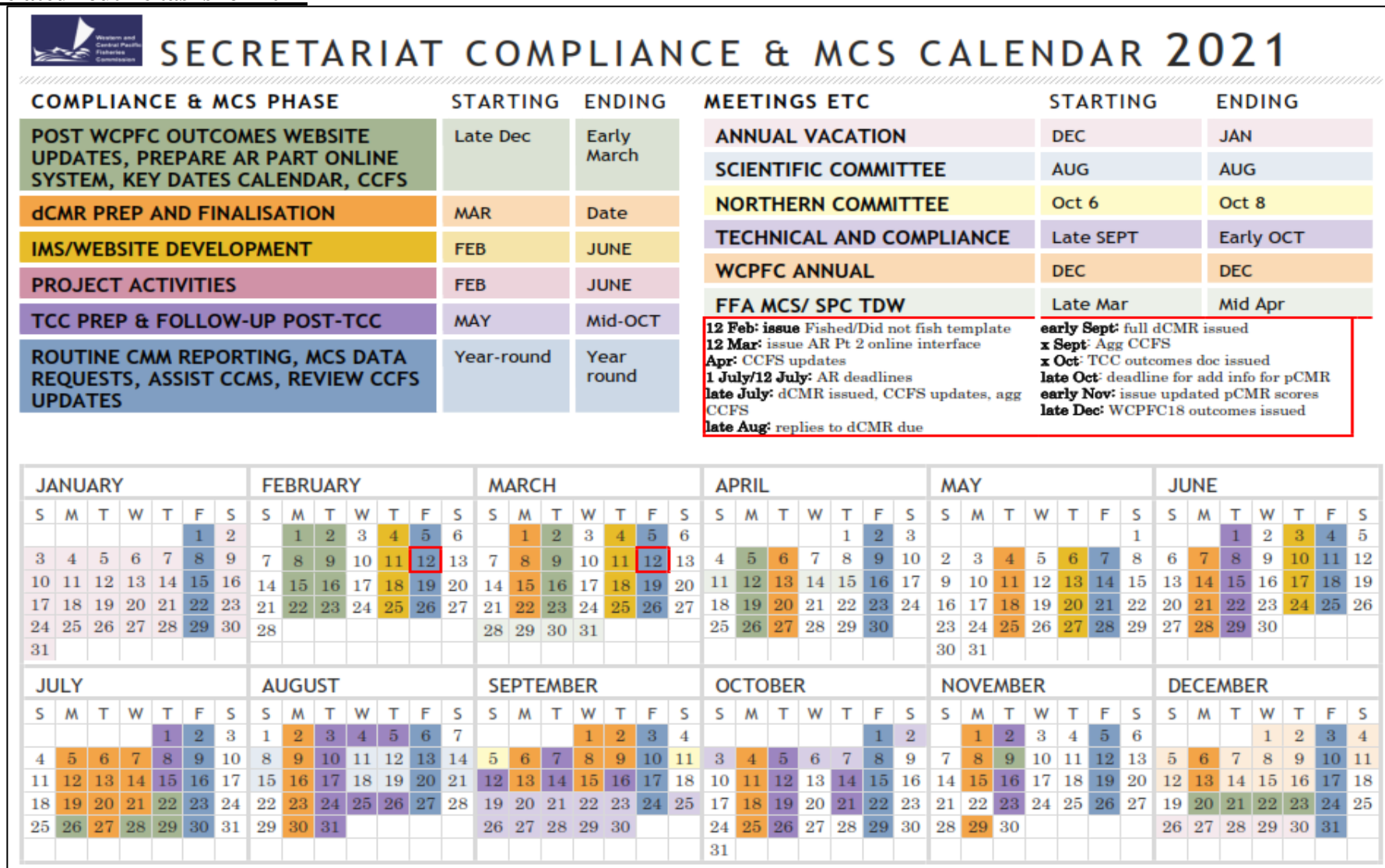
Goal 3: To manage the collection and dissemination of data and information related to the work of the WCPFC

- *Objective 3.1 Collect and disseminate relevant data and information to facilitate the work of the WCPFC and its CCMs in accordance with applicable rules.*
 - *Objective 3.2 Acquire and maintain reliable, cost-effective and secure IT systems and infrastructure to ensure the integrity of and access to WCPFC data and information.*
4. **Annex 1** to this paper provides a list of Secretariat activities from the WCPFC Secretariat Corporate Plan 2020 – 2023 which sets out the Secretariat’s work programme to deliver and support the TCC workplan.

Consideration of routine work tasks to the Secretariat of the WCPFC MCS and Compliance Programmes

5. As part of this year’s TCC preparations the Secretariat has undertaken some initial internal planning that considered the past five years’ experience in managing the Secretariat’s MCS and Compliance programme. Based on this assessment, a preliminary forecast of anticipated routine work for the Secretariat in 2021 is provided in **Figure 1** below. The calendar forecasts the spread of different activities across the months of the 2021 year. The shading within a month is intended to indicate the mix of activities the Secretariat typically needs to prioritize across the year to meet required deadlines set under CMMs and other decisions, e.g. in support of the CMS. Note that the shading of a day may not in all cases reflect a full-time work equivalent (FTE) by relevant staff.
6. Drawing on the past five years’ experience, it is clear to the Secretariat that there have been incremental increases over time in the level of support required for the TCC work programme. However, the staffing structure for the Secretariat in the MCS/Compliance area has not changed since the establishment of the Assistant Compliance Manager position in 2012 (refer to Annex 1 for a copy of the Secretariat organizational structure). The MCS/Compliance work of the Secretariat has successfully been supplemented over a number of years through consultancy, secondment and from in-kind assistance which has allowed it to maintain the level of support required to deliver on priority activities.
7. From Figure 1 it should also be clear that the busiest months of the year for the Secretariat MCS/Compliance staff are June – October, where the deadlines for Annual Reporting, Compliance Monitoring Report (CMR)s and TCC Meeting Preparations occur. Usually, these are also the months where IWG/WG activities are gaining some momentum, so the Secretariat’s strategy to managing the work to produce, on schedule, the draft CMR, has continued to include careful work planning. This includes commencement of the preparation of online annual reporting systems and pre-population of CMR analyses including CMR supporting files in March. We note the support of members in responding to requests by providing reports earlier, allowing the phased work programme set out below.
8. Generally, the period February to June is a time that where the Secretariat MCS/Compliance team, with support from the IT Section and IT Contractors, work to incrementally build and enhance the WCPFC Information Management System (IMS) hosted databases for centralizing records of CMM reporting; and the development of integrated MCS analytical tools at the Secretariat. This is also the period where additional project activities would preferably be scheduled, e.g. in 2020 the Review of the Compliance Case File System was undertaken in March – June 2020.

Figure 1: Preliminary forecast Calendar based on the past 5 years' experience to illustrate the Secretariat Compliance and MCS-related routine tasks for 2021



Consideration of anticipated tasks requiring Secretariat work commitments in 2021/22

9. The following grouping of activities set out in Table 1 below comprise current and proposed activities that the Secretariat would support or deliver. To assist CCMs, details for each activity are provided in the papers referenced by each item.

Table 1: Current and proposed activities listed in TCC16 papers and CMM 2019-06

Activity	Status	Activity undertaken and link to Secretariat Plan & Figure 1		
		2020	2021	2022
CMS IWG/CMS Future Work tasks (CMM 2019-06 paragraphs 46: Section IX refer Annex 2) * 2019-20 Secretariat-led activity: comprehensive review of reporting requirements and streamlining of annual reporting (TCC16-2020-10)	Incremental (Additional/New)	2.1.1	2.1.1	2.1.4
		2.1.3	2.1.3	2.1.2
		3.2.1	3.2.1	3.2.1
WCPFC Online Compliance Case File System enhancements (TCC16-2020-12, paragraph 5)	Incremental	2.1.5 3.2.1	2.1.5 3.2.1	2.1.5
IWG – ER and EM (TCC16-2020-18) (Potential support from the Secretariat to assist with develop system and process options as part of considering the new CMM and implementation)	Additional/New	2.1.7	2.1.7 3.1.3	2.1.7 3.1.3
IWG – Transshipment (TCC16-2020-19) Review transshipment measure (CMM 2009-06) (Scope of work includes analyses of transshipment information that requires Secretariat support)	Additional/New	2.1.2 2.1.6	2.1.2 2.1.6	2.1.2
VMS Small Working Group (TCC16-2020-16) (Issues, some of which require Secretariat support, are set out in Section 5 of the TCC paper)	Incremental	3.1.3	3.1.3	2.1.2
TCC WG on flow of Observer Reports (TCC16-2020-17)	Incremental	3.1.2	3.1.2	2.1.5

10. The areas of activity described in Table 1 (above) do not reflect all the components of the TCC Workplan 2019-2021; they relate to those where there has already been some discussion and/or progress intersessionally in the lead-up to TCC16 that identifies the need for support from the Secretariat, and that needs to be considered in terms of resource planning for 2021/22.
11. There is some interlinkage between some of the above activities. For example, aspects of solutions being considered to the TCC WG on observer reports are, in some cases, already accommodated by the proposed recommendations for further systems refinement in the Review of the Compliance Case File System. Similarly, some aspects of current enhancements to the WCPFC VMS system will assist with CCM access to the reporting performance of their vessels.

12. Two voluntary contributions have been received from the United States that could be used to directly support two activities in Table 1: in 2019 a voluntary contribution was provided to support in the transshipment study (\$US74,000) and in 2020 some funds have been provided in support of advancing Electronic monitoring (\$US47,500) are expected to assist. The Secretariat has provided an estimate of \$50,000 for the recommended WCPFC online Compliance Case file system enhancements.
13. However, there remains across all the above activities, a potentially significant incremental increase in resource commitment for the Secretariat to support over the next one-two years, that requires careful consideration and planning. The Secretariat intends to keep the proposed activities in Table 1 under close consideration as TCC16 meeting progresses. Depending on the outcomes from TCC16, avenues such as additional consultancy, secondment and in-kind assistance might be necessary for the Secretariat to be able to successfully deliver on all tasked priority activities alongside the Compliance/MCS routine work tasks.
14. The Secretariat will continue to assess the future work commitments for the MCS and Compliance programme in order to acquire the appropriate level of resources to support the implementation of the TCC workplan.

Recommendation

<p>12. TCC16 is invited to note the paper and the efforts of the Secretariat to anticipate the resource implications of future work commitments for the Secretariat's MCS and Compliance programme.</p>

Excerpts from the WCPFC Secretariat Corporate Plan 2020 – 2023 of goals, objectives and activities related to the Secretariat delivery in support of TCC workplan

Mission: “To provide efficient and effective secretariat services to enable the WCPFC to fulfil its key mandate to ensure, through effective management, the long-term conservation and sustainable use of highly migratory fish stocks in the western and central Pacific Ocean.”

Goal 2: To manage the provision of technical, scientific and compliance information and advice to the WCPFC

Objective 2.1: Effectively administer the WCPFC’s MCS and Compliance Programmes and activities

	Figure 1 activity code	
2.1.1 Serve as the Secretariat to the TCC and its Working Groups, including providing support to the annual compliance monitoring scheme processes and discussion of MCS and Compliance related matters.		
2.1.2 Administer the technical operation of the Commission’s agreed arrangements for monitoring, control and surveillance which include <i>inter alia</i> the Commission’s Record of Fishing Vessels, Vessel Monitoring System, Regional Observer Programme, IUU Vessel List, High Seas Boarding and Inspection Scheme, Monitoring of high seas transshipment activities and administration of data access rules and procedures.		
2.1.3 Prepare a draft Compliance Monitoring Report concerning each CCM and collective obligations for review by the TCC, that incorporates information submitted by CCMs and records the final compliance assessments adopted by the Commission each year.		
2.1.4 Prepare and maintain online annual reporting and compliance monitoring reporting systems for use by CCMs to fulfil Commission reporting requirements.		
2.1.5 Maintain the WCPFC online compliance case file system as a secure, searchable system to store, manage and make available information to assist relevant CCMs with tracking alleged violations by vessels, and as decided by the Commission.		
2.1.6 Compile, analyse and disseminate MCS related data and information on CCMs compliance and fisheries management programs, and convey that advice to CCMs.		
2.1.7 Research new and emerging technologies and procedures that will enhance the Commission’s MCS efforts and CCMs annual reporting to the Commission.		
2.1.8 Implement other approved TCC-related activities including provision of technical advice.		

Goal 3: To manage the collection and dissemination of data and information related to the work of the WCPFC

Objective 3.1 Collect and disseminate relevant data and information to facilitate the work of the WCPFC and its CCMs in accordance with applicable rules.

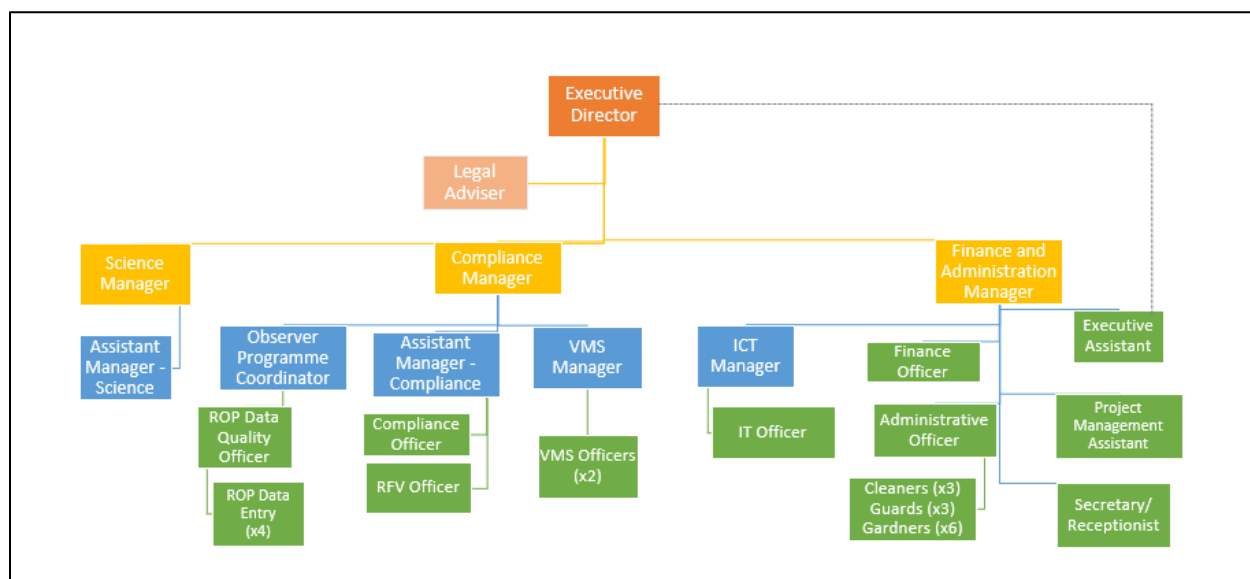
3.1.1 Collect data and maintain databases for resource assessments and other information needs to support the work of the Commission.		
3.1.2 Develop and manage IT tools and solutions to enhance access to data and information.		

3.1.3	Facilitate consideration by the Commission of emerging and more efficient and cost-effective technologies in data collection and analysis that meet the Commission needs.		
3.1.4	Administer the collection of quality data from contractors and CCMs as may be required.		
3.1.5	Administer the collection of compliance, stock assessment and other data from, and dissemination of such data upon request to, national programmes, scientists, compliance managers, other collaborating agencies and industry bodies.		
3.1.6	Administer the Commission's Rules and Procedures for the Protection, Access to, and Dissemination of Data.		

Objective 3.2 Acquire and maintain reliable, cost-effective and secure IT systems and infrastructure to ensure the integrity of and access to WCPFC data and information.

3.2.1	Develop and manage the Commission's information management systems, online compliance reporting tools and electronic reporting systems.		
3.2.2	Research new and emerging technologies and procedures to enhance the Commission's capacity in the dissemination and conveyance of data and information.		
3.2.3	Plan for, design, develop and manage the ICT requirements of the Secretariat.		
3.2.4	Provide ICT support to Commission meetings.		
3.1.5	Implement the Commission's Information Security Policy (ISP) and cyber security program in accordance with internationally recognized standards and best practices		

The Secretariat has a current staffing of 34 staff (9 professional staff and 25 support staff), plus a Legal Adviser engaged on a retainer basis. They function under the organizational structure below:



Excerpt from CMM 2019-06, paragraph 46. Section IX – Future Work – During 2020 and 2020-2021

Section IX – Future Work	
46. The Commission hereby commits to a multi-year workplan of tasks to enhance the CMS, with the aim of making it more efficient and effective by streamlining processes. This workplan should include the development of guidelines and operating procedures to support the implementation of the Compliance Monitoring Scheme, and shall include inter alia:	
During 2020	
(i)	the development of audit points to clarify the Commission obligations assessed under the CMS, as well as the development of a checklist to be used by the proponents of any proposal to include a list of potential audit points for the consideration of the Commission;
(ii)	explore investment in technology solutions to facilitate improvements to the compliance case file system.
During 2020-2021	
(iii)	the development of a risk-based assessment framework to inform compliance assessments and ensure obligations are meeting the objectives of the Commission;
(iv)	the development of corrective actions to encourage and incentivise CCMs' compliance with the Commission's obligations, where non-compliance is identified;
(v)	the development of the guidelines for participation of observers in closed meetings of the Commission and its subsidiary bodies which consider the Compliance Monitoring Report.