Western and Central Pacific Fisheries Commission

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REFERENCE DOCUMENT ON TCC16 RECOMMENDATIONS
FOR AGENDA 10

WCPFC17-2020-25
23 November 2020
Paper by Secretariat

A. Introduction

1.   The purpose of this paper is to provide as a quick reference guide to the recommendations of the Technical and Compliance Committee (TCC16) which are related to the Compliance Monitoring Scheme.   These recommendations will be covered under Agenda Item 10 and the specific recommendations that require the Commission decision are ==highlighted.==   A copy of the full TCC16 Summary Report is provided as **WCPFC17-2020-TCC16**.

B. TCC16 Recommendations for Consideration and Adoption of the Final Compliance Monitoring Report [Agenda Item 10.1]

2.   The relevant recommendations of the TCC16 for WCPFC17 decision with appropriate referencing, are listed below.

   i)   TCC16 agreed on the proposed CMS process which was amended from that outlined in TCC16-2020-WP09_rev1 to follow the practice of past years of considering compliance issues raised from the floor that had not been previously identified by the Secretariat. (*TCC16 Summary Report para 73)*

   ii) TCC16 agreed not to consider the aggregate tables summarizing the information on alleged infringements drawn from the online compliance case file system as per Paragraph 26 (ii) of CMM 2019-06 due to time constraints, the anticipation that the virtual meeting modality was not suitable for this kind of analysis, and the absence of an agreed process for the consideration of these tables. TCC16 agreed to consider this information during TCC17 alongside the draft CMR. (*TCC16 Summary Report para 74)*

   iii) TCC16 submitted the Provisional CMR, containing its provisional compliance assessment, and ==recommends== the report to WCPFC17 for its consideration and final assessment. (*TCC16 Summary Report para 75)*

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C. TCC16 Recommendations for List of obligations to be reviewed by the Compliance Monitoring Scheme in 2021 [Agenda Item 10.2]

3. The relevant recommendations of the TCC16 for WCPFC17 decision with appropriate referencing, are listed below.

iv) Noting the task from the Commission (WCPFC16 Summary Report paragraph 572) and considering paragraph 6 of CMM 2019-06, TCC16 discussed a paper by the United States containing a proposed list of obligations to be assessed in 2021 (TCC16-2020-DP02). Noting the need for further time to consider the list of obligations, CCMs intend to work intersessionally to advance a proposed list for consideration and adoption at WCPFC17. (*TCC16 Summary Report para 145*)

D. TCC16 Recommendations for Review the workplan of tasks to enhance the Compliance Monitoring Scheme [Agenda Item 10.3]

4. The relevant recommendations of the TCC16 for WCPFC17 decision with appropriate referencing are listed below. Copies of relevant attachments from the TCC16 Summary Report are contained in **Annex 1**.

Update on Streamlining of Annual Reporting, including Trial of Annual Catch and Effort (ACE) tables

v) TCC16 noted the positive effect of improvements made to streamline annual reporting requirements set out in TCC16-2020-10 that were implemented in 2020 and supported their continuation. (*TCC16 Summary Report para 99*)

vi) TCC16 noted that TCC16-2020-10 reviewed the experiences and outcomes of the trial of ACE tables and that the cost and resource implications of the trial were modest. (*TCC16 Summary Report para 100*)

vii) TCC16 noted the SC16 recommendations to WCPFC17 (SC16 draft Summary report, paragraphs 294 - 297) and **recommended** the Commission task the Scientific Services Provider with reviewing the feasibility of expanding the ACE tables to include:
   a. additional estimates of effort where it is practicable to be derived based on the April 30 scientific data submissions from CCMs and provide an update to SC17; and

   b. estimates of annual area-based CMM quantitative limits where it is practicable for the estimate to be derived based on the April 30 scientific data submissions from CCMs and to provide an update to TCC17.
   (*TCC16 Summary Report para 101*)

Improving the online Compliance Case File System (CCFS)

viii) TCC16 noted the findings and recommendations of the Review of the WCPFC online Compliance Case File System (TCC16-2020-12) which confirmed a widespread desire among CCMs to have the CCFS enhanced to better meet their needs. (*TCC16 Summary Report para 117*)

ix) TCC16 ==tasked the Secretariat, subject to available budgetary resources==, to prioritize in its work planning for 2021 to implement recommendation 1 and 2 of TCC16-2020-12 as follows:

    a. undertake the ten actions identified in Table 1 of the Review Report (*TCC16 Summary Report Attachment E*) to enhance the CCFS, to automatically notify people within the CCM when a single case is created or updated, make the CCFS easier to use, allow CCMs to browse a single list containing all cases, enhance the aggregated summary tables produced by the CCFS, improve communication with CCMs regarding which internet browsers the CCFS works best on, improve the CCFS quick guide and offer CCFS training to CCMs; and

    b. undertake the one action contained in Table 1 of the Review Report (*TCC16 Summary Report Attachment E*) to implement a proof of concept online graph / table creation tool for CCFS data.
(*TCC16 Summary Report para 118*)

x) TCC16 deferred for consideration at TCC17, recommendation 3 of TCC16-2020-12 as follows:

    a. undertake the three actions contained in Table 1 of the Review Report (*TCC16 Summary Report Attachment E*) to clarify CCM expectations, investigate realistic options, and if possible, produce a proof of concept of a tool which would allow CCMs to bulk upload comments that they had drafted offline.
(*TCC16 Summary Report para 119*)

xi) TCC16 noted the Secretariats' advice that to further improve the usability of the Compliance Case File System and the aggregate summary tables, further guidance from TCC, as outlined in recommendations under Agenda 5.3 (c) (*TCC16 Summary report paragraph 129 (c) and 131*), would be useful on:

    a. the case Status / Outcome ontology used in the CCFS (refer page 31 of TCC16-2020-12);

    b. the level of aggregation at which Article 25-2 alleged infringements are recorded in the CCFS (refer page 32 of TCC16-2020-12); and

    c. the range of questions that they want aggregated summary tables (as contained in the Summary Tables of Flag CCM Responses document produced each year at TCC) to address (refer page 30 of TCC16-2020-12).
(*TCC16 Summary Report para 120*)

xii) TCC16 tasked the Secretariat to provide an update to TCC17 on progress on the implementation of the proposed CCFS enhancements. (*TCC16 Summary Report para 121)*

Continuation of Compliance Monitoring Scheme Intersessional Working Group to progress the CMS Future Work tasks in 2021

xiii) TCC16 noted that at WCPFC16 the Commission had established a CMS IWG, under the leadership of the TCC Vice-Chair, intended to work virtually to progress work intersessionally to undertake the CMS Future Work tasks (set out in paragraph 46 of CMM 2019-06). (*TCC16 Summary Report para 128*)

xiv) TCC16 affirmed the importance of all the future work called for in section IX of CMM 2019-06 and supported the prioritisation of four streams of intersessional work for the CMS IWG in 2020/21 and recognised that some elements may extend until 2022:

a. the development of a risk-based assessment framework to inform compliance assessments and ensure obligations are meeting the objectives of the Commission;

b. the development of audit points to clarify the Commission obligations assessed under the CMS, as well as a checklist to be used by proponents of any proposal to include a list of potential audit points for the consideration of the Commission;

c. the development of a process for TCC to consider the aggregate tables alongside the draft CMR (paragraph 33 and 34 of CMM 2019-06); and

d. the development of guidance on the participation of observers in the CMS process as outlined in CMM 2019-06.
(*TCC16 Summary Report para 129*)

xv) TCC16 **recommended** that Ms. Heather Ward from New Zealand would lead the risk-based assessment framework task and Ms. Rhea Moss-Christian from Marshall Islands would lead the development of audit points in support of the CMS IWG Chair. (*TCC16 Summary Report para 130*)

xvi) TCC16 **recommended** that the TCC Chair lead work intersessionally prior to TCC17, with a view to providing guidance on how TCC17 would consider the aggregate tables alongside the draft CMR. (*TCC16 Summary Report para 131*)

xvii) TCC16 noted the work to progress the development of audit points as a priority. This could assist in clarifying some CMM obligations and how they are to be assessed. (*TCC16 Summary Report para 90*)

xviii) TCC16 noted that the development of a risk-based assessment framework under the CMS IWG work programme (Agenda Item 5.3(c)) was expected to provide a basis for determining the list of obligations to be reviewed by the CMS in the future. (*TCC16 Summary Report para 146*)

Annex 1

Copies of relevant TCC16 Summary Report Attachments

Attachment E   Consolidated list of recommended actions for the WCPFC Secretariat as contained in the CCFS
Review Report

Attachment E - Consolidated list of recommended actions for the WCPFC Secretariat as contained in the CCFS Review Report (*Excerpt from* **TCC16-2020-12** *Review of the WCPFC online compliance case file system, Table 1*).

ID	Relates to recommendation	Action	Refer to page
a	1	Enhance the CCFS so that it automatically notifies CCMs when a case is created or updated. This notification would be in the form of a daily summary email to a single email address nominated by each CCM. This daily summary email would identify all cases, which the CCM was authorised to view, that had been created or modified (by the Secretariat or another CCM) in the past 24 hours.	18
b	1	Initially, enhance the CCFS to make it easier to use by: simplifying the interface (including removing elements that are unnecessary to the user), improving the language used, consistently formatting links and adding screen specific help pages.	20
c	1	Subsequently, six months after these initial enhancements have been implemented, survey CCMs to verify that an appropriate level of ease-of-use has now been achieved.	20
d	1	Enhance the CCFS to make it easier to use by expanding the range of information that is shown in the six single case screens to include: observer trip data, vessel trip ID, infringement ID, trip number and provider trip number.	20
e	1	Enhance the CCFS to include a screen containing a list of all six types of case (that the user is authorised to see) combined. The primary focus of this screen should be to provide users with access to data columns that are common to most/all types of case. Users should be surveyed to determine what additional columns, that are case type specific, should also be displayed; and what Group By options are required.	26
f	1	Produce an alternative format of the aggregated summary tables in which (i) the tables are in "Classic" pivot table format, and (ii) the sub-totals and expand / contract buttons are removed, and (iii) the columns are centred; then survey CCMs on whether this alternative format is better than the current format. If CCMs prefer this alternative, then enhance the CCFS to implement it.	28
g	1	Enhance the CCFS so that the aggregated summary tables address the full range of questions required by the TCC / Commission.	28
h	1	Enhance communication with CCMs regarding (i) which internet browsers work best with the CCFS and (ii) the known limitations of the CCFS Export to Excel function.	35
i	1	Offer CCFS training to CCM users, either in the form of (i) training on the margins of other WCPFC meetings, or (ii) an online course, or (iii) a downloadable training video (or videos).	41
j	1	Improve and update the CCFS user guide to cover all the features present in the enhanced CCFS, and additionally improve how this is named and stored on the WCPFC intranet.	44

ID	Relates to recommendation	Action	Refer to page
k	2	Implement a limited proof of concept online graph / table creation tool, providing CCM users with access to a small range of graphs / tables which interrogate the CCFS data that all CCMs are entitled to view. This tool should be implemented using software that can subsequently be re-used to provide similar functionality for other types of WCPFC data.	39
l	3	Undertake further consultation to clarify CCM expectations on issues such as (i) does bulk upload include documents, and (ii) what mechanism do CCMs expect to use to capture bulk comments offline, and (iii) must uploaded comments be reflected in the CCFS in real-time, and (iv) what feedback should be provided to the submitting CCM to indicate whether each of their bulk comments was successfully uploaded or not.	33
m	3	Investigate realistic options to allow CCMs to bulk upload comments, on single cases, that they have drafted offline.	33
n	3	If possible - produce a proof of concept of a tool which would allow CCMs to bulk upload comments, on single cases, that they have drafted offline.	33