



TECHNICAL AND COMPLIANCE COMMITTEE
Seventeenth Regular Session
Electronic Meeting 22 – 28 September 2021

OVERVIEW OF COMPLIANCE MONITORING SCHEME MATTERS FOR TCC17

WCPFC-TCC17-2021-08A
14 September 2021

Paper prepared by the Secretariat

Purpose

1. The paper provides an overview report of the Secretariat's support for the Compliance Monitoring Scheme (CMS). It also includes some observations from the Secretariat on this year's draft Compliance Monitoring Report (CMR). There are four related papers that cover the specific topics of:

- List of Capacity Assistance Requests and Capacity Development Plan (**TCC17-2021-08B**);
- Summary of Submissions of Annual Reports and update on initiatives to streamline Annual Reporting (**TCC17-2021-10**);
- Update on improving the online Compliance Case File System (CCFS) (**TCC17-2021-12**); and
- Summary Tables of Flag CCM responses to alleged infringements notified in the CCFS 2021 (**TCC17-2021-dCMR02**).

2. TCC17 is invited to consider this paper together with the above related papers on CMS matters and as appropriate, make necessary recommendations to WCPFC18.

Introduction and Summary of key points

3. This paper was also prepared against the backdrop of the second year of the COVID-19 global pandemic, which has necessitated the Commission's decision not to have a physical meeting for the 17th Regular Session of the TCC. As documented in this overview, much of the work of the Secretariat through 2021 was progressed electronically.

4. The overview report is structured as follows:

- Introduction
- Summary of key points
- Background
- 2021 CCM Annual Reports and draft CMR submissions

- Scope of the CMR 2011 - 2020
- CMS outcomes by applicable CCMs from 2013-2019
- Secretariat Observations
- Recommendation
- Annex
 - **Annex 1** - Explanatory note on the theme, subtheme groupings that have been introduced for presenting the CMR outcomes and aggregate summary tables (*see pages 17 - 22*)
 - **Annex 2** - WCPFC17 Summary Report Attachment M List of Obligations to be reviewed in 2021 Compliance Monitoring Reports (covering 2020 activities) (*see pages 23 - 26*)
 - **Annex 3** - Summary of key statistics for the draft CMRs prepared by WCPFC Secretariat 2011 - 2021 (*see pages 27 - 28*)
 - **Annex 4** - Notes on WCPFC Online Reporting Systems used to support the CMS (*see pages 29 - 30*)
 - **Annex 5** - Template for 2021 draft Compliance Monitoring Report (based on CMM 2019-06 and WCPFC11 agreed template (Attachment W of WCPFC11 Summary Report) (*see page 31*))

SUMMARY FROM THE OVERVIEW OF CMS MATTERS FOR TCC17 OF KEY POINTS

- In 2021 SPC-OFP continued delivery of the [ACE tables](#), with enhancements that more fully explored the extent to which annual catch and effort estimates derived from operational level catch and effort data submissions, can be used to support reviews of CMM implementation for the 2021 list of obligations in the CMS.

- The enhanced ACE Tables also assisted the Secretariat in completing initial dCMR work in advance of CCMs Annual Report Part 1 submissions that were due in mid-July.

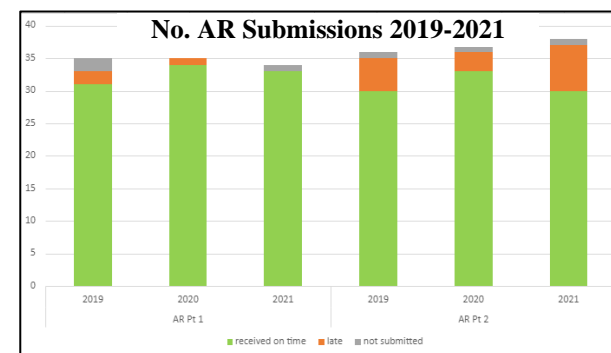
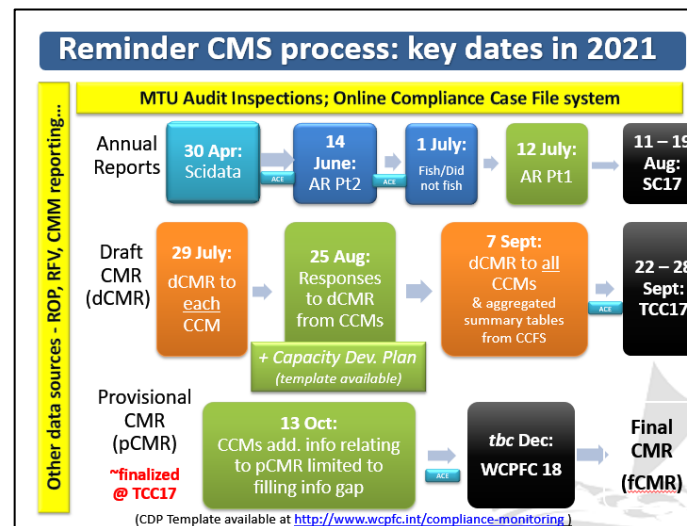
- Annual Report Part 2 online system was made available for CCMs use on **5 March**, which is over three (3) months in advance of the reporting deadline of 14 June agreed by the Commission at WCPFC17.

- In 2021, the Annual Report Part 2 contained 187 questions, which included the “hold-on file” of CCMs responses to prior year implementation questions (98 questions). The preparations of the hold on file list were more involved for the Secretariat than in recent years, but this is expected to become more routine .
 - Length of Annual Report Part 2 in 2021, was slightly higher than 2020 which had 170 questions (including 100 “hold on file”) but equivalent to 2019 (187).
 - In 2021, despite the earlier deadline for Annual Report Part 2 of 14 June, most of the Annual Reports (33 CCMs AR Pt 1 and 30 CCMs AR Pt 2) were received on time. Timeliness of submissions were similar to 2019 and 2020 (see left insert figure from **TCC17-2021-10**).

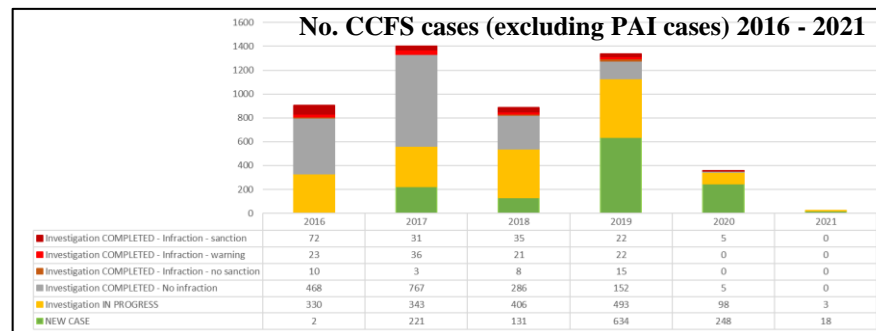
- In 2021, guidance to CCMs for Annual Report Part 2, online CCFS and CMRs was enhanced through the ‘[WCPFC Helpdesk](#)’, created in late 2020.

- An enhanced [Suggested Checklist](#) document was also made available for CCMs on **5 March 2021**
 - The WCPFC [calendar](#) of significant dates, which includes key reporting deadlines, continued to be maintained through the website, and that CCMs may access as a ICAL link and CSV export; and
 - The WCPFC CMS webpages (www.wcpfc.int/compliance-monitoring) were refined to provide more of a one-stop shop for information, including guidance on annual reporting templates and key dates, and reference documents related to the past and present processes to review and enhance the CMS.

- In 2020/21, the CCFS has continued to expand with additional Article 25(2) and updated ROP data covering 2017/2019 periods enhanced by SPC’s ability to reduce the backlog of data entry due to the reduced number of new observer reports being received.



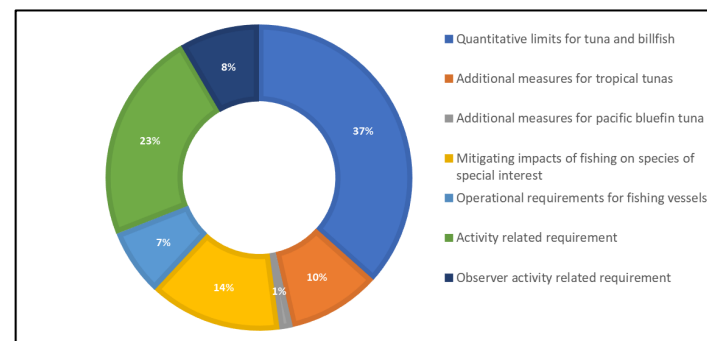
- A new email alert system and some other enhancements were delivered from early April 2021. Other planned enhancements were not able to be delivered because ongoing SharePoint development work is no longer feasible using the on-premises platform (see **TCC17-2021-12 Update on enhancements to the CCFS**). In 2021 the Secretariat has also commenced a workplan of activities to support and implement a redevelopment of the CCFS using the Drupal platform.



- The Secretariat met the 2021 deadline (**29 July**) to issue draft CMRs covering 70 obligations (71 rows per CCM) for thirty-seven (37) CCMs and one collective group of Members for individual CCM review (see *Annex 2 for the list of obligations*).
 - Due to the Secretariat's other competing commitments during August the full draft CMR was delivered two days after the required deadline of 15 days prior to start of TCC17 (**9 Sept**).

In 2021, as part of the Secretariat's preparation and support to CMS-IWG activities, the Secretariat has explored the use of thematic categories to support the analysis and presentation of data at across a wider range of levels to reflect systemic, groupings and individual measure level views. The approach is a work in progress, and the Secretariat welcomes feedback on the approach documented in *Annex 1*.

70 obligations reviewed through the CMS in 2021 (covering 2020 activities) by theme grouping



- An enhanced version of the aggregated summary tables produced from the CCFS was released on **13 August** and this accompanied the TCC Chair's proposed approach for considering the aggregate tables at TCC17. The output took into consideration the stated intention of the tables as described in paragraph 26(ii) of CMM 2019-06 and the output was presented in MS Excel format, rather than a static pdf file.
- The theme groupings were used to review CMR outcomes covering 2013-2019. Over the period on average, there was relatively higher compliance with quantitative limits and fishing vessel operational requirements, and comparably lower compliance with obligations related to mitigating impacts of fishing and activity related or operational requirements. A closer examination within the theme groups, indicates that applicable CCMs have regularly faced challenges in meeting reporting requirements, particularly report deadlines. (see *page 12 - 14*)
- Looking ahead to 2022 and onward, the scope of Secretariat CMS-related tasks will be dependent on the outcome of the CMS-IWG activities. For 2022/23 the Secretariat is forecasting that there will be greater expectations for analytical work to support the CMS at least over the next couple of years. This will need to, at the same time, be balanced with other TCC-related tasks to the Secretariat, as well as some necessary IT system enhancements to externally facing WCPFC ICT application systems that rely on SharePoint (refer to **TCC17-2021-17 Preliminary consideration of the anticipated forecast of Secretariat work commitments for TCC in 2022/23**).

Background

5. The Commission has been implementing the CMS since 2011. Its current purpose is described in paragraphs 1 and 2 of CMM 2019-06 *Conservation and Management Measure for the Compliance Monitoring Scheme*, as follows:

1. *The purpose of the WCPFC Compliance Monitoring Scheme (CMS) is to ensure that Members, Cooperating Non-Members and Participating Territories (CCMs) implement and comply with obligations arising under the Convention and conservation and management measures (CMMs) adopted by the Commission. The purpose of the CMS is also to assess flag CCM action in relation to alleged violations by its vessels, not to assess compliance by individual vessels.*

2. *The CMS is designed to:*

- (i) assess CCMs' compliance with their WCPFC obligations;*
- (ii) identify areas in which technical assistance or capacity building may be needed to assist CCMs to attain compliance;*
- (iii) identify aspects of CMMs which may require refinement or amendment for effective implementation;*
- (iv) respond to non-compliance by CCMs through remedial and/or preventative options that include a range of possible responses that take account of the reason for and degree, the severity, consequences and frequency of non-compliance, as may be necessary and appropriate to promote compliance with CMMs and other Commission obligations¹; and*
- (v) monitor and resolve outstanding instances of non-compliance by CCMs with their WCPFC obligations.*

Footnote 1: In accordance with the process for identifying corrective action, as provided for in paragraph 46(iv).

6. The CMS was reviewed by Members during 2017 and 2018.¹ In April 2017, an Independent Panel was appointed and the final report from the Panel was issued on 7 March 2018 for consideration by Members ([Circular 2018-15](#)). At WCPFC14 (2017), the Commission established an Intersessional Working Group on the Review of the CMS (CMS IWG) to facilitate consideration of the Report from the Independent Review of the CMS and develop a proposed CMM for the CMS for consideration at WCPFC15 (2018). At WCPFC15 the Commission agreed to CMM 2018-07 and within Section IX of the CMM, Members committed to a series of future work tasks to enhance the CMS.

7. At WCPFC16 the Commission agreed to CMM 2019-06, which replaced CMM 2018-07 and is effective until December 2021. The key changes include the removal of “Flag State Investigation” Compliance Status from the Table in Annex I of CMM 2019-06, and in the development of the Provisional Report, TCC shall not assess compliance by individual vessels (paragraph 32 (ii) of CMM 2019-06). The revised CMM directs how the aggregate report (drawing

¹ A background notes about the Review and the Enhancement of the CMS to date can be found at this link: <https://www.wcpfc.int/review-and-enhancement-cms-scheme>

from the CCFS) should be structured and its intended purpose (see paragraph 26(ii) and Annex II of CMM 2019-06).

8. Paragraphs 33 and 34 of CMM 2019-06 provide direction to TCC on how the aggregate report described in paragraph 26 (ii) is to be considered by TCC alongside the draft CMR. The revised CMM also directs that a new section to provide aggregate data based on the CCFS will be included in the Provisional CMR (see paragraph 38 and Annex III of CMM 2019-06). At WCPFC17, the Commission noted the delay in advancing the work agreed at WCPFC16 concerning the aggregated tables and tasked the TCC Chair to lead intersessional work prior to TCC17, with a view to providing guidance on how TCC17 would consider the aggregated tables alongside the draft CMR. This work was expected to benefit from the TCC16 recommended analytical work that the Secretariat will be undertaking related to the CCFS and approaches to present the data (WCPFC17 Summary Report, paragraph 379).

2021 CCM Annual Reports and draft CMR submissions

9. Key dates for CCM annual reporting, draft CMRs and the associated WCPFC online systems in 2021 were as follows:

- i. **7 February:** Fish/did not fish template (CMM 2018-06 09) sent out to CCMs, which is more than seven (7) months in advance of the reporting deadline of 1 July.
- ii. **15 February:** *Annual Report Part 1 updated template* was published to WCPFC website.
- iii. **5 March:** Annual Report Part 2 online system was made available for CCMs use, which is over three (3) months in advance of the reporting deadline of 14 June agreed by the Commission at WCPFC17. (Notification to CCMs was via *WCPFC Circular 2021/15*). CCMs were also reminded that:
 - a. the '[WCPFC Helpdesk](#)', created late 2020, contained brief reference information to guide CCMs in their completion of Annual Report Part 2 and in their responses and management of cases in the CCFS.
 - b. the WCPFC Annual Catch and Effort ([ACE](#)) tables publishing would be continued.
 - c. the list of significant dates, which includes key reporting deadlines, is maintained through the [calendar](#) on the website, and that this is available to CCMs as a ICAL link and CSV export; and
 - d. the [Suggested Checklist of 2021 Reporting Requirements in CMMs or other WCPFC Decisions](#) was also published to WCPFC website.

The [Suggested Checklist](#) document was enhanced in 2021 to provide more of an overview of the annual reporting and links to the different CMR-related reporting processes, templates (where established) and timeframes. The aim is to assist members to understand the scope of reporting, and how and when they need to report data and information to the Secretariat. Tables give more detail on each reporting obligation, and where the specific data/information for each obligation is to be provided.

Finally, CCMs were advised that additional 2017, 2018 and 2019 alleged infringements and interactions with species of special interest reported by ROP observers had been included in the CCFS.

- iv. **7 April:** CCMs were advised via *Circular 2021/18* that additional 2017, 2018, 2019 and *new* 2020 alleged infringements and interactions with species of special interest reported by ROP observers had been included in the CCFS. CCMs were also advised that the CCFS email alert system was operational which coincided with the publishing of the 2020 alleged infringements. Accompanying the above, and with a view to make the CCFS easier to use, the language for Infringement status has been clarified and is now consistent across all CCFS lists, and the range of information that is shown in the six single case screen was expanded to include: observer trip data, vessel trip ID, infringement ID, trip number and provider trip number. The '[WCPFC Helpdesk](#)' provides guidance to CCMs in responses and management of cases in CCFS.
- v. **14 June:** Deadline for Annual Report Part 2 (the earlier deadline was agreed by the Commission at WCPFC17).
- vi. **1 July:** Deadline for Fish/did not fish template submissions from CCMs (CMM 2018-06 09).
- vii. **12 July:** Deadline for Annual Report Part 1 submissions from CCMs.
- viii. **29 July:** The Secretariat issued draft CMRs for thirty-seven (37) CCMs and one collective group of Members for individual CCM review (Notification to CCMs was via *WCPFC Circular 2021/64*). The online system for CMR was updated by the Secretariat considering the WCPFC17 agreed list of obligations and the requirements of CMM 2019-06. **Annex 2** provides the list of the CMM paragraphs and Convention provisions which were agreed by WCPFC17 to be included in the full draft CMR in 2021.
 - a. The '[WCPFC Helpdesk](#)', was updated to support CCMs viewing and replies to the draft CMR Potential Issues list.
 - b. CCMs were also advised that additional 2017 - 2020 alleged infringements based on ROP observer data that had been included in the CCFS.
- ix. **13 August:** In response to the requirement of CMM 2019-06 paragraph 26 (ii), the Secretariat issued *the aggregate report providing a summary of flag CCM responses to alleged infringements notified in WCPFC CCFS*. This was an enhanced version of the aggregated summary tables produced by the CCFS to the secure pages of the WCPFC website (TCC17-2021-dCMR02). The output took into consideration the stated intention of the tables as described in paragraph 26(ii) of CMM 2019-06 and it was presented in MS Excel format, rather than a static pdf file. The file contains sheets that provide the various summary counts, filterable pivot tables and some sheets also include dynamic graphs. Groupings were used to support the presentation of the aggregated summary tables drawn from the online CCFS and to simplify how CCMs identify the obligations in the tables (*for further explanation see page 9 of this paper and Annex 1*) Accompanying the release of the aggregated summary tables on 13 August 2021, was the TCC Chair's proposed

approach for considering the aggregate tables at TCC17 (Notification to CCMs was via *WCPFC Circular 2021/68*).

- x. **24 August:** The cut-off date for CCM replies to their draft CMR which allows for the CCM responses to be considered in the full draft CMR prepared by the Secretariat for consideration by TCC (refer to *CMM 2019-06 para 28*).
- xi. **6 September:** The cut-off date for CCM additional responses in the online CCFS to be considered in the updated version of the aggregate tables prepared by the Secretariat for consideration by TCC (refer to *CMM 2019-06 para 28*).
- xii. **9 September:** The full draft CMR was made available for all CCMs review, in advance of TCC17 (Notification to CCMs was via *WCPFC Circular 2021/76*). The Secretariat will separately post any additional CCM replies received on the draft CMR prior to the start of TCC17 (refer to *CMM 2019-06 para 31*).

10. In accordance with CMM 2019-06 paragraph 28, the Secretariat does intend in 2021 to issue a revision 1 of the aggregate report drawing from the CCFS as **TCC17-2021-dCMR02_rev1** prior to the commencement of TCC17. Unlike in 2020, where a static pdf file was produced through a manual process, this year the Secretariat expects the update process for the MS Excel file to be more routine. Further guidance from CCMs would assist the Secretariat to identify ways to make the process more efficient and effective (refer to **TCC17-2021-12** *Update on improving the CCFS* pages 5-6).

11. It should be noted that paper **TCC17-2021-12** *Update on enhancements to the CCFS* advises that Secretariat's assessment is that ongoing SharePoint development work is no longer feasible using the on-premises platform. In the first instance the Secretariat has commenced a workplan of activities to support and implement a redevelopment of the WCPFC CCFS using the Drupal platform, aligning it with the main WCPFC website platform. The forthcoming TCC17 paper that will provide a *preliminary consideration of the anticipated forecast of Secretariat work commitments for TCC in 2022/23* (**TCC17-2021-17**), will consider the proposed CCFS enhancement workplan and discuss proposed next steps for other externally facing WCPFC ICT application systems that rely on SharePoint alongside other TCC-related tasks to the Secretariat.

Scope of the CMR 2011 - 2020

12. One of the key inputs to the CMS since its implementation has been the draft CMR which the Secretariat is tasked to prepare and issue around late July/early August each year. In the early years of CMS implementation (2011 -2013), the scope of the draft CMR was a compilation of information received through Part 1 and 2 Annual Reports, other reporting obligations, the transshipment program, the regional observer program, the Vessel Monitoring System, and any other data collection programs of the Commission.

13. From 2014 - 2018, the scope of the draft CMR was expanded to reflect what was contained in paragraph 22 of CMM 2017-07:

“22. Prior to the annual meeting of the TCC, the Executive Director shall prepare a Draft Compliance Monitoring Report (the Draft Report) that consists of

individual draft Compliance Monitoring Reports (dCMRs) concerning each CCM and a section concerning collective obligations arising from the Convention or CMMs related to fishing activities managed under the Convention. Each dCMR shall reflect information relating to the relevant CCM's implementation of obligations as reflected in paragraph 3 or modified by paragraph 15, as well as any potential compliance issues, where appropriate. Such information shall be sourced from reports submitted by CCMs as required in CMMs and other Commission obligations, such as Parts 1 and 2 of the Annual Reports as well as information available to the Commission through other data collection programs, including but not limited to, high seas transshipment reports, regional observer program data and information, Vessel Monitoring System information, High Seas Boarding and Inspection Scheme reports, and charter notifications; and where appropriate, any additional suitably documented information regarding compliance during the previous calendar year. The Draft Report shall present all available information relating to each CCM's implementation of obligations for compliance review by TCC.”

14. From 2019, the scope of the draft CMR became as follows...

“22. Prior to the annual meeting of the TCC, the Executive Director shall prepare a Draft Compliance Monitoring Report (the Draft Report) that consists of individual draft Compliance Monitoring Reports (dCMRs) concerning each CCM and a section concerning collective obligations arising from the Convention or CMMs related to fishing activities managed under the Convention.

23. Each dCMR shall reflect information relating to the relevant CCM's implementation of obligations as identified under paragraph 6 as well as any potential compliance issues, where appropriate. Such information shall be sourced from reports submitted by CCMs as required in CMMs and other Commission obligations, such as:

i information available to the Commission through data collection programmes, including but not limited to, high seas transshipment reports, Regional Observer Programme data and information, Vessel Monitoring System information, High Seas Boarding and Inspection Scheme reports, and charter notifications;

ii information contained in an Annual Report which is not available through other means; and

iii where appropriate, any additional suitably documented information regarding compliance during the previous calendar year.

24. The Draft Report shall present all available information relating to each CCM's implementation of obligations for compliance review by TCC.”

15. In response to the scope of the draft CMR, the breadth and depth of analysis undertaken by the Secretariat in preparation of draft CMRs has been expected to incrementally expand over the years of implementing the CMS. Since 2020, the Secretariat's support to the CMS was expanded through adoption of CMM 2019-06 in December 2019, to also include greater analysis and presentation of the aggregate CCFS outputs.

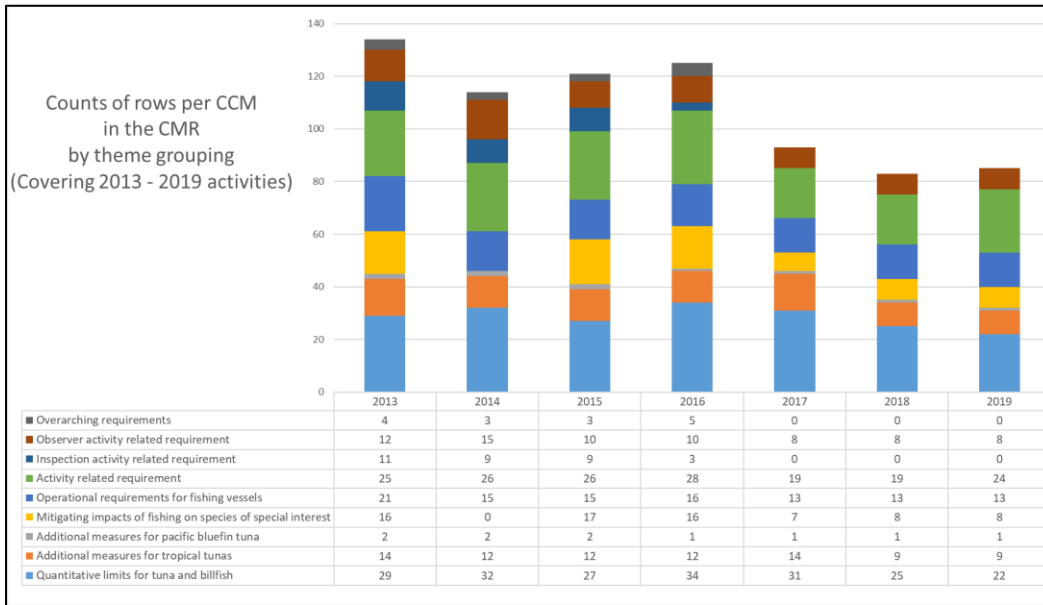
16. As has been the case since 2013, the CMS continues to be supported by the WCPFC online reporting systems. The '[WCPFC Helpdesk](#)', created late 2020, contained brief reference information to guide CCMs in their completion of Annual Report Part 2, responding to CMR potential issues, and for in their responses and management of cases in the CCFS. **Annex 4** provides notes on WCPFC Online Reporting Systems used to support the CMS and **Annex 5** to this paper provides the template for 2020 draft Compliance Monitoring Report (*see pages 29 - 31*).

17. In 2021, as part of the Secretariat's support to the CMS-IWG activities, the Secretariat's task in support of the CMS has further expanded to include analytic outputs of the final CMR outcomes. In approaching the analysis task for the aggregate tables and final CMR outcomes, the Secretariat has explored the use of thematic categories to support the analysis and presentation of data at across a wider range of levels to reflect systemic, groupings and individual measure level views. The aim of grouping obligations by thematic category was to simplify how CCMs identify the obligations and assist with interpreting the final CMR outcomes. The thematic groupings have been applied in the aggregated summary tables drawn from the CCFS (**TCC17-2021-dCMR02_rev1**). The Secretariat has also recently extended the use of thematic categories to the full list of obligations that are reported on in Annual Report Part 2 and that are related to the Compliance Monitoring Report. **Annex 1** provides an explanatory note on the theme, subtheme groupings that have been introduced for presenting the CMR outcomes and aggregate summary tables. The list of obligations within each thematic group are also provided. The design of the thematic categories is a work in progress, and the Secretariat would welcome feedback on the approach.

18. In addition, the paper prepared by the Secretariat for the April 2021 Tropical Tuna Workshop (**TTMW1-2021-03_rev1**) presented a summary of the detailed final Compliance Monitoring Report outcomes under seven thematic categories. And the [Suggested Checklist of 2021 Reporting Requirements in CMMs or other WCPFC Decisions](#) published in March, does contain an early version of the thematic groups.

19. **Figure 1** (below) summarises the counts of rows included the CMR from 2014 - 2020, with an indication of the proportions amongst the theme groupings. In the early years of CMS implementation (2011 -2013), the scope of the draft CMR was a compilation prepared in a word document of information received through Part 1 and Part 2 Annual Reports, other reporting obligations, the transshipment program, the regional observer program, the Vessel Monitoring System, and any other data collection programs of the Commission. From 2014 (covering RY2013) the WCPFC commenced using the online reporting systems for annual reporting and the CMR. In more recent years draft CMR prepared by the Secretariat has less rows, but it involves a deeper and broader scope of analysis by the Secretariat that draws off a wide range of available WCPFC data and information sources. The CMS is supported by a whole annual reporting procedure that is facilitated through an online reporting system.

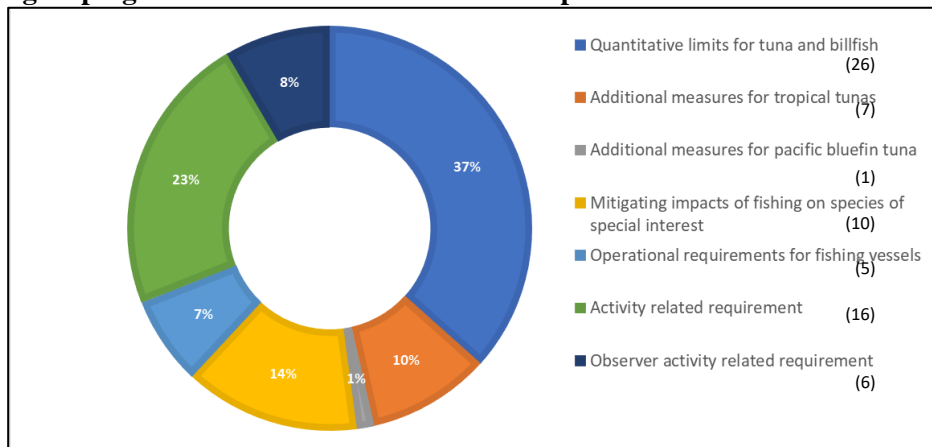
Figure 1.



20. The Secretariat’s response to the draft CMR task has included careful work planning and efforts to build and enhance WCPFC IMS hosted databases for centralizing records of CMM reporting and development of integrated MCS analytical tools at the Secretariat.

21. In 2021, the draft CMR prepared by the Secretariat for consideration by TCC consists of 70 obligations (71 rows per CCM). **Figure 2** (below) provides the proportion of rows within the various theme groupings, and the clear dominance of obligations that are related to quantitative limits for tuna and billfish. **Annex 2** provides the list of the CMM paragraphs and Convention provisions which were agreed by WCPFC17 to be included in the full draft CMR in 2021. **Annex 3** provides as a reference and for an annual comparison, the key statistics related to each year’s draft CMR report.

Figure 2. Obligations to be reviewed through the CMS in 2021 (covering 2020 activities), proportions are by theme grouping and counts of dCMR rows are in parentheses



CMS outcomes by applicable CCMs from 2013-2019

22. Since 2018, the Secretariat has included graphical presentations of the CMR outcomes. **Figure 3** (next page) and **Figure 4** (*page 14*) summarize the result of evaluations of the obligations under the CMS since 2014 (covering reporting year 2013 (RY2013) to RY 2019)). The graphs represent an average level of compliance by applicable CCMs which were scored as having fully implemented an obligation in the final CMR for each of the relevant obligations included in the category. “Fully Implemented” means the score for a CCM for the obligation that was not Flag State Investigation, Capacity Assistance Needed, Non-Compliant nor Priority Non-compliant.

23. **Figure 3** provides an overview summary of the CMR outcomes over time with obligations grouped by themes. **Figure 3a** shows stable compliance trends over time by applicable CCMs within the various theme groupings of obligations. Over the period there was relatively higher average levels of compliance with the group of obligations related to quantitative limits and fishing vessel operational requirements, and there were comparably lower average levels of compliance with obligations related to mitigating impacts of fishing on species of special interest, and that are activity related or operational requirements. **Figure 3b** provides a breakdown within each theme grouping of the CMR sections. Within the theme groupings, there was trend of improvements in compliance over the period, with relatively higher average levels of compliance within the CMR section of Quantitative Limits and Implementation. Applicable CCMs are facing ongoing challenges in meeting other reporting obligations including deadlines.

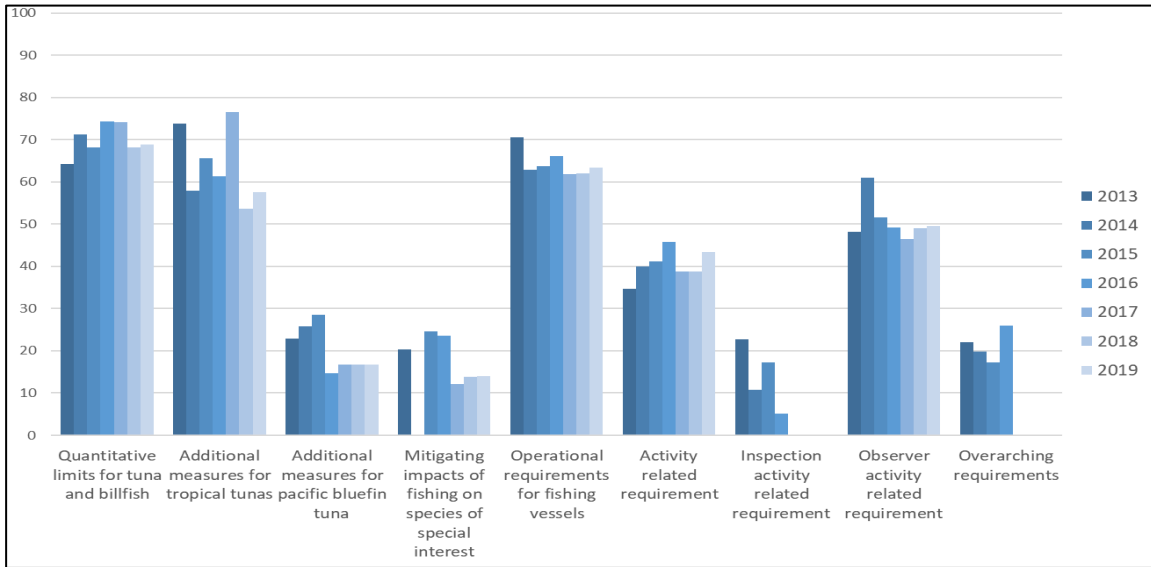
24. **Figure 4** (*page 14*) presents the CMR outcomes from 2013 - 2019 in greater detail, within the theme groups of tuna and billfish measures, measures mitigating impacts of fishing and operational requirements for fishing vessels and activity-related requirements. **Figure 4a.** indicates that the quantitative limits in measures for bigeye, yellowfin and skipjack, Pacific bluefin tuna and albacore tuna have been reviewed annually through the CMS, and there has been higher average levels of compliance for the applicable CCMs. The quantitative limits for billfishes, striped marlin and swordfish, have been reviewed less frequently, and the applicable CCMs have similarly higher average levels of compliance. Applicable CCMs are facing ongoing challenges in meeting reporting requirements related to quantitative limits and particularly report deadlines.

25. **Figure 4b** indicates that measures mitigating impacts of fishing have been reviewed less frequently, but where they have there has higher average levels of compliance with the measures. Applicable CCMs are facing ongoing challenges in meeting reporting requirements related to mitigating impacts of fishing, and particularly report deadlines. **Figure 4c.** shows stable compliance trends over time by applicable CCMs within the various theme groupings of operational requirements for fishing vessels. There is more of a mix of average levels of compliance for activity-related requirements, and applicable CCMs are again facing ongoing challenges in meeting reporting requirements.

26. In each of this year’s regular Annual Report on MCS programmes (**WCPFC-TCC17-2021-RP01 – RP06**), the Secretariat has again included topic specific charts to demonstrate trends in the outcomes from the CMS.

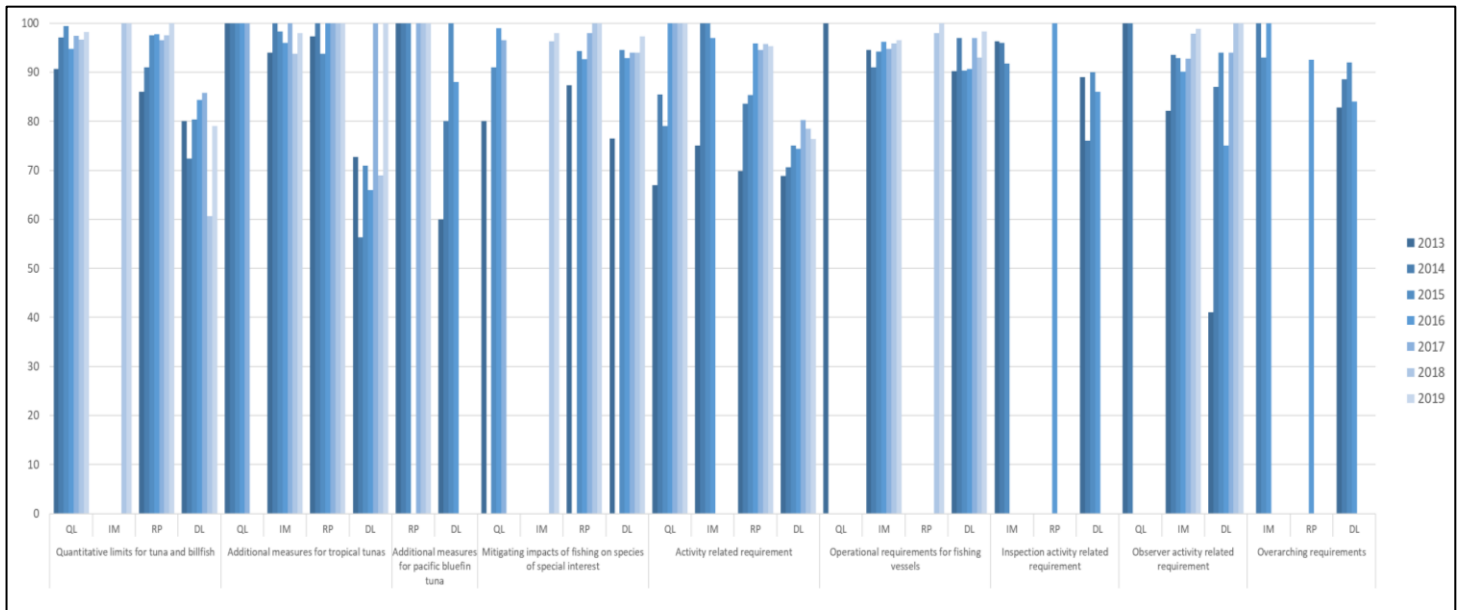
Figure 3. Overview Summary of WCPFC Compliance Monitoring Report (CMR) outcomes (covering 2013-2019 activities)

a. obligations grouped by theme



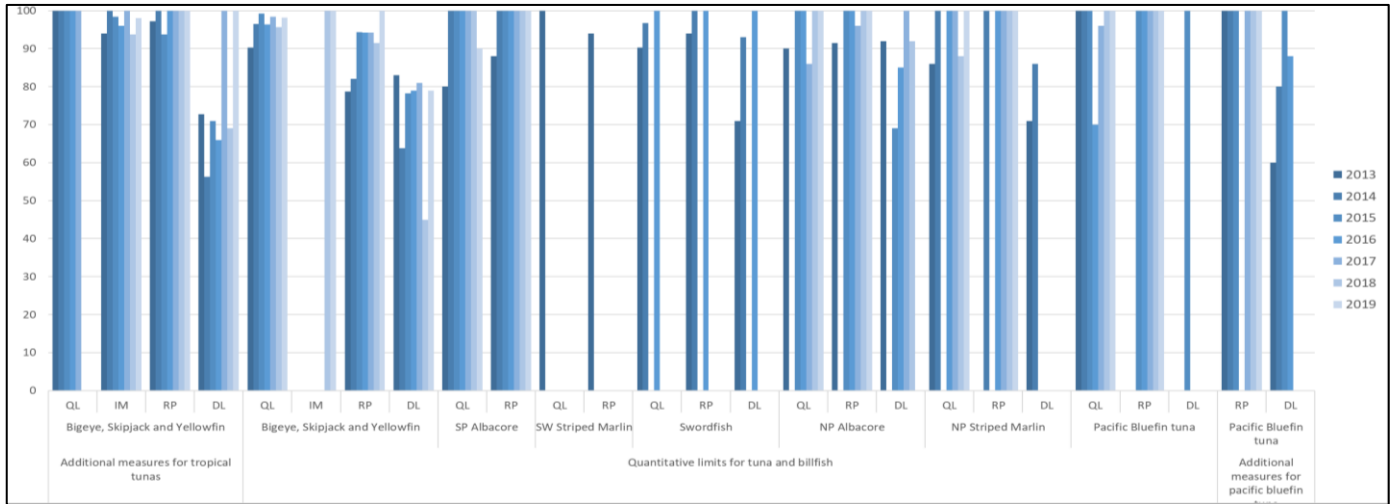
b. obligations grouped by theme with breakdown by CMR section

[QL = Quantitative Catch and effort limit IM = Implementation RP = Report DL = Report Deadline]

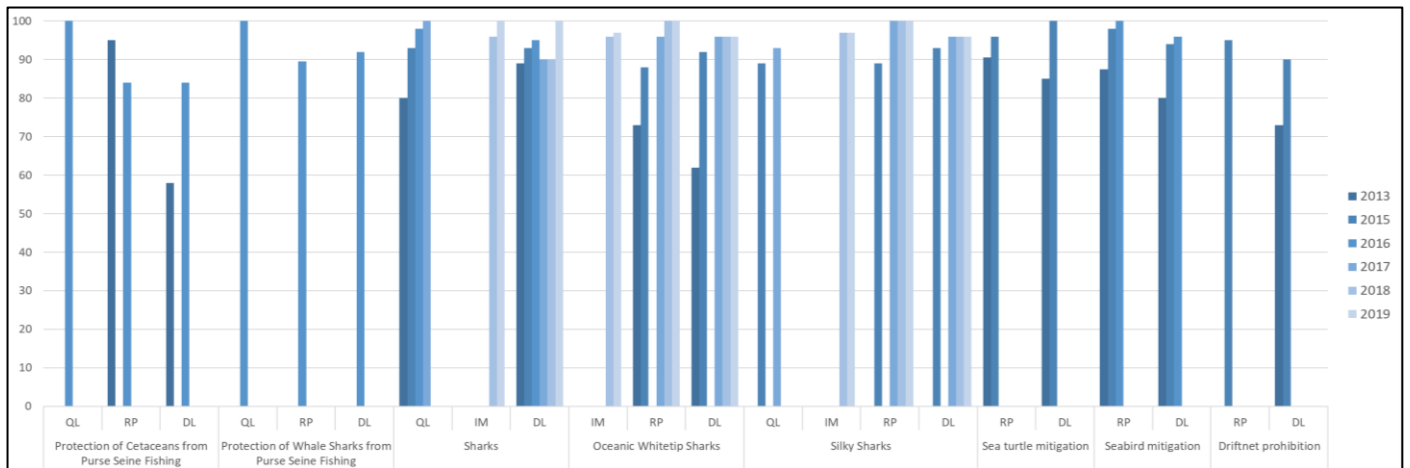


****The % value shown is an average of the proportion of applicable CCMs which were assessed to have “fully implemented” the group of obligations within that category across the final CMR scores e.g. 100% = in that reporting year, all CCMs to whom the relevant group of obligations within that category were applicable, were assessed through the CMS to have fully implemented the obligations. The proportion of these scores amongst the applicable CCMs may differ amongst the various obligations within that category e.g. some obligations could have 100% compliant scores for applicable CCMs and others could include 30%.**

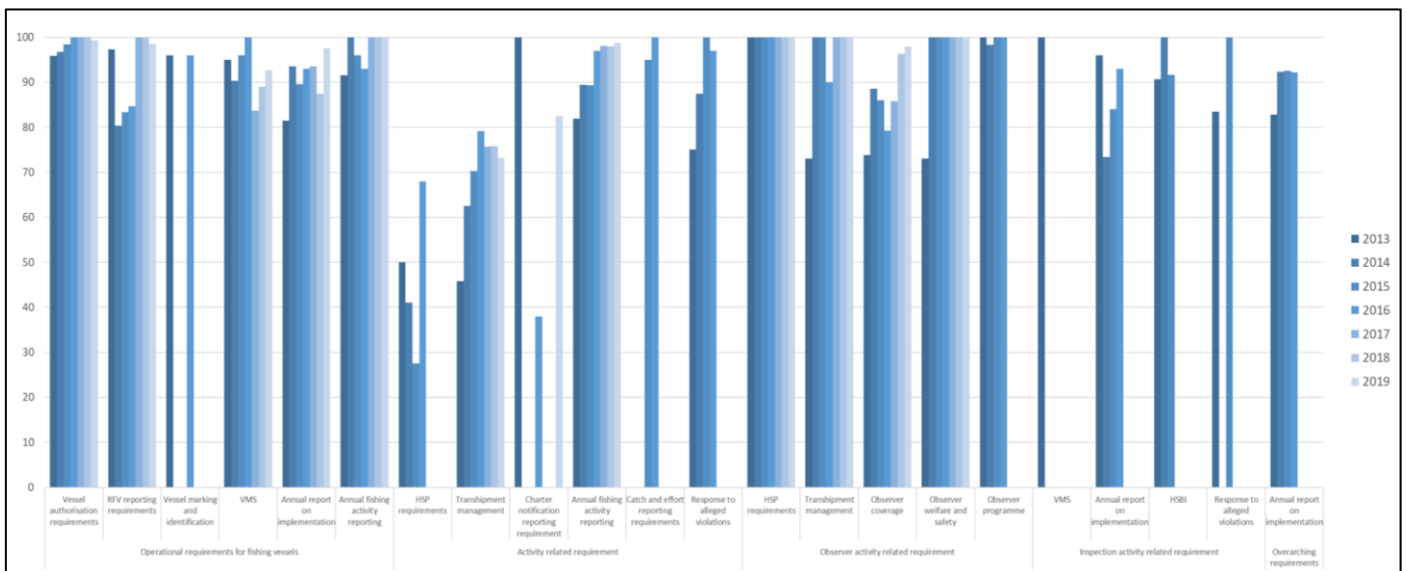
Figure 4. Summary of CMR outcomes (covering 2013-2019)
a. related to measures for tuna and billfish fisheries



b. related to measures mitigating impacts of fishing, including on species of special interest



c. related to operational requirements for fishing vessels and activity-related requirements



Secretariat Observations

27. The Secretariat makes the following observations on the CMS:

- a. The Commission continuing its practice of approving a list of obligations to be assessed under CMR (WCPFC17 Summary Report Attachment M) continues to assist the Secretariat tremendously allowing it to maintain: (i) early issuance of the online Annual Report Part 2 system for CCMs (3 months in advance of the deadline); (ii) provide notes to remind CCMs of the obligations that will be reviewed in the draft CMR in a particular year in AR Pt 2 template; (iii) its own internal preparations of the online systems for Compliance Monitoring Report development; and (iv) forward planning of the investigation of analytical approaches and scheduling the development of IT tools needed to support draft CMR preparations.
- b. The content and depth of analysis undertaken by the Secretariat in preparation of draft CMRs has been maintained and was supported by previous years and ongoing investments by the Commission in the development and enhancement of the WCPFC IMS hosted databases for CMM reporting at the Secretariat and the development of the WCPFC online reporting systems.
- c. In response to the tasks in CMM 2019-06, and its earlier iterations, the Secretariat MCS/compliance staff carefully structure and manage their work program and timelines during the period of February through the end of September, to meet the specified draft CMR deadlines and TCC annual meeting commitments and deadlines.
- d. The preparation and posting to CCM portals of WCPFC VMS reporting and high seas transshipment supporting files, supplemented by the launch in April 2020 of the "CCM Vessels" VMS Reporting Status report as part of VMS Reporting Status Tool and the high sea transshipment reporting Tool, each support improved communications between the Secretariat and relevant flag CCMs regarding the VMS reporting status for their vessels and high seas transshipment reporting gaps.
- e. In 2020/21, the Compliance Case File system has continued to expand with additional Article 25(2) and updated ROP data covering 2017/2019 periods enhanced by SPC's ability to reduce the backlog of data entry due to the reduced number of new observer reports being received.
- f. The processing of cases in the Case File System requires the Secretariat to review the completeness of the information provided against the requirements of CMM 2019-06 10 and seeks CCM assistance in considering this requirement when making updates and, where relevant, providing timely and complete reports in support of new Article 25 (2) cases, to streamline the review process and case completion and improve the information available for Aggregate Tables, as relevant.
- g. The new enhanced version of the aggregated summary tables produced by the CCFS was presented in MS Excel format, rather than a static pdf file. Unlike in 2020, where a static pdf file was produced through a manual process, this year the Secretariat expects the update process for the MS Excel file to be more routine. Further guidance from CCMs would assist the Secretariat to identify ways to make the process more efficient and effective (refer to **TCC17-2021-12 Update on improving the CCFS pages 5-6**)

- h. The delivery by the Secretariat of the streamlined Annual Report Part 2 incorporating the (prior year obligation list), does require additional preparations by the Secretariat each year as part of Annual Report Part 2 online template preparations, but seems to have continued to assist CCMs with early completion of Annual Report Part 2. The Secretariat has identified potential to further streamline and improve the effectiveness of CMS processes, particularly those related to CCM Statements of Implementation. (refer to **TCC17-2021-10 Summary of Submissions of Annual Reports and Update on initiatives to streamline annual reporting**).
- i. Despite the assistance of the earlier 14 June deadline for Annual Report Part 2, this year's Compliance Monitoring Report required many additional hours work by the Secretariat. The additional efforts that many CCMs have made to continue earlier annual report submissions has been appreciated by the Secretariat and in 2021 assisted the Secretariat with meeting the draft CMR issuance deadline in CMM 2019-06 (refer to **TCC17-2021-10 Summary of Submissions of Annual Reports and Update on initiatives to streamline annual reporting**).
- j. Although completeness and timeliness of CCMs annual reporting has improved there was an increased number of CMR potential issued identified compared to last year. In most cases, this is because of the changes adopted by the Commission to the list of obligations for review through the CMS, for example this year's list replaced reporting deadlines with additional limit and implementation obligations, many that had not been reviewed through the CMS previously.
- k. In 2021, as part of the Secretariat's support to the CMS-IWG activities, the Secretariat's task in support of the CMS has further expanded to include analytic outputs of the final CMR outcomes. In approaching the analysis task for the aggregate tables and final CMR outcomes, the Secretariat has explored the use of thematic categories to support the analysis and presentation. The design of the thematic categories is a work in progress, and the Secretariat would welcome feedback on the approach in **Annex 1**.
- l. Looking towards to 2022 and onward, the CMS-related tasks for the Secretariat will be dependent on the outcome of the CMS Future Work and the related-TCC workplan priority tasks, noting that CMM 2019-06 paragraph 48 says that the CMM on CMS may be enhanced as determined by progress with Section IX future work.
- m. For 2022/23 the Secretariat is forecasting that there will be greater expectations for analytical work to support the CMS at least over the next couple of years and that this will need to at the same time be balanced with other TCC-related tasks to the Secretariat, as well as some necessary IT system enhancements externally facing WCPFC ICT application systems that rely on SharePoint (refer to **TCC17-2021-17 Preliminary consideration of the anticipated forecast of Secretariat work commitments for TCC in 2022/23**).
- n. All general Annual Report Part 2 and draft CMR inquiries and requests for assistance should be copied to the email address: contact.ar@wcpfc.int.

Recommendation

28. TCC17 is invited to note the paper.

Explanatory note on the theme, subtheme groupings that have been introduced for presenting the CMR outcomes and aggregate summary tables

The aim of grouping obligations by thematic category is to simplify how CCMs identify the obligations and assist with interpreting the CMR outcomes. The design of the thematic categories is a work in progress, and the Secretariat would welcome feedback on this approach.

QL = Quantitative Catch and effort limit **IM** = Implementation **RP** = Report

Theme	CMM label / Sub-theme	Obligations (CMR Section)
Quantitative limits for tuna and billfish	Bigeye, Skipjack and Yellowfin Bigeye longline catch limits	CMM 2018-01 39 (QL) CMM 2018-01 41 (RP) CMM 2018-01 43 (QL)
	Bigeye, Skipjack and Yellowfin Capacity management for certain tropical tuna fleets	CMM 2018-01 45 (QL) CMM 2018-01 47 (QL) CMM 2018-01 48 (QL)
	Bigeye, Skipjack and Yellowfin Other commercial fisheries for tropical tunas	CMM 2018-01 51 (QL)
	Bigeye, Skipjack and Yellowfin Purse seine fishery effort control	CMM 2018-01 25 (QL) CMM 2018-01 26 (QL) CMM 2018-01 27 (IM)
	Pacific Bluefin tuna Pacific bluefin tuna catch and effort limits	CMM 2019-02 02 (1) (QL) CMM 2019-02 02 (2) (QL) CMM 2019-02 03 (QL) CMM 2019-02 05 (RP) CMM 2020-02 05 (RP)
	SP Albacore Albacore fishing effort and vessel limit	CMM 2015-02 01 (QL) CMM 2015-02 04 (RP)
	SW Striped Marlin Striped marlin vessel and catch limit	CMM 2006-04 01 (QL) CMM 2006-04 04 (RP)
	Swordfish Swordfish vessel and catch limits	CMM 2009-03 01 (QL) CMM 2009-03 02 (QL) CMM 2009-03 03 (IM) CMM 2009-03 04 (RP) CMM 2009-03 08 (RP)
	NP Striped Marlin Striped marlin vessel and catch limit	CMM 2010-01 05 (QL) CMM 2010-01 07 (RP) CMM 2010-01 08 (RP)
	NP Albacore Albacore fishing effort and vessel limit	CMM 2019-03 02 (QL) CMM 2019-02 03 (RP)
Additional measures for tropical tunas	Bigeye, Skipjack and Yellowfin Purse seine catch retention	CMM 2009-02 08-13 (IM) CMM 2009-02 12 (RP) CMM 2018-01 31 (IM)
	Bigeye, Skipjack and Yellowfin Purse seine fishery FAD set management	CMM 2009-02 02 (IM) CMM 2009-02 03-07 (IM) CMM 2018-01 16 (IM)

Theme	CMM label / Sub-theme	Obligations (CMR Section)
		CMM 2018-01 16 footnote 1 (RP) CMM 2018-01 17 (IM/RP) CMM 2018-01 19 (IM) CMM 2018-01 23 (IM)
	Bigeye, Skipjack and Yellowfin HSP requirements	CMM 2018-01 Att 2 03 (RP) CMM 2018-01 Att 2 04 (IM) CMM 2018-01 Att 2 08 (IM)
Additional measures for Pacific bluefin tuna	Pacific Bluefin tuna Cooperate for effective implementation Monitor recruitment of juveniles Response to alleged violations Catch and effort reporting requirements Annual report on implementation	CMM 2019-02 06 (IM) CMM 2019-02 07 (IM) CMM 2019-02 08 (IM) CMM 2019-02 10 (RP) CMM 2020-02 11(RP)
Mitigating impacts of fishing, including on species of special interest	Driftnet prohibition / Driftnet prohibition Annual report on implementation	CMM 2008-04 02 (IM) CMM 2008-04 05 (RP)
	Marine Pollution / Marine Pollution mitigation	CMM 2017-04 01 (IM) CMM 2017-04 02 (IM) CMM 2017-04 03-07 (IM) CMM 2017-04 08 (IM) CMM 2017-04 09-11 (IM)
	Protection of Cetaceans from Purse Seine Fishing Cetacean protection in purse seine fishery Annual report on implementation	CMM 2011-03 (01-03) (IM) CMM 2011-03 05 (RP)
	Sea turtle mitigation Sea turtle mitigation Annual report on implementation	CMM 2018-04 01 (IM) CMM 2018-04 04 (IM) CMM 2018-04 05a (IM) CMM 2018-04 05b (IM) CMM 2018-04 06 (IM) CMM 2018-04 07a (IM) CMM 2018-04 07c (RP) CMM 2018-04 07d (IM) CMM 2018-04 02 (RP) CMM 2018-04 05c (RP) CMM 2018-04 07e (RP)
	Seabird mitigation Seabird mitigation Annual report on implementation	CMM 2018-03 01 (IM) CMM 2018-03 02 (IM) CMM 2018-03 06 (IM) CMM 2018-03 08 (RP) CMM 2018-03 13 (RP)
	Sharks Annual report on implementation	CMM 2010-07 02 (RP) CMM 2010-07 04 (RP) CMM 2010-07 12 (RP)

Theme	CMM label / Sub-theme	Obligations (CMR Section)
		CMM 2011-04 03 (RP) CMM 2012-04 03 (RP) CMM 2012-04 06 (RP) CMM 2013-08 03 (RP) CMM 2019-04 05 (RP) CMM 2019-04 06 (RP) CMM 2019-04 07-09 (RP) CMM 2019-04 16 (RP) CMM 2019-04 21 (04) (RP) CMM 2019-04 23 (RP) CMM 2019-04 Annex 2 07 (RP) CMM 2019-04 Annex 2 09 (RP)
	Sharks Shark mitigation and fishery management	CMM 2010-07 01 (IM) CMM 2010-07 06 (QL/IM) CMM 2010-07 07 (QL/IM) CMM 2010-07 09 (QL/IM) CMM 2010-07 10 (IM) CMM 2011-04 01 (IM) CMM 2011-04 02 (IM) CMM 2012-04 (01, 04) (IM) CMM 2013-08 01 (QL) CMM 2013-08 02 (IM) CMM 2014-05 01 (IM) CMM 2014-05 02 (RP) CMM 2019-04 10 (RP) CMM 2019-04 12 (IM) CMM 2019-04 13 (IM) CMM 2019-04 14 (IM) CMM 2019-04 18 (IM) CMM 2019-04 20 (01-03) (IM) CMM 2019-04 20 (04) (RP) CMM 2019-04 21 (01-07) (IM)
Operational requirements for fishing vessels	Marking and Identification of Fishing Vessels	
	RFV reporting requirements	CMM 2004-03 03 (IM)
	Vessel marking and identification	CMM 2004-03 02 (IM)
	Port State Measures / Port State Measures	CMM 2017-02 05 (IM)
Record of Fishing Vessels		
Annual fishing activity reporting	CMM 2018-06 09 (RP)	
Annual report on implementation	CMM 2018-06 11 (RP)	
RFV reporting requirements	CMM 2014-03 02 (IM)	
Vessel authorisation requirements	CMM 2018-06 02 (IM)	
	CMM 2018-06 03 (IM)	
	CMM 2018-06 04 (IM)	
	CMM 2018-06 17 (IM)	
	CMM 2018-06 18 (IM)	
Vessel authorisation requirements		

Theme	CMM label / Sub-theme	Obligations (CMR Section)
	Convention	Convention Article 24 (1) (IM) Convention Article 24 (3) (IM)
	HSBI Vessels without Nationality	CMM 2006-08 07 (IM) CMM 2009-09 01-05 (IM)
	VMS Annual report on implementation VMS	CMM 2014-02 9a VMS SSPs 7.2.2 (RP) CMM 2014-02 04 (IM) CMM 2014-02 9a (IM) CMM 2014-02 9a VMS SSPs 2.8 (IM) CMM 2014-02 9a VMS SSPs 5.4 - 5.5 (IM)
	Bigeye, Skipjack and Yellowfin VMS	CMM 2018-01 33 (IM)
Activity related required	Annual fishing activity reporting Transshipment Bigeye, Skipjack and Yellowfin Sharks Charter notifications Convention Scientific Data Provision	CMM 2009-06 11 (RP) CMM 2018-01 52 (RP) CMM 2018-01 54 (RP) CMM 2019-04 22 (RP) CMM 2019-08 07 (RP) Convention Article 23 2 (b) (RP) SciData 01 - 07 (RP)
	Catch and effort reporting requirements Daily Catch and Effort Reporting	CMM 2013-05 01 (IM) CMM 2013-05 02 (IM) CMM 2013-05 03 (IM) CMM 2013-05 04 (IM)
	Charter notification reporting requirement	CMM 2019-08 02 (RP) CMM 2019-08 03 (RP)
	Data buoy mitigation	CMM 2009-05 01 (IM) CMM 2009-05 03 (IM)
	Eastern High Seas Special Management Area	CMM 2016-02 02 (RP) CMM 2016-02 04 (IM) CMM 2016-02 06 (QL)
	Response to alleged violations HSBI Data Buoys Mitigation Vessels without Nationality IUU Vessel List	CMM 2006-08 41 (RP) CMM 2009-05 05 (IM) CMM 2009-09 05 (RP) CMM 2019-07 22 (IM)
	Transshipment	CMM 2009-06 29 (QL) CMM 2009-06 34 (QL) CMM 2009-06 35 a (ii) (RP) CMM 2009-06 35 a (iii) (RP) CMM 2009-06 35 a (iv) (RP) CMM 2009-06 35 a (v) (RP)

Theme	CMM label / Sub-theme	Obligations (CMR Section)
Inspection activity related requirement	Annual report on implementation HSBI Convention	CMM 2006-08 40 (IM/ RP) Convention Article 23 (5) (RP) Convention Article 25 (2) (RP) Convention Article 27 (RP) Convention Article 5 (j) (RP)
	HSBI HSBI	CMM 2006-08 06 (RP) CMM 2006-08 13 (RP) CMM 2006-08 17 (RP) CMM 2006-08 20 (d) (RP) CMM 2006-08 26 (RP) CMM 2006-08 27 (RP) CMM 2006-08 29 (RP) CMM 2006-08 30 (IM/RP) CMM 2006-08 32 (RP) CMM 2006-08 42 (RP) CMM 2006-08 44 (RP) CMM 2006-08 50 (RP)
	Port State measures Port State Measures	CMM 2017-02 02 (b) (IM) CMM 2017-02 06 (RP) CMM 2017-02 08 (IM) CMM 2017-02 09-10 (IM) CMM 2017-02 11-12 (IM) CMM 2017-02 13-14 (IM) CMM 2017-02 16 (IM) CMM 2017-02 17 (IM) CMM 2017-02 18 (IM) CMM 2017-02 19 (RP) CMM 2017-02 20 (IM) CMM 2017-02 21 (RP) CMM 2017-02 22 (IM) CMM 2017-02 23-24 (IM) CMM 2017-02 26 (IM) CMM 2017-02 27 (RP) Convention Article 27 (2) (IM)
	Response to alleged violations HSBI Port State Measures Convention	CMM 2006-08 38 (IM) CMM 2017-02 15 (IM) Convention Article 25 (4) (IM)
	VMS	CMM 2014-02 9a VMS SSPs 7.2.4 (IM/RP) CMM 2014-02 9a VMS SSPs 7.2.5 (IM/RP)
	Bigeye, Skipjack and Yellowfin HSP requirements	CMM 2018-01 Att 2 05-06 (IM)
	Observer coverage Bigeye, Skipjack and Yellowfin	CMM 2018-01 34 (IM) CMM 2018-01 35 (IM)
Observer activity related requirement		

Theme	CMM label / Sub-theme	Obligations (CMR Section)
	Regional Observer Programme Observer coverage	CMM 2018-05 07 (IM) CMM 2018-05 08 (IM) CMM 2018-05 09 (IM) CMM 2018-05 Annex C 06 (IM/RP) CMM 2018-05 Annex C 08 (IM)
	Regional Observer Programme Observer programme	CMM 2018-05 14 (IM/RP) CMM 2018-05 Annex C 04 (IM)
	Regional Observer Programme Observer welfare and safety	CMM 2017-03 03-06 (IM) CMM 2017-03 07-08 (IM) CMM 2017-03 10 (IM) CMM 2017-03 11 (IM) CMM 2018-05 10 (IM) CMM 2018-05 15 (g) (IM)
	Port State measures Observer welfare and safety	CMM 2017-03 09 (IM)
	Regional Observer Programme Response to alleged violations	CMM 2018-05 11 (IM)
	Transshipment Transshipment management	CMM 2009-06 13 (IM)
Overarching reporting requirement	Annual report on implementation Record of Fishing Vessels Compliance Monitoring Scheme Data Access Rules and Procedures Convention	CMM 2018-06 16 (RP) CMM 2019-06 (17, 45) (RP) Data RaP MCS 44 (RP) Convention Article 23 (3) (RP) Convention Article 23 (4) (RP) Convention Article 23 2 (c) (RP) Convention Article 25 (11) (RP) Convention Article 25 (8) (RP)
	Special requirements of developing States	CMM 2013-07 01-03 (IM) CMM 2013-07 04-05 (IM) CMM 2013-07 06-07 (IM) CMM 2013-07 08-09 (IM) CMM 2013-07 10-11 (IM) CMM 2013-07 12-18 (IM) CMM 2013-07 19 (RP)

WCPFC17 Summary Report Attachment M

LIST OF OBLIGATIONS TO BE REVIEWED IN

2021 COMPLIANCE MONITORING REPORTS (COVERING 2020 ACTIVITIES)

Each obligation to be assessed is listed with notes on criteria set out in paragraph 7 and considering Annex I of CMM 2019-06

CMMs	CMM/para	Category	Description
SciData	SciData01	Report	<i>Estimate of Annual Catches</i>
	SciData02	Report	<i>Number of Active Vessels</i>
	SciData03	Report	<i>Operational Level Catch and Effort Data</i>
	SciData05	Report	<i>Size Composition</i>
Bigeye, Skipjack and Yellowfin	2018-01 16	Implementation	<i>Purse seine 3 month FAD closure (1 July - 30 September)</i>
	2018-01 17	Implementation & Report	<i>Implementation of two additional month high seas FAD closure (April-May or Nov-Dec)</i>
	2018-01 23	Implementation	<i>Each purse seine vessel is limited to no more than 350 FADs with activated instrumented buoys</i>
	2018-01 25	Limit	<i>Purse seine EEZ limits (for skipjack, yellowfin and bigeye tuna) and advice from other coastal CCMs of EEZ limits to be applied</i>
	2018-01 26	Limit	<i>High seas purse seine effort limits applying 20N to 20S</i>
	2018-01 27	Implementation	<i>CCMs not to transfer fishing effort in days fished in the purse seine fishery to areas N20N and S20S</i>
	2018-01 31	Implementation	<i>Purse seine catch retention requirements (20N - 20S)</i>
	2018-01 33	Implementation	<i>Purse seine vessels are not to operate under manual reporting during FAD closure period</i>
	2018-01 34	Implementation	<i>Requirement for purse seine vessels to carry a ROP observer</i> <i>Note: Through the Intersessional decisions this obligation was suspended effective 8 April 2020. The review of this obligation through the CMS should only relate to the period 1 Jan 2020 - 7 April 2020.</i>
	2018-01 35	Implementation	<i>100% purse seine coverage: specific rules for vessels fishing exclusively in areas under its national jurisdiction</i> <i>Note: Through the Intersessional decisions this obligation was suspended effective 8 April 2020. The review of this obligation through the CMS should only relate to the period 1 Jan 2020 - 7 April 2020.</i>
	2018-01 39	Limit	<i>Bigeye longline catch limits for 2019 and 2020, with adjustment to be made for any overage</i>
	2018-01 41	Report	<i>Bigeye longline catch required report</i>
	2018-01 43	Limit	<i>Bigeye longline catch limits by flag for certain other members which caught less than 2000t in 2004</i>
	2018-01 45	Limit	<i>Limit by flag on number of purse seine vessels >24m with freezing capacity between 20N and 20S</i>
	2018-01 47	Limit	<i>Limit by flag on number of longline vessels with freezing capacity targeting bigeye above the current level (applying domestic quotas are exempt)</i>
	2018-01 48	Limit	<i>Limit by flag on number of ice-chilled longline vessels targeting bigeye and landing exclusively fresh fish above the current level or above the number of current licenses under established limited entry programmes (applying domestic quotas are exempt)</i>

CMMs	CMM/para	Category	Description
	2018-01 51	Limit	<i>Limit on total catch of certain other commercial tuna fisheries (that take >2000Mt of BET, YFT and SKJ)</i>
	2018-01 52	Report	<i>Requirement to provide operational level catch and effort data for EEZ and high seas S20N</i>
	2018-01 54	Report	<i>Requirement to provide 1 x 1 aggregate data for vessels fishing in EEZs and high seas N 20 N, as well as to cooperate in providing operational data to SPC for stock assessment</i>
	2018-01 Att 2 03	Report	<i>Philippines vessels Entry/Exit reports for HSP1-SMA</i>
	2018-01 Att 2 05-06	Implementation	<i>Specific requirements for deploying observers on Philippines vessels fishing in HSP1-SMA</i>
	2018-01 Att 2 08	Implementation	<i>Philippines to monitor landings by vessels operating in HSP1-SMA and collect reliable catch data by species</i>
Pacific Bluefin tuna	2019-02 02 (1)	Limit	<i>Total effort by vessels for Pacific bluefin limited to 2002 - 2004 levels in Area north of 20N</i>
	2019-02 02 (2)	Limit	<i>Catches of Pacific bluefin tuna less than 30kg shall be reduced to 50% of 2002-04 level. Overage or underage may be used in following year</i>
	2019-02 03	Implementation	<i>Every possible measure to be taken not to increase catches of Pacific bluefin >30kg from 2002-04 levels with some exceptions</i>
	2019-02 05	Report	<i>Pacific bluefin required report</i>
	2019-02 11	Report	<i>Pacific bluefin required report on implementation</i>
NP Albacore	2019-03 02	Limit	<i>CCMs take measures to ensure level of fishing effort by vessels fishing for NP albacore is not increased</i>
	2019-03 03	Report	<i>NP albacore required report</i>
SP Albacore	2015-02 01	Limit	<i>Limit on number of vessels actively fishing for SP albacore south of 20S above 2005 or 2000-2004 levels</i>
	2015-02 04	Report	<i>SP albacore required report</i>
NP striped marlin	2010-01 05	Limit	<i>NP striped marlin catch limits applicable to CCMs with vessels fishing in the Convention Area north of the equator: commencing 2011</i>
	2010-01 08	Report	<i>NP striped marlin required report</i>
Sharks	2010-07 09	Implementation	<i>Take measures to prohibit their vessels from retaining, transshipping, landing or trading in any fins harvested in contravention of this CMM</i>
	2010-07 12	Report	<i>Report on implementation of this CMM, and any alternative measures that are applied (para 11)</i>
SW Striped Marlin	2006-04 01	Limit	<i>Limit number of fishing vessels fishing for MLS south of 15S to 2000 – 2004 levels</i>
	2006-04 04	Report	<i>Annual catches of MLS (bycatch), and annual numbers of vessels fishing for MLS south of 15S and their catch levels</i>
Swordfish	2009-03 01	Limit	<i>Limit number of vessels fishing for SWO south of 20S to the number in any one year between 2000-2005</i>
	2009-03 02	Limit	<i>Limit the catch of SWO by its vessels in area south of 20S to the amount in any one year during 2000-2006</i>
	2009-03 03	Implementation	<i>CCMs shall not shift their fishing effort for SWO to the area north of 20°S</i>
	2009-03 08	Report	<i>Report annually the number of vessels that fished for SWO and total catch of SWO - in AR Pt1</i>
Seabird Mitigation	2018-03 01	Implementation	<i>Required longline mitigation measures to be used by vessels fishing south of 30S (hook-shielding devices OR at least two of these options: weighted branch lines, night setting and tori lines)</i>
	2018-03 02	Implementation	<i>From 1 Jan 2020 required longline mitigation measures to be used by longline vessels in the high seas between 25S - 30S (one</i>

CMMs	CMM/para	Category	Description
			<i>of these options: weighted branch lines, night setting or tori lines)</i>
	2018-03 06	Implementation	<i>Required longline mitigation measures to be used by longline vessels > 24m fishing north of 23N (choose 2 from Table 1 including at least 1 from Column A) and longline vessels < 24m fishing north of 23N (at least 1 measure from Column A in Table 1)</i>
Record of Fishing Vessels	2018-06 09	Report	<i>Submission by Member to ED a list of all vessels on national record in previous year, noting "fished" or "did not fish" for each vessel</i>
Regional Observer Programme	2018-05 10	Implementation	<i>CCMs shall explain to the vessel captain, observer duties relevant to appropriate measures adopted by the Commission</i>
	2018-05 15 (g)	Implementation	<i>CCMs to ensure vessel operators comply with the Guidelines for the Rights and Responsibilities of Vessel Operators, Captains and Crew</i>
VMS	2014-02 09a	Implementation	<i>Fishing vessels comply with the Commission standards for WCPFC VMS including being fitted with ALC/MTU that meet Commission requirements</i>
	2014-02 09a VMS SSPs 2.8	Implementation	<i>Provision of ALC/MTU 'VTAF' data</i>
	2014-02 09a VMS SSPs 7.2.2	Report	<i>CCMs to conduct periodic audits of ALC/MTUs of its vessels and report results to the Commission (AR Pt 2)</i>
Transshipment	2009-06 11	Report	<i>Annual report on all transshipment activities covered by this Measure (including transshipment activities that occur in ports or EEZs) in accordance with the specified guidelines (Annex II)</i>
	2009-06 13	Implementation	<i>CCM shall ensure that vessels they are responsible for carry observers from the WCPFC ROP to observe transshipments at sea</i> <i>Note Through the Intersessional decisions this obligation was suspended effective 28 May 2020.</i> <i>The review of this obligation through the CMS should only relate to the period 1 Jan 2020 - 27 May 2020.</i>
	2009-06 29	Limit	<i>Limit on purse seine vessels transshipment outside of port to vessels that have received an exemption from the Commission. Where applicable, flag CCM authorisation should be vessel-specific and address any specific conditions identified by the Commission</i>
	2009-06 34	Limit	<i>Ban on high seas transshipment, unless a CCM has determined impracticability in accordance with para 37 guidelines, and has advised the Commission of such</i>
	2009-06 35 (a) (ii)	Report	<i>Flag CCM's notification to the Secretariat on its flag vessels that are authorised to transship on the high seas</i>
	2009-06 35 (a) (iii)	Report	<i>WCPFC Transshipment Advance Notification (including fields in Annex III)</i>
	2009-06 35 (a) (iv)	Report	<i>WCPFC Transshipment Declaration (including information in Annex I)</i>
Eastern High Seas Special Management Area	2016-02 06	Limit	<i>Prohibition on transshipment in the Eastern High Seas Pocket</i>
Marine Pollution	2017-04 02	Implementation	<i>Flag CCMs to prohibit fishing vessels from discharging any plastics (including plastic packaging, items containing plastic and polystyrene) but not including fishing gear.</i>

CMMs	CMM/para	Category	Description
Charter Notification Scheme	2019-08 02	Report	<i>Charter notification report</i>
	2019-08 03	Report	<i>Charter notification report</i>
	2019-08 07	Report	<i>Charter notification report</i>
Protection of Whale Sharks from Purse Seine Fishing	2012-04 01	Implementation	<i>Prohibit purse seine setting on whale sharks, if animal is sighted prior to commencement of the set</i>
Sea turtle mitigation	2018-04 05a	Implementation	<i>Sea Turtle mitigation requirements for purse seine vessels, including incident reporting requirements</i>
	2018-04 06	Implementation	<i>CCMs to require longline vessels to carry and use line cutters and de-hookers to handle and promptly release sea turtles, as well as dip-nets where appropriate</i>
	2018-04 07a	Implementation	<i>Sea Turtle mitigation requirements for shallow-set longline vessels, including incident reporting requirements</i>

Annex 3

Summary of key statistics for the draft CMRs prepared by WCPFC Secretariat 2011 - 2021

Date of CMR review	CMS CMM ref.	Covering year	# of draft CMR sections	Number of CMMs which were covered by the draft CMR	# CCMs	Rows per CCM in draft CMR	Total number of rows for full draft CMR
2011	2010-03	2010	5	14 + Scientific Data to be Provided <i>(list by Secretariat and guided by para 3 of CMM 10-03)</i>	37	75	2775
2012	2011-06	2011	5	14 + Scientific Data to be Provided <i>(list by Secretariat and guided by para 3 of CMM 11-06)</i>	33	74	2442
2013	2012-02	2012	5	17 + Scientific Data to be Provided <i>(list by Secretariat and guided by para 3 of CMM 12-02)</i>	39	62	2418 (1048 were "applicable")
2014	2013-02	2013	8	25 CMMs, Convention and Scientific Data to be Provided <i>(list by Secretariat and guided by para 3 of CMM 13-02)</i>	38	134	5019 (2300 were "applicable")
2015	2014-07	2014	7	13 CMMs, Convention and Scientific Data to be Provided <i>(Commission agreed 3-year multi-year list of obligations to be assessed in CMR)</i>	36	114	3861 (1671 were "applicable")
2016	2015-07	2015	8	19 CMMs, Convention (4) and Scientific Data to be Provided (4) <i>(Commission agreed 3-year multi-year list of obligations to be assessed in CMR)</i>	37	121	4442 (1879 were "applicable")
2017	2015-07	2016	8	23 CMMs, Convention (6) and Scientific Data to be Provided (4) <i>(Commission agreed 3-year multi-year list of obligations to be assessed in CMR)</i>	37	125	4590 (2017 were "applicable")

Date of CMR review	CMS CMM ref.	Covering year	# of draft CMR sections	Number of CMMs which were covered by the draft CMR	# CCMs	Rows per CCM in draft CMR	Total number of rows for full draft CMR
2018	2017-07	2017	8	12 CMMs and Scientific Data to be Provided (4) <i>(WCPFC14 agreed to list of obligations for CMR)</i>	37	93	3369 (1422 were “applicable” of which 29% were section vii issues)
2019	2018-07	2018	4	12 CMMs and Scientific Data to be Provided (4) <i>(WCPFC15 agreed to list of obligations for CMR)</i>	36	83	3071 (1379 were “applicable” of which 27% were report deadline issues)
2020	2019-06	2019	4	12 CMMs and Scientific Data to be Provided (4) <i>(WCPFC16 agreed to list of obligations for CMR)</i>	37	85	3146 (1390 were “applicable” of which 26% were report deadline issues)
2021	2019-06	2020	3	18 CMMs and Scientific Data to be Provided (4) <i>(WCPFC17 agreed to list of obligations for CMR)</i>	38	71	2699 (1004 were “applicable” of which 0% were report deadline issues)

Notes on the WCPFC Online Reporting Systems used to support the CMS

As has been the case since 2013, the CMS continues to be supported by the WCPFC online reporting systems.

In 2021, the WCPFC online reporting systems used to support the CMS was comprised of nine (9) lists that are hosted on the WCPFC Intranet using a Microsoft Sharepoint web application platform namely:

- i. **Addressing CMR-2019 Issues:** This list is part of the 2021 Annual Report Part 2 and was relevant to only those CCMs who had a score of “Non-Compliant”, “Priority Non-Compliant”, or “Capacity Assistance Needed” in the Final CMR Report adopted by WCPFC17. CMM 2019-06 paragraph 45 says: “*Each CCM shall include, in its Part II Annual Report, any actions it has taken to address non-compliance identified in the Compliance Monitoring Report from previous years.*”
- ii. Since 2020 the structure for Annual Report Part 2 has comprised two parts as follow:
 - The first part is the **Annual Report Part 2 (Prior Year Obligations)** List which contains only implementation-type obligations that CCMs have reported on previously.
 - The second part is the **Annual Report Part 2 (20xx Specific)** List which contains specific reporting requirements related to the reporting year.²
- iii. **MTU Audit Inspections:** This list is relevant to CMM 2014-02 9a VMS SSPs 7.2.2 and CMM 2014-02 9a VMS SSPs 7.2.4 (Annual Report (RY 2019) Q-027(R)). All CCMs that answered “YES” to one or both questions in Annual Report Part 2 should have completed this section. This list can be accessed by CCMs throughout the year and is not time limited.
- iv. **14-June-2020 Reporting Deadline Checklist:** The checklist is designed as a tool to allow CCMs to advise the Secretariat that they have completed one or more of the relevant annual reporting online lists for Annual Report Part 2. It also reminded CCMs about CMM 2018-06 paragraph 9 reporting requirement (Fished/Did Not Fish report) which was also due on 1 July 2021, and which is an important report for draft CMR reviews.
- v. **WCPFC Online Compliance Case File system (CCFS):** This system is to track individual alleged violations and flag CCM responses (for further details please refer to refer to **TCC17-2021-12 Update on improving the CCFS**); and
- vi. **Compliance Monitoring Reports (2020):** The template was based on the WCPFC11 agreed template and CMM 2019-06 (**Annex 5** presents the template for 2020 draft Compliance Monitoring Report). **Annex 2** to this paper provides the list of CMM paragraphs that were included in the 2020 draft CMR. CCM reported information that is completed in the online reporting system for Annual Report Part 2 (YES/NO/not applicable and any explanations) and online reporting system for submitting replies to the draft CMR, assists the Secretariat with accurately transferring the CCM reported information into the full Compliance Monitoring Report (2020). The Compliance

² For more detail on the Annual Report Part 2 please refer to *Update on Streamlining of Annual Reporting Initiatives* (TCC17-2021-10).

Monitoring Report template (2020) also collates information CCMs have submitted as part of draft CMR replies of Capacity Development Plans as stipulated under CMM 2019-06 paragraphs 14 - 15.

- vii. **CMR Potential Issues – 2020:** Provides for each relevant CCM the list of potential issues identified by the Secretariat in the initial draft CMR. This was available to receive CCMs replies from 29 July – 13 August 2021.
- viii. **Full dCMR potential issues – 2020:** Provides the list of all potential issues in the full draft CMR. This is to be made available from 7 September 2021 and is intended to be used by the Secretariat to record any updates from the Secretariat and any additional information that CCMs may provide after 7 September 2021.

The '[WCPFC Helpdesk](#)', created late 2020, contained brief reference information to guide CCMs in their completion of Annual Report Part 2, responding to CMR potential issues, and for in their responses and management of cases in the CCFS.

In 2021, the Secretariat has also continued the practice of using the individual CCM portal page on the secure section of the WCPFC website ensuring each CCM has access to their own CCM portal, and not that of others. This facilitates the dissemination of additional supporting information relevant to draft CMRs, particularly the VMS reporting and Transshipment-reporting. As in past years, the Secretariat commenced posting supporting information relevant to draft CMR in March 2021 and periodically throughout 2021 (*WCPFC Circular 2021/15*).

Additionally, in 2021, relevant CCMs were able to access two online technical solutions that should support and assist flag CCMs with routinely checking the compliance of their flagged vessels with VMS and high seas transshipment reporting. These were:

WCPFC VMS Reporting Status Tool (VRST)

In 2020, the Secretariat completed development of an automated system that provides flag CCMs with secure access to the VMS reporting status of their flag vessels registered as submitted by their CCM on the RFV. This information is made available via a secure reporting server and is only accessible by WCPFC website users that have been assigned either the VMS Viewer or VMS Editor permissions by the Party Administrator.

WCPFC e-Transshipment system (TSER)

The electronic online system for entry of Transshipment event reports has been deployed for use by WCPFC staff since November 2018. Since September 2019, the WCPFC Compliance Manager has provided the necessary authorized logins keys to authorized CCMs representatives who have expressed an interest in testing direct e-reporting of high seas transshipment notifications and declarations. Access is to both a TEST environment for members as well as the live TSER system. Backup support is provided by the WCPFC IT Manager.

The successful delivery of the WCPFC online systems continue to be 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. The Secretariat also acknowledges the contribution of SPC-OFP colleagues in 2020/2021 who continued to provide considerable assistance to the Secretariat so that ROP-data could continue to be used to support the CCFS, and in delivering the enhanced version of the ACE Tables.

Updated template for 2020 draft Compliance Monitoring Report (based on CMM 2019-06 and WCPFC11 agreed template (Attachment W of WCPFC11 Summary Report))

CCM	
CMR Section	<i>Based on CMM 2019-06 paragraph 7 and Annex I,</i>
CMM Paragraph	<i>The list of CMM paragraphs as agreed by WCPFC17 (WCPFC17 Summary Report Attachment M)</i>
CCM Assessment	<p><i>CCM advice in Annual Report part 2:</i></p> <p><i>* YES (fully implemented),</i></p> <p><i>* NO (not fully implemented)</i></p> <p><i>*N/A (not applicable)</i></p>
CCM Implementation	<p><i>May include as appropriate:</i></p> <p><i>CCM explanation from Annual Report Part 2</i></p>
Potential Issue	<p>choice of:</p> <p><i>*no issues detected;</i></p> <p><i>*additional information;</i></p> <p><i>*potential compliance issue.</i></p>
Secretariat Explanation	<i>text explanation as the basis for the identification of a potential issue by WCPFC Secretariat</i>
CCM Additional Information	<i>The equivalent of para 28 of CMM 19-06</i>
Capacity Building Requested	<i>The equivalent of para 27(iii) of CMM 19-06</i>
Capacity Development Plan	<i>Applicable if CCM submitted a reply to draft CMR under heading of "Capacity Development Plan" (CMM 19-06 para 14 and 15)</i>
Potential Issue – TCC Assessment	To be completed by TCC based on the equivalent of Annex I in CMM 2019-06
TCC Explanation	To be completed by TCC (and will include notation about whether additional information may be provided up to 21 days after TCC (CMM 19-06 para 40))