



**COMMISSION  
SIXTEENTH REGULAR SESSION**  
Port Moresby, Papua New Guinea  
5 – 11 December 2019

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**REFERENCE DOCUMENT ON TCC15 RECOMMENDATIONS  
FOR AGENDA 10**

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**WCPFC16-2019-30  
21 November 2019**

**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 (TCC15) which are related to the Compliance Monitoring Scheme. These recommendations will be covered under Agenda Item 10 and require the Commission's consideration and decision as needed. The specific recommendations are **highlighted**. A copy of the full TCC15 Summary Report is provided as [WCPFC16-2019-TCC15](#).

**B. TCC15 Recommendations for Consideration and Adoption of the Final Compliance Monitoring Report [Agenda Item 10.1]**

2. The relevant recommendations of the TCC15 for WCPFC16 decision with appropriate referencing, are listed below.
  - i) TCC15 submits the Provisional CMR, containing its provisional compliance assessment, and **recommends** the report to WCPFC16 for its consideration and final assessment. (*draft TCC15 Summary Report para 84*)

**C. TCC15 Recommendations for Review the workplan of tasks to enhance the Compliance Monitoring Scheme [Agenda Item 10.2]**

3. The relevant recommendations of the TCC15 for WCPFC16 decision with appropriate referencing which are related to the review of the workplan of tasks to enhance the Compliance Monitoring Scheme and related to the expiry of CMM 2018-07 are listed in the middle column in the Table below. For ease of reference the Section IX of CMM 2018-07 are reproduced in the first column of the table, and any relevant WCPFC16 documents posted at the time of preparing this paper are noted in the third column. Copies of relevant attachments from the TCC15 Summary Report are contained in **Annex 1**

Excerpt from CMM 2018-07 CMM on CMS: Section IX – Future Work para 45	TCC15 Recommendations for Review the workplan of tasks to enhance the Compliance Monitoring Scheme [Agenda Item 10.2]	WCPFC16-2019-
<p>45. 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:</p>		
<p><i>During 2019</i> (i) development of a process for assessing CCM actions in accordance with para 7(ii)(b) to replace para 27.</p>		<p><b>DP03 (FFA)</b></p>
<p>(ii) a comprehensive review of all the Commission’s reporting requirements, with recommendations to remove duplicative reporting as well as ensure the Commission’s data and information needs are met;</p>	<p>i) TCC15 supported, as a guide, the use of the list of principles set out in paragraph 73 of TCC15-2019-10 (page 28) in furthering the work to streamline the Commission’s reporting requirements with the objective to make annual reporting more manageable and less burdensome. <i>(draft TCC15 Summary Report para 109)</i></p> <p><i>Progressing suggestions related from the review of reporting requirements related to quantitative limits in CMMs</i></p> <p>ii) TCC15 <b>referred</b> Table 2 of TCC15-2019-10 (Summary of reporting requirements that are related to each CCM-level or collective quantitative limit and notes on the present availability of data for verifying the CCMs report on implementation against the limit) to the Commission <b>for</b> their <b>consideration</b> (refer to <b>Annex 1</b>) <i>(draft TCC15 Summary Report para 124, Attachment C)</i></p> <p>iii) TCC15 noted that there are presently nine quantitative limits where there are limited or no additional data presently available to WCPFC to verify the CCM’s report on their</p>	

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	<p>implementation against the limit. [CMM 2005-03 02 (NP albacore), CMM 2006-04 01 (SW Striped Marlin), CMM 2009-03 01, 02 (Swordfish), CMM 2010-01 05 (NP striped marlin), CMM 2017-01 45, 47, 48 (Tropical tuna vessel limits), CMM 2017-01 51, CMM 2017-08 (Pacific Bluefin)]. TCC15 <b>recommended</b> that the Commission consider whether additional reporting or revised formulations of quantitative limits should be considered so that WCPFC has more ready access to data that can be used to verify a CCM’s implementation of a quantitative limit. <i>(draft TCC15 Summary Report para 125)</i></p> <p>iv) TCC15 recommended that CCMs consider if paragraph 8 of CMM 2009-03 (Swordfish) should be amended to require submission in Annual Report Part 2. <i>(draft TCC15 Summary Report para 127)</i></p> <p><i>Progressing suggestions to streamline Annual Report Part 2 reporting during 2020</i></p> <p>v) TCC15 supported the streamlining suggestions for reporting on implementation-type reporting requirements set out in Paragraph 38 and Table 3 of <b>TCC15-2019-10</b> (pg 13-14) and <b>recommended</b> that WCPFC16 approves the proposed approach to streamline Annual Report Part 2 be implemented in 2020, subject to available budget. TCC tasked the Secretariat to provide to FAC and WCPFC16 the full cost and resource implications of this recommendation and to use Annex II (streamlined Annual Report Part 2 for 2020, covering 2019 activities) and Annex III (“Report on implementation for obligations in RY 2019 that also applied in prior years”) as guidance for this task. <i>(draft TCC15 Summary Report para 130)</i></p> <p><i>Progressing suggestions to streamline Annual Report Part 1 reporting during 2020</i></p> <p>vi) TCC15 <b>recommended</b> that WCPFC16 tasks the Secretariat and Scientific Services Provider (SPC-OFP) to trial in 2020 publishing on the WCPFC website, of Annual Catch and Effort (ACE) tables (Essential Annual Fisheries Information Tables I – IV and Tabular Annual Fisheries Information Tables 1-5 and Figures 1-3 from Annual Report Part 1) that are based on April 30 scientific data submissions (Table 4 and Paragraph 46-47 of TCC15-2019-10 (pg 17-18)). TCC15 further <b>recommended</b> that WCPFC16 tasks the Secretariat to prepare a paper in conjunction with SPC-OFP on the experiences and outcomes of the trial and its cost and resources implications for SC16 and TCC16 consideration and advice to WCPFC17. <i>(draft TCC15 Summary Report para 142)</i></p>	

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<p>(iii) 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;</p>	<p><i>Proposed 2020 Process</i></p> <p>vii) TCC15 acknowledged that the development of audit points for reviewing compliance with obligations is the responsibility of CCMs. Several years of CMS implementation experience by the Commission has revealed the importance of transparent audit points developed by CCMs for robust compliance review (<i>draft TCC15 Summary Report para 153</i>)</p> <p>viii) TCC15 <b>recommended</b> that the Commission adopt a “CMM Audit Point Checklist” to be used by proponents of new measures for consideration alongside proposed new obligations, beginning in 2020. TCC15 agreed to use the draft Audit Point Checklist, in addition to the spreadsheet circulated by the CMS Audit Point IWG Chair, as a basis for the development of audit points on the initial list of 83 obligations. CCMs and Observers will coordinate with the Chair CMS Audit Point IWG to determine which obligations they will review. (<i>draft TCC15 Summary Report para 154</i>)</p> <p>ix) TCC15 <b>recommended</b> that WCPFC16 convene a small working group to finalize any recommended audit points and to discuss the broad suite of CMS future work outlined in Section IX of CMM 2018-07 with a view to develop a clear approach to completing the various work areas in a complementary manner, in accordance with the CMMs established timeframes. (<i>draft TCC15 Summary Report para 155</i>)</p> <p>x) TCC15 noted that a Technical Working Group may be needed for 2020, comprised of a group of CCM officials, to review audit points for any remaining Commission obligations that are not adopted by WCPFC16. Representatives of Observer organizations as well as representatives from the WCPFC Secretariat (including SPC-OFP as the Scientific Services Provider), the FFA Secretariat, and the PNA Office, may also participate. Consideration should be given to the TWG holding at least one face-to-face meeting in 2020 to review any remaining Commission obligations and report its outcomes to TCC16 for consideration. A finalized set of audit points for all the Commission’s obligations will be presented to WCPFC17 for adoption. (<i>draft TCC15 Summary Report para 156</i>)</p> <p>xi) TCC15 noted that an adequate budget to support at least one face-to-face meeting of the Audit Points TWG may be needed. Consideration should be given to this meeting being held in conjunction with another regional meeting, such as TCC16 or WCPFC17, where many of the same officials will be in attendance. (<i>draft TCC15 Summary Report para 157</i>)</p>	<p style="text-align: center;">IWG_ CMSAuditPoints</p>

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(iv) explore investment in technology solutions to facilitate improvements to the compliance case file system	xii) TCC15 <b>recommended</b> that WCPFC16 tasks CCMs to provide the Secretariat with any suggested improvements to the online compliance case file system, so that the Secretariat can provide a paper for TCC16 that outlines the feasibility and costs, as well as any implications from potential resolution of paragraph 27 of CMM 2018-07. ( <i>draft TCC15 Summary Report para 175</i> )	
<i>During 2019 - 2020</i> (v) the development of a risk-based assessment framework to inform compliance assessments and ensure obligations are meeting the objectives of the Commission;	xiii) TCC15 noted that New Zealand proposes to circulate draft terms of reference related to the development of a risk-based assessment framework for the CMS for consideration by WCPFC16. ( <i>draft TCC15 Summary Report para 165</i> )	
<i>During 2020-2021</i> (vi) the development of corrective actions to encourage and incentivise CCMs' compliance with the Commission's obligations, where non-compliance is identified;		
(vii) 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.	xiv) TCC15 noted the United States offer to recirculate and refine an earlier paper (WCPFC Circular 2017/40) on the guidelines for participation of observers in the Compliance Monitoring Scheme. ( <i>draft TCC15 Summary Report para 180</i> )	<b>DP14 (USA)</b>

**D. TCC15 Recommendations for Expiry of CMM 2018-07 at the end of 2019 [Agenda Item 10.3]**

xv) TCC15 **recommended** that WCPFC16 extends CMM 2018-07 for another year. (*draft TCC15 Summary Report para 191*)

**Copies of relevant TCC15 Summary Report Attachments**

**Attachment C** Summary of reporting requirements that are related to each CCM-level or collective quantitative limit and notes on the present availability of data for verifying the CCMs report on implementation against the limit (Table 2 of TCC15-2019-10)