Audit Points Checklist for Proposed New or Amended Obligations

("Audit Points Checklist")

(To be completed by proponents of new and amended measures. This checklist should not be confused with the "2013-06 Checklist", which is specific to impacts of new or amended proposals on SIDS.)

1. To whom does the obligation apply? Set out any proposed exceptions or exclusions.

   ☐ All CCMs   ☐ Flag CCMs   ☐ Some CCMs - if so, which CCMs?

2. What is the scope of the new obligations (i.e., does it apply to a particular geographical area, fishery, stock, species of special interest?)

3. Are there existing obligations that should be assessed in combination with any of the proposed new obligations? If so, name the CMM and paragraph(s), or other Commission obligation.

4. Which proposed new obligations will require submission of Reports (R) or Implementation Statements (I), impose Limits (L), or have Deadlines (D)? Please fill out the relevant section(s) for each of the proposed new obligations.

   I.   Deadline

   Specify what is required and by what deadline.

   II.   Report

   Specify the type of information that is required, including any specific formats or templates to be used, and whether the information must be complete (100%) or a sub-set of information is sufficient to meet the proposed objective.

   Is this information already provided wholly or in part through any other data submission requirement, i.e. operational level catch and effort data?

   If no, specify the proposed reporting mechanism to be used for submission of new required information (i.e., Annual Report Part 1, Annual Report Part 2, direct to WCPFC Secretariat, other)

   Can the information provided be verified through another source? If yes, specify what other data or information source should be used.

III. Implementation

In addition to the required Implementation Statements, list any additional information required to demonstrate CCM's implementation with the proposed new requirement.

Describe any data or other information that can be reviewed by the WCPFC Secretariat to confirm or verify implementation.

IV. Quantitative Limit

Specify the proposed CCM-level or Collective limit.

Specify what verifiable data shall be provided by CCM to confirm its adherence to the limit.

Specify what data sources are available to the WCPFC Secretariat to review and confirm CCM's reported limit.

V. Other

If none of the other categories are appropriate:

Specify the nature of the obligation.

Specify how compliance is to be assessed.

Process for considering proposed audit points alongside new proposals

The purpose of the checklist is for proponents of new obligations to identify what they see as being the appropriate criteria or performance standard by which compliance should be assessed against new or amended obligations. This process will assist in identifying data gaps, potential duplication of reporting, and existing measures that might be linked to new or amended obligations.

The process for considering proposed audit points for proposed new obligations is as follows:

Step 1: Proponent of the proposed new or amended obligation(s) submits a completed AP Checklist at the same time as the proposed new or amended obligation(s) is submitted.

Step 2: Where proposed new or amended obligation(s) undergoes further discussion and negotiation, the AP Checklist remains attached to the proposal and is also considered throughout the iterative process.

Step 3: If proposed new or amended obligation(s) reaches the stage of finalization for adoption, the lead CCM on finalizing the proposed new or amended obligation(s) also updates the AP Checklist to reflect the final proposed new or amended obligation(s).

Step 4: The proposed audit points for the proposed new or amended obligation(s) are adopted as part of the final proposed new or amended obligation(s) and attached to the final CMM, or in the case of a Commission decision that is not reflected in a CMM, the proposed audit points are posted on the appropriate section of the WCPFC website associated with the decision or outcome.