



## WCPFC CMS Review Questionnaire

### Introduction

The Independent Panel appointed to undertake the review of the Compliance Monitoring Scheme (CMS) (refer to CIRC 2017/25) has prepared the accompanying questionnaire to assist with its assignment (in accordance with the decision of the Commission at WCPFC13).

The questionnaire has seven (7) sections:

1. Major changes affecting CMS implementation since 2011;
2. Benefits delivered to WCPFC from CMS;
3. CMS Implementation considerations;
4. CMS Procedures;
5. Technical assistance and capacity building;
6. Online reporting systems;
7. Future Enhancements to CMS.

Many questions request that respondents reply with a choice of one (1) of five (5) categories:

<b>Strongly agree</b>	<b>Agree</b>	<b>Neither agree nor disagree</b>	<b>Disagree</b>	<b>Strongly Disagree</b>
-----------------------	--------------	---------------------------------------	-----------------	--------------------------

CCMs and other representatives are invited to return their responses to the questionnaire to email: [cmsreview2017@wcpfc.int](mailto:cmsreview2017@wcpfc.int) by **Tuesday 1 August 2017**.



**WCPFC CMS Review Questionnaire**

Name of Respondent : \_\_\_\_\_

Contact email : \_\_\_\_\_

Name of Member/Participating Territory/Cooperating Non-Member or Other organisation to whom the respondent is affiliated: \_\_\_\_\_ {Insert name of Delegation} \_\_\_\_\_

**SECTION 1. DESCRIBE THE THREE [3] MAJOR CHANGES THAT HAVE IMPACTED IMPLEMENTATION OF THE CMS SINCE ITS IMPLEMENTATION IN 2011.**

<b>1. First major change</b> Briefly describe the revision/adaptation	<i>{Describe in one sentence}</i>	<b>Year implemented</b>	<i>{Select applicable 2011 2012 2013 2014 2015 2016 2017}</i>
<b>What was the impact/effect on the CMS?</b>	<i>{Describe the change and its effect}</i>		

<b>2. Second major change</b> Briefly describe the revision/adaptation	<i>{Describe in one sentence}</i>	<b>Year implemented</b>	<i>{Select applicable 2011 2012 2013 2014 2015 2016 2017}</i>
<b>What was the impact/effect on the CMS?</b>	<i>{Describe the change and its effect}</i>		

<b>3. Third major change</b> Briefly describe the revision/adaptation	<i>{Describe in one sentence}</i>	<b>Year implemented</b>	<i>{Select applicable 2011 2012 2013 2014 2015 2016 2017}</i>
<b>What was the impact/effect on the CMS?</b>	<i>{Describe the change and its effect}</i>		



**WCPFC CMS Review Questionnaire**

**SECTION 2. BENEFITS DELIVERED TO WCPFC THROUGH THE CMS.**

<b>a. The CMS operationalises the provisions of the Convention, particularly Articles 23, 24 and 25</b>	<i>{Select one (1) of the five (5) categories}</i>
<b>b. The CMS provides a comprehensive procedure for assessing the practicalities of CMM implementation</b>	<i>{Select one (1) of the five (5) categories}</i>
<b>c. The CMS assists to monitor and report on our national fleet’s compliance performance</b>	<i>{Select one (1) of the five (5) categories}</i>
<b>d. The CMS generates information that is subsequently used to strengthen our national fleet’s compliance</b>	<i>{Select one (1) of the five (5) categories}</i>
<b>e. The CMS identifies general CMM implementation issues for all CCMs</b>	<i>{Select one (1) of the five (5) categories}</i>
<b>f. The CMS is a cost-effective procedure to strengthen compliance</b>	<i>{Select one (1) of the five (5) categories}</i>

**g. What do you view as the primary purposes of the CMS? <sup>1</sup>**

<b>(i) assess CCMs’ compliance with their obligations;</b>	<i>{Select one (1) of the five (5) categories}</i>
<b>(ii) identify areas in which technical assistance or capacity building may be needed to assist CCMs to attain compliance;</b>	<i>{Select one (1) of the five (5) categories}</i>
<b>(iii) identify aspects of conservation and management measures which may require refinement or amendment for effective implementation;</b>	<i>{Select one (1) of the five (5) categories}</i>
<b>(iv) respond to non-compliance through remedial options that include a range of possible responses that take account of the reason for and degree of non-compliance, and include cooperative capacity-building initiatives and, in case of serious non-compliance, such penalties and other actions as may be necessary and appropriate to promote compliance with CMMs and other Commission obligations; and</b>	<i>{Select one (1) of the five (5) categories}</i> <i>- most important, important, neutral, not important, least important]</i>
<b>(v) monitor and resolve outstanding instances of non-compliance.</b>	<i>{Select one (1) of the five (5) categories}</i>

<sup>1</sup> These five subparagraphs are from paragraph 1 of CMM 2015-07, and the subparagraphs are unchanged from the original measure (CMM 2010-03) with the sole exception of the insertion of the words “and other Commission obligations” added to the end of subparagraph (iv) to capture obligations that stem from the Convention or scientific data provision obligations.



**WCPFC CMS Review Questionnaire**

**h. What are the three (3) major implications/considerations for effective participation in the CMS as:**

*{Please answer both i) and ii) if you are representative of a CCM that is both a Flag CCM and a Coastal CCM}*

**i. A flag CCM?**

<b>1.</b> <i>{describe first major implication/consideration for effective participation in the CMS as a flag CCM}:</i>
<b>2.</b> <i>{describe second major implication/consideration for effective participation in the CMS as a flag CCM}:</i>
<b>3.</b> <i>{describe third major implication/consideration for effective participation in the CMS as a flag CCM}</i>

**ii. A coastal CCM?**

<b>1.</b> <i>{describe first major implication/consideration for effective participation in the CMS as a coastal CCM}</i>
<b>2.</b> <i>{describe second major implication/consideration for effective participation in the CMS as a coastal CCM}</i>
<b>3.</b> <i>{describe third major implication/consideration for effective participation in the CMS as a coastal CCM}</i>

**i. Any supplementary comments related to benefits delivered through the CMS?**

<i>{Any supplementary comments on benefits delivered through the CMS}</i>
---



**WCPFC CMS Review Questionnaire**

**SECTION 3. CMS IMPLEMENTATION CONSIDERATIONS.**

<b>a. The CMS has the necessary resources but demands too much CCM time and resources for the benefits generated</b>	<i>{Select one (1) of the five (5) categories}</i>
<b>b. The CMS does not have the required financial and personnel resources at the national level to meet current CMS reporting obligations</b>	<i>{Select one (1) of the five (5) categories}</i>
<b>c. The CMS demands too much WCPFC Secretariat time and resources for the benefits generated</b>	<i>{Select one (1) of the five (5) categories}</i>
<b>d. The CMS impacts adversely on time available to discuss other priority matters in the TCC and Commission</b>	<i>{Select one (1) of the five (5) categories}</i>
<b>e. The CMS currently provides an inadequate deterrent to non-compliance</b>	<i>{Select one (1) of the five (5) categories}</i>
<b>f. The CMS obligations and requirements are unclear leading to confusion or lack of consistency among CCMs regarding obligations and requirements</b>	<i>{Select one (1) of the five (5) categories}</i>

<b>g. The CMS CMM should be formally reviewed by TCC:</b> (select one of (i) annually; (ii) biennially; (iii) every 5 years; or (iv) other. If (iv) other please includes comment in supplementary comment box below)	<i>{Select one (1) of the three (3) categories}</i> <i>(i) annually; (ii) biennially; (iii) every 5 years</i>
<b>h. The CMS procedures and supporting systems should be independently reviewed</b> (select one of (i) annually; (ii) biennially; (iii) every 5 years; (iv) every 10 years; or (v) other) If (v) other please includes comment in supplementary comment box below)	<i>{Select one (1)} : (i) annually; (ii) biennially; (iii) every 5 years; (iv) every ten years.}</i>

**i. Any supplementary comments related to CMS implementation?**

<i>{Any supplementary comments on CMS Implementation}</i>
---



**WCPFC CMS Review Questionnaire**

**SECTION 4. CMS PROCEDURES, INCLUDING TO DEVELOP, CONSIDER AND FINALISE THE COMPLIANCE MONITORING REPORT**

<p><b>a. The CMS procedures are perceived as procedurally fair</b> Please include comment below</p>	<p><i>{Select one (1) of the five (5) categories}</i></p>
<p><i>{Any supporting comments}</i></p>	
<p><b>b. The CMS procedures are fair for all CCMS in the way they operate and are applied</b> Please include comment below</p>	<p><i>{Select one (1) of the five (5) categories}</i></p>
<p><i>{Any supporting comments}</i></p>	
<p><b>c. The CMS procedures produce fair outcomes for all CCMS</b> Please include comment below</p>	<p><i>{Select one (1) of the five (5) categories}</i></p>
<p><i>{Any supporting comments}</i></p>	
<p><b>d. The outcomes of the CMS procedures are used in a fair way and are not used inappropriately by other CCMS</b>  If you strongly disagree with this statement, in respect of your CCM, please elaborate on your concerns</p>	<p><i>{Select one (1) of the five (5) categories}</i></p>
<p><i>{Any supporting comments}</i></p>	
<p><b>e. The CMS procedures currently ensure the effective participation of all CCMS through the CMS process</b></p>	<p><i>{Select one (1) of the five (5) categories}</i></p>
<p><b>f. The CMS procedures currently ensure that consistent standards are applied amongst obligations</b></p>	<p><i>{Select one (1) of the five (5) categories}</i></p>
<p><b>g. The CMS procedures currently ensure that a consistent level of scrutiny is applied to CCMS</b></p>	<p><i>{Select one (1) of the five (5) categories}</i></p>



**WCPFC CMS Review Questionnaire**

**h. Which elements of the TCC and Commission processes to develop, consider and finalise the Compliance Monitoring Report should be refined? How should they be refined?**

<b>1. First element to be refined</b>	<i>{Briefly describe in one sentence}</i>
<b>How should they be refined?</b>	<i>{Describe the change and its intended effect}</i>

<b>2. Second element to be refined</b>	<i>{Briefly describe in one sentence}</i>
<b>How should they be refined?</b>	<i>{Describe the change and its intended effect}</i>

<b>3. Third element to be refined</b>	<i>{Briefly describe in one sentence}</i>
<b>How should they be refined?</b>	<i>{Describe the change and its intended effect}</i>

<b>4. Fourth element to be refined</b>	<i>{Briefly describe in one sentence}</i>
<b>How should they be refined?</b>	<i>{Describe the change and its intended effect}</i>

**i. Any other supplementary comments related to CMS procedures?**

<i>{Any supplementary comments on CMS Procedures}</i>
---



**WCPFC CMS Review Questionnaire**

**SECTION 5. TECHNICAL ASSISTANCE AND CAPACITY BUILDING**

**a. In relation to the technical assistance and capacity building objective of the CMM ...**

<b>i. The CMS is effective in identifying priority areas for technical assistance and capacity building assistance</b>	<i>{Select one (1) of the five (5) categories}</i>
<b>ii. The CMS has resulted in Capacity Development Plans for some CCMs that are being implemented</b>	<i>{Select one (1) of the five (5) categories}</i>
<b>iii. The CMS receives inadequate financial and technical resources to address identified technical assistance and capacity building needs</b>	<i>{Select one (1) of the five (5) categories}</i>
<b>iv. The CMS has inadequate associated systems for monitoring and reporting on technical assistance and capacity building responses to needs identified by the CMS</b>	<i>{Select one (1) of the five (5) categories}</i>
<b>v. The technical assistance and capacity building intent of the CMS requires more strategic consideration by TCC and the Commission</b>  If you strongly agree with this statement, from the perspective of your CCM, please describe the purpose or objectives of such a strategic review by TCC and the Commission	<i>{Select one (1) of the five (5) categories}</i>
<i>{Any supporting comments}</i>	

**b. Any other supplementary comments related to Technical Assistance and Capacity Building through the CMS?**

<i>{Any supplementary comments on Technical Assistance and Capacity Building through the CMS}</i>
---





**WCPFC CMS Review Questionnaire**

**SECTION 6. ON-LINE REPORTING SYSTEM**

<b>a. The online reporting system has made the CMS easier to implement and report against</b>	<i>{Select one (1) of the five (5) categories}</i>
---	--

**If, in respect of your CCMs perspective, you either agree or strongly agree with this statement, please identify the three key features that support the efficient operation of the system**

<b>1. First key feature that supports efficient operation of the system</b>	<i>{Briefly describe the feature}</i>
<b>2. Second key feature that supports efficient operation of the system</b>	<i>{Briefly describe the feature}</i>
<b>3. Third key feature that supports efficient operation of the system</b>	<i>{Briefly describe the feature}</i>

**b. Identify and describe elements of the CMS online reporting systems that are impractical and require revision. Provide advice on what improvements are required? Can the concern be addressed by i) revision, or ii) does it require removal?**

<b>1. First element that is impractical and requires revision</b>	<i>{Briefly describe in one sentence}</i>	
<b>What improvements are required?</b>	<i>{Describe the change and its intended effect}</i>	
<b>Can the concern be addressed by revision?</b>	<b>Or does it require removal?</b>	

<b>2. Second element that is impractical and requires revision</b>	<i>{Briefly describe in one sentence}</i>	
<b>What improvements are required?</b>	<i>{Describe the change and its intended effect}</i>	
<b>Can the concern be addressed by revision?</b>	<b>Or does it require removal?</b>	



**WCPFC CMS Review Questionnaire**

<b>3. Third element that is impractical and requires revision</b>	<i>{Briefly describe in one sentence}</i>	
<b>What improvements are required?</b>	<i>{Describe the change and its intended effect}</i>	
<b>Can the concern be addressed by revision?</b>	<b>Or does it require removal?</b>	

<b>4. Fourth element that is impractical and requires revision</b>	<i>{Briefly describe in one sentence}</i>	
<b>What improvements are required?</b>	<i>{Describe the change and its intended effect}</i>	
<b>Can the concern be addressed by revision?</b>	<b>Or does it require removal?</b>	

<b>5. Fifth element that is impractical and requires revision</b>	<i>{Briefly describe in one sentence}</i>	
<b>What improvements are required?</b>	<i>{Describe the change and its intended effect}</i>	
<b>Can the concern be addressed by revision?</b>	<b>Or does it require removal?</b>	



**WCPFC CMS Review Questionnaire**

**c. How could the CMS online reporting systems be refined to better support the CMS procedures?**

<b>1. First element to be refined</b>	<i>{Briefly describe in one sentence}</i>
<b>How should they be refined?</b>	<i>{Describe the change and its intended effect}</i>

<b>2. Second element to be refined</b>	<i>{Briefly describe in one sentence}</i>
<b>How should they be refined?</b>	<i>{Describe the change and its intended effect}</i>

<b>3. Third element to be refined</b>	<i>{Briefly describe in one sentence}</i>
<b>How should they be refined?</b>	<i>{Describe the change and its intended effect}</i>

<b>4. Fourth element to be refined</b>	<i>{Briefly describe in one sentence}</i>
<b>How should they be refined?</b>	<i>{Describe the change and its intended effect}</i>

**d. Any other supplementary comments related to online reporting systems for the CMS?**

<i>{Any supplementary comments on online reporting systems}</i>
---



**WCPFC CMS Review Questionnaire**

**SECTION 7. FUTURE ENHANCEMENTS TO CMS.**

**a. What refinements or enhancements to the CMS do you, in respect of your CCM, consider require priority consideration:**

1. <i>{describe refinements that require priority consideration }</i>
2. <i>{describe refinements that require priority consideration }</i>
3. <i>{describe refinements that require priority consideration }</i>
4. <i>{describe refinements that require priority consideration }</i>

**b. Any supplementary comments related to future enhancements?**

<i>{Any supplementary comments on future enhancements}</i>
--

--