



North Pacific Fisheries Commission

NPFC-2017-FAC01-Final Report

**1st Meeting of the Finance and Administration Committee
REPORT**

12 July 2017

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**North Pacific Fisheries Commission
1st Meeting of the Finance and Administration Committee**

**12 July 2017
Sapporo, Japan**

REPORT

Agenda Item 1. Opening of Meeting

1. The 1st Meeting of the Finance and Administration Committee (FAC) took place in Sapporo, Japan on 12 July 2017, and was attended by Members from Canada, China, Japan, the Republic of Korea, the Russian Federation, Chinese Taipei, the United States of America, and the Republic of Vanuatu. The meeting was opened by Executive Secretary Dae-Yeon Moon.

Agenda Item 2. Selection of Chair, Vice-Chair and Nomination of Rapporteur

2. The FAC elected Mr. Kenji Kagawa (Japan) to serve as Chair of the FAC, and Dr. Siquan Tian (China) to serve as Vice-Chair. Mr. Alexander Meyer was appointed as Rapporteur.

Agenda Item 3. Adoption of Agenda

3. The agenda was adopted without revision (Annex A).

Agenda Item 4. Financial Statement

4.1 Financial Statement from 2016 and 2017 to Date

4.2 Contributions Outstanding and New Member Contribution

4.3 Working Capital Fund

4. The Secretariat reported on the financial statement from 2016 and 2017 to date, contributions outstanding and new Member contribution, and the Working Capital Fund (NPFC-2017-FAC01-WP01 (Rev. 1); NPFC-2017-FAC01-IP02).
5. The FAC requested that the Secretariat make a number of improvements to the invoice format.
6. The United States explained that it was in the process of securing the necessary budget to

pay its contribution to the NPFC, and that it will complete its payment within 2017.

4.4 Establishment of a Special Project Fund

7. The Secretariat presented a proposal to establish a Special Project Fund (NPFC-2017-FAC01-WP02). The FAC reviewed the proposal and revised it to clarify the funding mechanisms and purpose of the Special Project Fund, and the membership of the SWG Special Projects.

Recommendation: The FAC endorsed the revised proposal (Annex D).

Agenda Item 5. Secretariat's Work Plan 2017; Budget Estimates for 2018-2020

8. The Secretariat presented its work plan for 2017 (NPFC-2017-FAC01-WP03 (Rev 1)). The FAC reviewed and revised the Secretariat work plan for 2017. In particular, the FAC noted that requests for the Commission to cover travel costs associated with meeting attendance were inappropriate as they did not comply with the stipulations of the Convention (Article 12, Paragraph 1).

Recommendation: The FAC endorsed the revised work plan (Annex E).

9. The FAC noted that because the TCC and FAC meetings are held in conjunction, it is currently not possible to incorporate the TCC work plan in the Secretariat's work plan. To address this, the FAC requested that the TCC develop a rolling two-year work plan.

Recommendation: The FAC requested that the TCC develop a rolling two-year work plan.

10. The Secretariat presented the budget estimates for 2018-2020 (NPFC-2017-FAC01-WP01 (Rev. 1)) for the review of the FAC. The FAC revised and endorsed the budgets for 2017 and 2018, and considered the budget for 2019 and 2020.

Recommendation: The FAC endorsed the revised contributions and budgets for 2017 and 2018 (Annex F).

Agenda Item 6. Issues Arising from 2016

6.1 Fixed Yen-Based Staff Salary

11. The Secretariat presented options for fixed yen-based salaries for Commission staff (NPFC-2017-FAC01-WP04). The FAC discussed the options for fixed-yen based salaries for Commission staff and agreed on a fixed rate of 124.36 JPY=1 US\$, which is the exchange rate used in the initial budget and contributions plan.

Recommendation: The FAC recommended that the Commission set fixed yen-based salaries for Commission staff at a rate of 124.36 JPY=1 US\$.

6.2 Revision to Staff Regulations

12. The Secretariat proposed the addition of two new paragraphs (5.9 and 5.10) to the Staff Regulations, as outlined in NPFC-2017-FAC01-IP01, to incorporate the accommodation allowance and education allowance for professional staff of the Commission that were approved at the 2nd Commission Meeting. The FAC reviewed and endorsed the proposal.

Recommendation: The FAC endorsed the revised NPFC Staff Regulations (Annex G).

Agenda Item 7. Other Matters

7.1 Procedures for submission, review and approval of projects proposed by Members/NPFC subsidiary bodies

13. The Secretariat presented the proposed Guidelines Outlining the Process for Submission, Review, Approval and Implementation of Projects to Finalize the Commission Work Program and Budget (NPFC-2017-FAC01-WP05).

Recommendation: The FAC endorsed the Guidelines (Annex H).

7.2 Others

14. The Secretariat presented the proposed NPFC Media Access Policy (NPFC-2017-FAC01-WP06). The FAC reviewed and revised the proposal. In particular, the FAC discussed the importance of Members maintaining the confidentiality of conference proceedings when interacting with members of the media.

Recommendation: The FAC endorsed the revised NPFC Media Access Policy (Annex I).

15. The Secretariat presented the proposed NPFC Policy on Support to Specialist Experts to the Secretariat or Commission (NPFC-2017-FAC01-WP07).

Recommendation: The FAC endorsed the Policy (Annex J).

16. The Secretariat presented the NPFC Document Rules (NPFC-2017-FAC01-WP08). The FAC reviewed and revised the proposal, clarifying the rules for the submission of Information Papers and Observer Papers. It was also noted that the Secretariat should continue to explore ways to promote the use of electronic documents.

Recommendation: The FAC endorsed the revised NPFC Document Rules (Annex K).

17. The FAC discussed matters related to the paper on cooperating non-contracting parties (CNCs) from the Final Report of the Commission Meeting in 2016 (NPFC-2017-COM03-WP03). The FAC determined that CNCs should be encouraged to make contributions to the Commission, rather than being mandated to do so, referring to the practices of other

regional fisheries management organizations.

Recommendation: The FAC recommended that contributions to the Commission by CNCPs should be voluntary and endorsed the revised document (Annex L).

18. The Secretariat proposed the re-appointment of Tokoro Accounting Ltd. as the auditor of the Commission (NPFC-2017-FAC01-WP09).

Recommendation: The FAC endorsed the proposal.

19. **Recommendation:** The FAC recommended that each Member nominate a focal point contact for FAC-related matters.

Agenda Item 8. Recommendations to the Commission

20. The FAC recommended the following to the Commission:

(Agenda Item 4)

a. The FAC endorsed the revised proposal to establish a Special Project Fund (Annex D).

(Agenda Item 5)

b. The FAC endorsed the revised Secretariat work plan for 2017 (Annex E).

c. The FAC requested that the TCC develop a rolling two-year work plan.

d. The FAC endorsed the revised budgets for 2017 and 2018 (Annex F).

(Agenda Item 6)

e. The FAC recommended that the Commission set fixed yen-based salaries for Commission staff at a rate of 124.36 JPY=1 US\$.

f. The FAC endorsed the revised NPFC Staff Regulations (Annex G).

(Agenda Item 7)

g. The FAC endorsed the Guidelines Outlining the Process for Submission, Review, Approval and Implementation of Projects to Finalize the Commission Work Program and Budget (Annex H).

h. The FAC endorsed the revised NPFC Media Access Policy (Annex I).

i. The FAC endorsed the NPFC Policy on Support to Specialist Experts to the Secretariat or Commission (Annex J).

j. The FAC endorsed the revised NPFC Document Rules (Annex K).

k. The FAC endorsed the revised document on CNCPs (Annex L).

l. The FAC endorsed the re-appointment of Tokoro Accounting Ltd. as the auditor of the Commission.

m. The FAC recommended that each Member nominate a focal point contact for FAC-related matters.

(Agenda Item 9)

- n. The FAC requested the guidance of the Commission in determining the date and location of the next FAC meeting.

Agenda Item 9. Next Meeting

21. **Recommendation:** The FAC requested the guidance of the Commission in determining the date and location of the next FAC meeting.

Agenda Item 10. Adoption of the Report

22. The report was adopted by consensus.

Agenda Item 11. Close of the Meeting

23. The FAC meeting closed at 19:04 on 12 July 2017.

Annexes

[Annex A](#) – Agenda

[Annex B](#) – List of Documents

[Annex C](#) – List of Participants

[Annex D](#) – Establishment of a Special Projects Fund or Use of Article 24 of the NPFC Financial Regulations

[Annex E](#) – Secretariat Work Plan 2017

[Annex F](#) – NPFC expenses in the fiscal years 2017 and 2018

[Annex G](#) – Revised NPFC Staff Regulations

[Annex H](#) – Guidelines Outlining the Process for Submission, Review, Approval and Implementation of Projects to Finalize the Commission Work Program and Budget

[Annex I](#) – NPFC Media Access Policy

[Annex J](#) – NPFC Policy on Support to Specialist Experts to the Secretariat or Commission

[Annex K](#) – NPFC Document Rules

[Annex L](#) – Cooperating Non-Contracting Parties

**North Pacific Fisheries Commission
1st Meeting of the Finance and Administration Committee
12 July 2017
Sapporo, Japan**

Agenda

Agenda Item 1. Opening of the Meeting

Agenda Item 2. Selection of Chair, Vice-Chair and Rapporteur.

Agenda Item 3. Adoption of Agenda

Agenda Item 4. Financial Statement

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4.3 Working Capital Fund

4.4 Establishment of a Special Project Fund

Agenda Item 5. Secretariat's Work Plan 2017; Budget Estimates for 2018-2020

Agenda Item 6. Issues arising from 2016

6.1 Fixed yen-based staff salary

6.2 Revision to Staff Regulations

Agenda Item 7. Other matters

7.1 Procedures for submission, review and approval of projects proposed by
Members/NPFC subsidiary bodies

7.2 Others

Agenda Item 8. Recommendations to the Commission

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Agenda Item 11. Close of the Meeting

**North Pacific Fisheries Commission
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List of Documents

MEETING INFORMATION PAPERS

Symbol	Title
NPFC-2017-MIP01	Meeting notice and information
NPFC-2017-FAC01-MIP02 (Rev.1)	Provisional agenda
NPFC-2017- FAC01-MIP03	Provisional annotated agenda
NPFC-2017- FAC01-MIP04	Indicative schedule
NPFC-2017- FAC01-MIP05	Provisional List of Documents

REFERENCE DOCUMENTS - NPFC Website

Symbol	Title
	Convention on the Conservation and Management of High Seas Fisheries Resources in the North Pacific Ocean
	NPFC Rules of Procedure
	Compendium of Active Conservation and Management Measures for the NPFC

WORKING PAPERS

Symbol	Title
NPFC-2017- FAC01-WP01 (Rev. 1)	NPFC Budget 2017-2020
NPFC-2017- FAC01-WP02 (Rev. 1)	Special Projects Fund
NPFC-2017- FAC01-WP03 (Rev. 2)	Secretariat's Work Plan
NPFC-2017- FAC01-WP04	Fixed Base Yen Salaries
NPFC-2017- FAC01-WP05	Guidelines for Projects
NPFC-2017- FAC01-WP06 (Rev. 1)	Media Access
NPFC-2017- FAC01-WP07	Policy for Technical Support
NPFC-2017- FAC01-WP08 (Rev. 2)	NPFC Document Rules
NPFC-2017- FAC01-WP09	Appointment of Auditor

INFORMATION PAPERS (IP)

Symbol	Title
NPFC-2017- FAC01-IP01	Staff Regulations Revision
NPFC-2017- FAC01-IP02	Auditor Report

ANNUAL REPORTS (AR) - NPFC Website

Symbol	Title
NPFC-2017-AR Canada	Annual Report of Canada to the North Pacific Fisheries Commission
NPFC-2017-AR China	China's Annual Report for 2016 to the Secretariat of the North Pacific Fisheries Commission
NPFC-2017-AR Japan (Rev. 1)	Japan's Annual Report for 2016 to the North Pacific Fisheries Commission
NPFC-2017-AR Korea	Republic of Korea Annual Report for 2016 to the North Pacific Fisheries Commission
NPFC-2017-AR Russia	Russia Annual Report for 2016 to the North Pacific Fisheries Commission
NPFC-2017-AR Chinese Taipei	Chinese Taipei's Annual Report for 2016 to the North Pacific Fisheries Commission
NPFC-2017-AR USA	2016 Annual Report of the United States of America to the North Pacific Fisheries Commission
NPFC-2017-AR-Annual Summary Footprint - Bottom Fisheries	2016 – Annual Summary Footprint For Bottom Fisheries In The North Pacific Fisheries Commission Area Of Competence
NPFC-2017-AR-Annual Summary Table - Pacific Saury	2016 – Annual Summary Footprint For Pacific Saury In The North Pacific Fisheries Commission Area Of Competence
NPFC-2017-AR-Annual Summary Table - Squid	2016 – Annual Summary Footprint For Squids In The North Pacific Fisheries Commission Area Of Competence
NPFC-2017-AR-Annual Summary Table - Mackerels	2016 – Annual Summary Footprint For Chub Mackerel and Spotted Mackerel In The North Pacific Fisheries Commission Area Of Competence

NGO and Others

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Establishment of a Special Projects Fund or Use of Article 24 of the NPFC Financial Regulations

INTRODUCTION:

The Scientific Committee has identified several special projects proposed to move the scientific component forward in its duties for stock assessments, joint scientific ventures with other RFMOs, development of VME identification guides for Members in 2017 and also for stock assessment review and training of at-sea observers in the following years. It is also expected that a similar situation will soon exist in the Technical and Compliance Committee with the development of the NPFC compliance program including for example: at-sea and port observer program, transshipment monitoring, implementation of a regional VMS, special training seminars for implementation of new international legal instruments and others. SC and TCC are looking at appropriate mechanisms to facilitate the implementation of these special projects.

Paragraphs 18,21 and 24 of the NPFC Financial Regulations note the financial set up and flow of funds for the Commission. Contributions and other income received by the Commission shall be placed in the General Fund. Any surplus funds at the end of each fiscal year of the Commission (1 April-31 March of the following year), shall be transferred to the Working Capital Fund, “*or designated for a specific purpose as determined by the Commission*”, (paragraph 18), or alternately *divided into special reserve funds as determined by the Commission (paragraph 21)*. Further, under paragraph 24, ‘The Commission may transfer amounts of the Working Capital Fund to the General Fund from time to time as it deems necessary in order to offset expenditures in any financial year or to finance unforeseen and extraordinary expenses.’

OBJECTIVE: To establish a mechanism to accommodate the *specific purpose* of addressing such special science and compliance initiatives as identified above or will be proposed in future, especially such costly non-recurring projects as the establishment of key tools for science, compliance and management, such as Database Management System or Observer Program.

SOURCE OF THE FUND AND MANAGEMENT

Monies for these special non-recurring initiatives can be addressed by the establishment of a Special Projects Fund under paragraph 18; the establishment of a focused special reserve fund under paragraph 21; or through a transfer of funds from the Working Capital Fund from time to time for identified special projects. The proposal was for the establishment of a Special Projects fund which would be funded from General Funds surplus to expenditures and the cap set for the Working Capital Fund.

Alternatively, the Commission could utilize Paragraph 21 of the financial regulations to establish a special reserve fund for Special Projects under the Working Capital Fund, with access to funds from the mother fund, Working Capital, or as noted above under paragraph 24 through a transfer from the Working Capital Fund on an event-based/individual special project approved by the Commission.

It is proposed that this ‘Special Project Fund’, funding mechanism to be identified by the Commission, would be considered and maintained as distinct financial and accounting entity. Therefore, a separate bank account in the name of the Commission shall be held and different sets of financial statements shall be prepared which are not included in the general account fund statements.

CRITERIA FOR ACCESS TO THE SPECIAL PROJECTS FUND:

1. In general, projects for management, science and compliance are expected to be addressed through the Commission under their sectoral budgets, however there may be required activities/projects that exceed these regular budget levels, in such case, they may be considered for funding from the Special Projects Fund based on the additional criteria noted below.
2. Similar to the *Special Purpose Fund* (paragraph 26), the ‘Special Projects Fund’ would be for non-recurring initiatives or the initial development and set up of key tools for management, science or compliance, such as: database development and set-up; observer program set up and initial training; regional VMS set up.
Note: Normal operational costs of such programs or other recurring programs are expected to be addressed through the regular budget of the Commission.
3. Projects noted in Item 1 for the Special Projects Fund are time limited to a two/three-year period.

SPECIAL PROJECT’S FORMAT:

Project proposal should address, as a minimum the following issues:

Part A. Administrative Summary	Part B. Project Proposal Description
1) Project Title 2) Organization 3) Administrative Contact 4) Project Lead and CV 5) Commencement and Completion Date 6) Project Budget Summary – Salaries, Travel, Operating and Other 7) Expected Outputs/Benefits to the Commission	1) Background and Need (also identify which point on the sectoral work plan [Management, Science, Compliance] the proposal will address) 2) Objectives 3) Expected Project Outputs 5) Risks of project not achieving its objectives 6) Methodology/Steps with milestones 7) Schedule of Milestones 8) Detailed costs against milestones 9) Other Related Projects 10) Project Staff and CV’s

PROJECT SUBMISSION:

Projects for the special projects fund must be submitted by SC, TCC and Management/FAC at least one month prior to the FAC meeting for preliminary assessment and endorsement to the Commission. In the case of TCC and Management/FAC initiatives, these must be addressed intersessionally prior to the annual TCC and FAC meetings to meet the timeline for consideration.

Processes for Sectoral Actions prior to submission to the FAC SWG-Special Projects, and actions post-approval by the Commission are addressed in a separate paper.

METHODOLOGY FOR EVALUATION OF PROPOSALS:

Principles:

1. A Special Working Group (SWG) – Special Projects be formed under the FAC with its purpose being to review, assess and endorse projects for funding from the Special Projects Fund to the Commission on an annual basis.
2. The SWG-Special Projects would be comprised of: Chair of FAC who would be *de facto* Chair of the SWG-Special projects; Executive Secretary; Chair of SC, Chair of TCC, one representative from each Member, and other staff of the Secretariat and Members as requested by the SWG Chair.
3. The SWG-Special Projects would only be permitted to allocate 80% of the total uncommitted funds in the Special Projects Fund each year, thus leaving 20% for future building of the Fund.

Actions of the SWG-Special Projects:

1. Annually, the SWG-Special Projects would set overall Commission priorities from the Secretariat and Sectoral Work Plans and identify the funding available for special projects funding.
2. The SWG-Special Projects would review submitted proposals and identify those that meet the criteria for evaluation.
3. The SWG-Special Projects would establish the projects to be endorsed according to the priorities established under Item 1.
4. The SWG-Special Projects Chair would note the available Special Projects funds and provide the list of endorsed projects by priority to the Commission for approval.

Secretariat Work Plan 2017

ABSTRACT

This paper addresses a work plan for 2017 fiscal year for six key areas based on the Secretariat's Work Plan 2016-2019 presented at the last Commission meeting*;

- a. Coordination of scientific activities of the Commission;
- b. Coordination of compliance activities and operational reporting to the Commission;
- c. Data management;
- d. Development and implementation of guidelines for financial matters to support the Secretariat and Commission in the execution of its duties;
- e. Provision of administrative services to, and representation of the Commission and its subsidiary bodies;
- f. Management of human resources.

* It should be noted that the Secretariat work planning exercise is hampered by the timing of the subsidiary meetings. Only the Scientific Committee has met and endorsed its work plan for 2017. The Finance and Administration Committee has not met so only reports and proposed budgets can be presented at this time. The Technical and Compliance Committee has just met so its work plan for 2017 cannot be detailed and proposals for Compliance are therefore tentative at best, and require further refinement by TCC.

DETAILS:

The function of the NPFC Secretariat is the provision of services to, and representation of the Commission as determined by its Members in accordance with the Convention and relevant rules and regulations. As identified by the Secretariat and shared with Members, six key areas highlighted below provide the Secretariat and the Commission guidance with regard to the second year of the Commission's activities.

I. Coordination of scientific activities of the Commission

The Secretariat coordinates the scientific activities of the Commission including:

- a. Scientific Committee, in cooperation with Small Scientific Committees, drafted Five-Year Work Plan for each Priority Area:
 - Stock assessments for target fisheries and bycatch species
 - An ecosystem and adaptive management approach to fisheries
 - Data collection, management and security (refer to Annex G of the 2nd SC Report for details)
- b. Organizing VME Workshop co-sponsored by FAO-ABNJ project to be held in early 2018 in Japan.
- c. Assisting Members to compile a field VME identification guide including coordination of the meeting to be held in Korea/Japan.
- d. Conducting intersessional work to develop templates for data collection and reporting by observers and fishers through a Corresponding Group nominated at the SC meeting.
- e. Assisting Members to develop a GIS database for the spatial management of bottom fisheries and VMEs.
- f. Forming a corresponding group to develop data reporting templates for bottom fisheries.
- g. Assisting a Technical Working Group on Chub Mackerel (TWG CM) for the purpose of

- stock assessment with a draft work plan and terms of reference to be determined.
- h. Contributing to work of a corresponding group to develop the North Pacific Ocean Fisheries Observer Program, noting that according to the Convention the program shall address both compliance and science data gathering, analyses and results. The first step is to gather current scientific data formats in use by Members to enable the group to then establish a standardized protocol and data collection templates. Subsequent steps for compliance, for training, etc. will also be considered by this group.
 - i. Coordinating scientific projects to be conducted during 2017.

#	Project	Time	Rough estimation of required funds
1	VME identification guide (printing)	2017	1.2 mil JPY (9,500 USD)
2	TWG PSSA meeting (meeting costs)	Every year from 2017-2021	2.5 mil JPY (20,000 USD)
3	Chub mackerel meeting (meeting costs)	Every year TBD by the Commission	2.5 mil JPY (20,000 USD)
4	VME workshop (SAI + data)	2018	1.2 mil JPY (about 10,000 USD) and also supported by ABNJ project, FAO

II. Coordination of compliance activities of the Commission

* Note that compliance priorities have not yet been fully established by TCC consequently the list of Secretariat-intended activities in this sector is only tentative.

The Secretariat coordinates compliance activities of the Commission including:

- a. Development of a new compliance compendium including TORs for the TCC, the Compliance Framework and the CMMs in accordance with the framework as key steps in the development of a compliance monitoring scheme (CMS). Funds for this exercise are to be for a Small Working Group (SWG) of fisheries compliance specialists to develop this compendium;
- b. Update the vessel registration, develop vessel marking and the online registry system. Again, this SWG will assist in developing the standards and funds are required for training on the on-line registry implementation.
- c. When the agreement is reached for development of a regional VMS, TORs for a tender shall be developed, tender let and the results of the initial study will assist the successful service provider. Funds will be required for the development of the TORs for the tender (SWG again), establishment of the NPFC FMC and final training of the new VMS operator at NPFC;
- d. On approval of the high seas boarding and inspection measure, the SWG shall be required to develop standard procedures and reports and funds shall be required for this development as well as support for training of Member's officers designated for NPFC compliance operations.
- e. Review of existing CMMs for revision and consideration of new CMMs, if any, from Members;
- f. Maintain the vessel register and interim non-member carrier vessel register for Members, with the intent to move to *a system for direct entry of vessel data* by Members in 2017.
- g. Coordinate the IUU vessel listing process from data submitted by Members.

III. Data management

The data management system is the core for the storage of data and the analyses of scientific and compliance operations of the Commission, consequently, significant effort is being placed on the initial development and setup of this system.

The intent of the NPFC Database is to: provide a secure, user-friendly, accessible, and reliable database for all scientific and compliance needs of the Commission, one that is fully integrated with other data modules of the Commission so as to continually support Members' efforts to provide appropriate and timely management advice to the Commission.

- a. The Secretariat is conducting a consultancy (March – October 2017) initiated through the official NPFC tender process to establish an NPFC Data Management System;
 - The consultancy intends to develop the business plan for the North Pacific Fisheries Commission; and to develop the supporting database including such modules as: i. the Vessel Registry module; ii. data warehousing business intelligence to aggregate data and create summary reports/analyses for both scientific and compliance purposes; iii. link to VMS; iv. Chart of Accounts for assessment of Member's compliance with conservation and management measures for the Members' reporting requirements; v. scientific information analyses, e.g., dimension analyses, e.g., scope analysis of one Member, fleet, species by set period and area.
- b. Drafted the NPFC Information Security Guidelines to discuss the security guidelines for NPFC data sharing and publication.

IV. Financial matters to support the Secretariat and Commission in the execution of its duties

Securing funds for the Commission's activities and implementation of approved activities through formal and internationally recognized financial mechanisms is one of the areas for the Secretariat to assist Members and the Commission to achieve objectives of the Convention.

Given that the Commission is entering its second year of operation, there is still an urgent need for initial investment by Members for its establishment and to address the challenges commonly faced by RFMOs during development. Following the Secretariat's work plan 2016-2019, the Secretariat highlights the following as major financial activities for 2017:

- a. Development of two options for a four-year budget plan 2017-2020 as requested by the Commission to accommodate the contributions of two new Members, USA and Vanuatu, for approval at the 3rd Commission meeting;
 - Adjustment of the 2017 budget expenditures based on actual expenditures during 2016, and development of a proposed 2018 budget and budget forecast for 2019 and 2020;
- b. Drafting of a Fixed Yen-based Staff salary for Member's consideration at the Commission meeting;
- c. Submission of the external Auditor's report for 2016 Commission's financial affairs;
- d. Proposal to establish a Special Projects Fund for the specific purpose of addressing such special science and compliance initiatives;
- e. Revised Staff Regulations to accommodate the Commission's decision to support professional staff members for their accommodation and education of their dependents.

V. Provision of administrative services to the Commission and its subsidiary bodies

1. Host Commission meetings

The Secretariat assists Members to host Commission meetings, subsidiary body meetings and workshops and working group meetings.

- a. Scientific Meetings (17-27 April 2017, Shanghai, China)
- b. Annual Meetings (10-15 July 2017, Sapporo, Japan)

- 2nd Technical and Compliance Committee (TCC), 10-12 (noon) July 2017
- 1st Finance and Administration Committee (FAC), 12 July 2017 (1300-1800 hrs)
- 3rd Annual Session of the Commission, 13-15 July 2017
- c. Workshops and Technical Working Group meetings
 - Chub mackerel and PSSA Workshops (December 2017, Russia)
 - VME Workshop (March 2018, Japan)
- d. Compliance SWGs/Workshops as noted above.

2. Build and maintain the NPFC Website

The Secretariat opened a new website recently under the npfc.int domain name and it is now up and running – www.npfc.int.

- a. Data from the former website has been downloaded and stored for future reference. The new webpage is interactive with a new vessel registry, interim non-Member carrier vessel registry, IUU vessel listing capacity; key documents listing; online meeting registration, and all meeting documents from past meetings.
- b. There is a public page with only selected information available and a Member's page with complete information.
- c. Official observers are also limited in their access to non-sensitive meeting documents.

3. Cooperation with other organizations

The Secretariat currently liaises with other organizations including RFMOs by attending meetings for information sharing and for developing other joint or reciprocal activities of mutual interest. In 2017, the meetings attended and scheduled to be represented by Secretariat staff are as follows:

- a. 25th Annual meeting of the North Pacific Anadromous Fish Commission (16-20 May, Canada)
- b. The Ocean Conference: SDG14 (5-9 June, USA)
- c. Annual Meeting of PICES (22 September – 1 October, Russia)
- d. FAO workshop on potential impacts of climate change on deep-sea ecosystems and the implications for the management of deep sea fisheries (26-27 August 2017, Woods Hole, USA) – travel cost will be covered by FAO.
- e. Further representation will be determined at TCC, FAC and the Commission Meetings

Besides attendance at the meetings, there are areas for cooperation with other organizations, which require further consideration and input from the Commission:

- a. Joint multinational research survey in the North Pacific scheduled during early 2019 under the International Year of Salmon (IYS) project of NPAFC to collect new data on North Pacific Armorhead and other species of NPFC's interests; NPFC's representative will attend the IYS workshop (26-27 May 2018, Khabarovsk, Russia) to discuss possible participation of NPFC in the multinational survey in the North Pacific
- b. Co-sponsorship or supporting organization was requested by PICES for International Symposium on Understanding Changes in Transitional Areas of the Pacific (La Paz, Mexico, 24-26 April 2018) and the 4th International Symposium on the Effect of Climate Change on the World's Oceans (Washington DC, USA June 4-8, 2018)
- c. Establishing a joint NPFC-PICES working group based on the recommendation of the 2nd Scientific Committee to identify potential areas of cooperation between the two organizations and inviting PICES to support NPFC's VME workshop

- d. Cooperation for compliance purposes to be determined by TCC and the Commission, e.g., NPAFC for air surveillance, etc.

4. Enhance public awareness

The Secretariat enhances public awareness through various means;

- a. Update NPFC brochures for display at the Secretariat office for visitors
- b. Maintain and update official website to provide the public information on Commission's activities
- c. Give lectures and seminars relevant to NPFC works upon request from local government or universities
- d. 1st NPFC Yearbook published.

V. Management of human resources

Management of human resources intends to maximize employee performance while considering the best economic use of the resources of the Commission. According to the Secretariat's Work Plan and Commission's decision, the Secretariat coordinated the following:

- a. Recruitment of a Data Coordinator to manage data systems, and ancillary services, e.g., webpage, etc., for a four-year term commencing on 1 April 2017;
- b. Conducted annual performance reviews of the Secretariat staff for 2016 fiscal year: staff performance review by Executive Secretary, a performance review of the Executive Secretary by the Commission. A summary of the performance reviews will be provided to the Commission;
- c. Used contractual services for interim period before hiring regular staff members in urgent areas of tasking such as managing NPFC webpage and data system development and oversight, and finance administration: one IT Specialist and one Finance specialist; and
- d. Is accepting experts and interns from Members for up to a one-year, or six-month period respectively, through advertisement and selection guidelines set by the Commission, after consideration and approval by Commission.

Attachment:

Timeline for Commission's activities and budget estimate in 2017

Activity	2017 fiscal year												Budget (JPY)
	2017 Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	2018 Jan	Feb	Mar	
Science													12.8 mil
Compliance													9 mil
Data													
Finance													
meetings	SC			COM						Chub, VME, PSSA			7.5 mil
Website													1.3 mil
Cooperation		NPAFC	UN/SDS			PICES							2 mil+*
Public													1 mil
Human													15.8 mil

* meetings decided by the Commission

NPFC expenses in the fiscal years 2017 and 2018

Items	Year 2017	Year 2018
	Cost (JPY)	Cost (JPY)
1. PERSONNEL COSTS		
1.1-1.6 Staff Remuneration	52,970,117	60,777,221
1.7 Temporary Services	621,800	621,800
1.8 (a) Social Security & Insurance	11,565,480	11,565,480
1.8 (b) Pension Costs		
1.8 (C) Tax Reimbursement	5,500,000	-
1.9 Overtime	621,800	746,160
1.10 (a) Staff Allowances - Home Leave	746,160	300,000
1.10 (b) Staff Allowances – Relocation	-	-
1.10 (C) Staff Allowances – Repatriation	-	-
1.10 (d) Staff Allowances - Accommodation Subsidy	7,461,600	7,461,600
1.11 Professional Development / Training	1,492,320	1,641,552
1.12 Education Fee	4,974,400	5,223,120
1.13 Separation Allowances	-	-
2. OTHER SERVICE COSTS		
2.1 Office Equipment & Furniture	2,487,200	2,487,200
2.2 Office Supplies	2,487,200	2,735,920
2.3 Rentals	-	-
2.4 Communications	2,487,200	2,487,200
2.5 Printing	1,243,600	1,243,600
2.6 Duty Travel	6,218,000	6,839,800
2.7 Auditing	746,160	746,160
2.8 Contractual Services	15,800,000	13,369,000
2.9 Database Management	9,026,000	9,026,000
2.10 MCS Costs		
2.11 Meeting Costs & Workshops	7,461,600	7,461,600
2.12 Science Support	12,787,000	12,787,000
2.13 Staff Recruitment & Hiring	248,720	-
2.14 To / From Special Project Fund	-6,927,678	8,206,782
2.15 Representation Expenses	248,720	248,720
2.16 Miscellaneous	1,294,880	1,295,488
TOTAL - (A)	141,562,279	157,271,403
Working Capital Fund (cumulative)	44,716,124	44,716,124
- Special Project Fund (cumulative)	11,565,050	19,771,832

Table of Member Contributions, revised 2017 (JPY)

Member/Rule	a)	b)	c)	Fixed Contribution	Total	%
Canada	4,948,700	3,122	2,532,413		7,484,236	5
China	4,948,700	23,016,263	477,088		28,442,051	20
Korea	4,948,700	2,221,813	1,583,434		8,753,947	6
Russia	4,948,700	690,323	556,206		6,195,229	4
Chinese Taipei	4,948,700	27,966,480	1,306,118		34,221,299	24
USA	4,948,700	0	3,281,648		8,230,348	6
Vanuatu	4,948,700	537,700	160,493		5,646,892	4
Japan				44,000,000	44,000,000	31
Sub-Total	34,640,901	54,435,701	9,897,400	44,000,000	142,974,002	100
Vanuatu - 9 months:				5,646,892x9/12 :	4,235,169	
Total (including 9-month Vanuatu contribution)					141,562,279	

Table of Member Contributions, 2018 (JPY)

Member/Rule	a)	b)	c)	Fixed Contribution	Total	%
Canada	5,663,570	3,719	2,898,236		8,565,525	5
China	5,663,570	32,139,220	546,007		38,348,797	24
Korea	5,663,570	1,710,896	1,812,171		9,186,637	6
Russia	5,663,570	799,201	636,553		7,099,325	5
Chinese Taipei	5,663,570	26,815,375	1,494,795		33,973,741	22
USA	5,663,570	0	3,755,702		9,419,272	6
Vanuatu	5,663,570	830,860	183,677		6,678,107	4
Japan				44,000,000	44,000,000	28
Total	39,644,991	62,299,272	11,327,140	44,000,000	157,271,403	100

NORTH PACIFIC FISHERIES COMMISSION STAFF REGULATIONS

REGULATION 1

- 1.1 These Staff Regulations establish the fundamental principles of employment, regulate the working relationships and establish the rights and responsibilities of formally appointed employees who render their services in and receive remuneration from the Secretariat of the North Pacific Fisheries Commission (hereinafter called the "Commission"). These regulations do not apply to persons in Regulation 11.2.

REGULATION 2 DUTIES, OBLIGATIONS AND PRIVILEGES

- 2.1 The Executive Secretary and staff members of the Secretariat (hereinafter "staff members") are international civil servants. Upon accepting their appointments, they pledge themselves to discharge their duties faithfully and to conduct themselves in the best interests of the Commission.
- 2.2 For the purposes of these regulations the term "dependent" shall include only:
- (a) the employee's spouse or domestic partner (hereinafter referred to as "spouse");
 - (b) any unsalaried child, who is born of, or adopted by, a staff member, his or her spouse, or their children, who is below the age of eighteen years and who is dependent on a staff member or his or her spouse for main and continuing support;
 - (c) any child fulfilling the conditions laid down in paragraph (a) above, but who is between eighteen and twenty-five years of age and is receiving school or university education or vocational training;
 - (d) any child with a disability who is dependent on a staff member or his or her spouse for main and continuing support;
 - (e) any other child who is given a home by and is dependent on a staff member or his or her spouse for main and continuing support;
 - (f) any person related by blood or marriage for whose main and continuing support a staff member or his or her spouse is legally responsible.
- 2.3 Staff members shall at all times conduct themselves in a manner in keeping with the international nature of the Commission. They shall always exercise the loyalty, discretion and tact imposed on them by their international responsibilities in the performance of their duties. They shall avoid all actions, statements or public activities which might potentially be detrimental to the Commission and its aims.
- 2.4 Staff members shall not be the subject of discrimination on the basis of age, race, color, creed, gender, sexual orientation, disability or national origin.
- 2.5 In the performance of their duties, staff members shall neither seek nor accept instructions from any government or authority other than the Executive Secretary. In the case of the Executive Secretary, he or she shall neither seek nor accept instructions from any government or authority other than the Commission.
- 2.6 Staff members shall observe maximum discretion regarding official matters and shall abstain from making private use of information they possess by reason of their position.

Authorization for the release of information for official purposes shall lie with the Commission or the Executive Secretary, as the case may require.

- 2.7 Staff members shall, in general, have no employment other than with the Commission. In special cases, staff members may accept other employment, provided that it does not interfere or represent a conflict of interest with their duties in the Commission, and that prior authorization by the Executive Secretary has been obtained. The Commission's prior authorization shall be obtained in respect of the Executive Secretary.
- 2.8 No staff member may be associated in the management of a business, industry or other enterprise, or have a financial interest therein if, as a result of the official position held in the Secretariat, he or she may benefit from such association or interest.
- 2.9 Staff members shall enjoy the privileges and immunities to which they are entitled under the AGREEMENT BETWEEN THE GOVERNMENT OF JAPAN AND THE NORTH PACIFIC FISHERIES COMMISSION REGARDING PRIVILEGES AND IMMUNITIES OF THE NORTH PACIFIC FISHERIES COMMISSION, and such other privileges and immunities as may be decided.
- 2.10 The Commission shall sit as a body to hear grievances from staff members regarding human resource related matters, where other less formal attempts at resolution have not met with success. For staff members' grievances, the Commission may instruct the Executive Secretary to undertake other actions where the Commission deems that a grievance hearing is not appropriate. The Commission's decision is final and not subject to appeal.

REGULATION 3 HOURS OF WORK

- 3.1 The normal working day shall be eight hours, Monday through Friday, for a total of forty hours per week.
- 3.2 The Executive Secretary shall establish the working hours and may, in consultation with staff members, alter them for the benefit of the Commission as circumstances may require.

REGULATION 4 CLASSIFICATION OF STAFF

- 4.1 Staff members shall be classified in either of the two following categories:
 - (a) Professional Category (Positions of high responsibility of a managerial, professional, or scientific nature)
These posts will be filled by appropriately qualified professionals, preferably with University qualifications or the equivalent. Staff members in this category will be recruited internationally.
 - (b) General Services Category (Auxiliary administrative and technical positions. Clerical, secretarial and other office personnel)
Such staff shall be recruited from among citizens of members of the Commission, taking into account potential benefits that may occur from hiring staff locally.
- 4.2 Persons employed under Regulation 11 shall not be classified as staff members.

REGULATION 5
SALARIES AND OTHER REMUNERATION

- 5.1 The scale of salaries for staff members in the professional category shall be established by the Commission, taking into account the scales of salaries which would apply to officials of the United Nations Secretariat employed in Japan as well as the salaries of government officials working in Japan. Such salaries shall be paid in Japanese Yen.
- 5.2 Staff members in the general services category shall, in principle, be paid at rates equivalent to those paid in Japan for staff of equivalent qualifications and experience.
- 5.3 Performance reviews shall be completed for all staff members by the Executive Secretary on an annual basis. A summary of the performance reviews will be provided to the Commission annually. The annual performance review of the Executive Secretary shall be completed by the Commission.
- 5.4 The salaries of staff members shall be reviewed annually by the Commission taking into account the cost of living in the host country and the performance of each staff member concerned, based on an annual performance review.
- 5.5 Staff members of the Commission subject to national income tax shall be eligible for reimbursement of the tax paid on his or her salary. Such arrangements shall be made only on the basis that the direct costs of reimbursement are paid by the staff member's home country.
- 5.6 Staff members in the professional category are not entitled to overtime pay or compensatory leave.
- 5.7 Staff members in the general services category required by the Executive Secretary to work more than 40 hours during one week will be compensated. The method of compensation will be determined by the Executive Secretary in consultation with the staff member and shall include one of the following options:
 - (a) with compensatory leave equivalent to hours of overtime performed; or
 - (b) by remuneration per overtime hour, to be estimated at the rate of time and a half, or if the additional time is worked on a Sunday, or on holidays listed in Regulation 7.14, at the rate of double time.
- 5.8 The Commission shall pay duly justified and authorized representation expenses incurred by the Executive Secretary in the performance of his or her duties within the limits prescribed annually in the Budget.
- 5.9 Professional staff renting an apartment or house are eligible to receive an accommodation allowance. The allowance is based on the actual contracts and set at a maximum of 240,000 JPY per month. The Commission shall reimburse 75% of actual expenses within the cap set above. The accommodation allowance shall be reviewed every three (3) years and adjusted on relative movement in the local rental market.
- 5.10 A professional staff member is eligible to receive an education allowance, based on actual contracts, for each dependent child, determined by Regulation 2.2, b-e, in full-time attendance at school, university or similar higher educational institution in or outside a country of the staff member's duty station. The education allowance shall include costs of registration, tuition, education, boarding and ancillary fees related to student enrollment. The education allowance entitlement for a staff member is a maximum of 2,000,000 JPY

per annum per dependent child. The Commission shall reimburse 75% of actual expenses within the cap set above. The education allowance shall be reviewed every three (3) years. Each employee's entitlement under the education allowance is defined as the sum of the entitlements up to three of the employee's dependent children. Education allowances are not payable:

- a) in respect of children of staff members serving in their home country;
- b) for correspondence courses;
- c) when schooling does not require regular attendance at an education institution;
- d) for secondary dependents defined as parents, cousins, brothers or sisters of the staff member or his spouse;
- e) for attendance at kindergarten or nursery school at the preparatory level;
- f) for private tuition, except tuition in a language of the home country at duty stations where satisfactory school facilities for learning that language are not available;
- g) if education allowance is already covered by benefits of staff member's spouse.

REGULATION 6 RECRUITMENT AND APPOINTMENT

- 6.1 In accordance with Article 5.9 of the Convention on the Conservation and Management of High Seas Fisheries Resources in the North Pacific Ocean (hereinafter called the "Convention"), the Commission shall appoint the Executive Secretary and shall establish his or her remuneration and such other entitlements as it deems appropriate.
- 6.2 In accordance with Rule 6.2 and 6.4 of the Rules of Procedure of the Commission, the Executive Secretary shall appoint, direct, and supervise staff. The paramount consideration in the appointment, transfer or promotion of the staff shall be the necessity for securing the highest standards of efficiency, competence and integrity.
- 6.3 Offers of appointment to the Secretariat may require the persons selected to undergo a medical examination and present a certificate stating that they have no medical condition that might prevent them from performing their duties.
- 6.4 Upon selection, each prospective staff member shall receive an offer of appointment stating:
 - (a) that the appointment is subject to the staff regulations applicable to the category of appointment in question, and to changes which may be duly made in such regulations from time to time;
 - (b) the nature of the appointment;
 - (c) the date on which the staff member is required to commence duty;
 - (d) the period of appointment, the notice required to terminate it and the period of probation;
 - (e) the category, level, commencing rate of salary and the scale of increments and the maximum salary attainable;
 - (f) any special terms and conditions which may be applicable.
- 6.5 Together with the offer of appointment, staff members shall be provided with a copy of these Regulations. Upon acceptance of the offer staff members shall state in writing that they are familiar with and accept the conditions set out in these Regulations.

REGULATION 7 LEAVE

- 7.1 Staff members shall be entitled to annual leave at the rate of two and half workdays for each full month of service. Annual leave is cumulative, but at the end of each calendar year, not more than 30 workdays may be carried over to the following year.
- 7.2 The taking of leave shall not cause undue disruption to normal Secretariat operations. In accordance with this principle, leave dates shall be subject to the needs of the Commission. Leave dates shall be approved by the Executive Secretary who shall, as far as possible, bear in mind the personal circumstances, needs and preferences of staff members.
- 7.3 Annual leave may be taken in one or more periods. The total amount of annual leave taken in any calendar year shall not be longer than 45 days under any circumstances.
- 7.4 Any absence not approved within the terms of these Regulations shall be deducted from annual leave.
- 7.5 Staff members who, upon termination of their appointment, have accumulated annual leave that has not been taken shall receive the cash equivalent estimated on the basis of the last salary received.
- 7.6 Staff members shall be entitled to sick leave at the rate of one and one quarter days for each full month for service. Sick leave is cumulative and may be accrued without limit. Accrued sick leave is not subject to payment upon termination or separation from employment.
- 7.7 Staff members shall not be granted sick leave for a period of more than 3 consecutive days without producing a medical certificate.
- 7.8 Staff members shall be granted certified sick leave not exceeding 12 months in any 4 consecutive years. The first 6 months shall be on full salary and the second 6 months on half salary, except that no more than 4 months on full salary shall normally be granted in any period of 12 consecutive months.
- 7.9 Sick leave may also be used to care for a staff member's spouse, child or parent with a serious health condition.
- 7.10 Staff members shall be entitled up to twelve weeks of family leave per calendar year for (a) the birth of a child and to care for the newborn child within one year of birth; or (b) the placement with the employee of a child for adoption or foster care and to care for the newly placed child within one year of placement. During this period staff members shall receive full pay.
- 7.11 Staff members shall be entitled to bereavement leave of up to five days upon the death of an immediate family member and up to three days for a relative other than an immediate family member. Reasonable travel time to and from destination will not be counted under these limits.
- 7.12 After 18 months of service the Commission shall, in accordance with Regulations 9.3 and 9.4, pay travel expenses to the staff member's home country on annual leave for internationally recruited staff members and their dependents. Following this, home leave shall be granted at two-year intervals provided that:
 - (a) dependents who benefit from this Commission grant have resided in Japan for at least 6 months prior to travel;
 - (b) it is expected that staff members will return to the Secretariat to continue rendering

their services for a minimum additional period of 6 months.

- 7.13 The possibility of combining travel to home country on leave with official travel in Commission service may also be considered, provided the interests of the Commission are duly borne in mind.
- 7.14 Staff members shall be entitled to the statutory holidays in Japan, i.e.: (Annex: List of Holidays), and other holidays that may be designated by the Government of Japan from time to time, such as for national elections and other special circumstances.
- 7.15 If under special circumstances staff members are required to work on one of the aforementioned days the holiday shall be observed on another day to be set by the Executive Secretary, who shall take into account the needs of the Commission.

REGULATION 8 SOCIAL SECURITY

- 8.1 It is a condition of employment that each staff member will contribute to a recognized retirement fund and have adequate medical, hospital, life and disability insurance cover to the satisfaction of the Executive Secretary. Such insurance cover shall include adequate provision for dependents. The Commission shall pay two-thirds of the total contribution to the retirement fund and of the insurance premiums, up to the maximum percentage applying in the United Nations Secretariat from time to time of the total of the staff member's salary. Such payment shall be by way of reimbursement upon the production of receipts, or shall be paid direct together with the employee's contribution.
- 8.2 In the event of death of a staff member following illness or surgery not resulting from an accident covered by the appropriate insurance, the right to salary and other corresponding benefits shall cease on the day on which death occurs, unless the deceased leaves dependents, in which case these shall be entitled to mortality allowances and return travel and removal expenses to country of origin or former residence at the expense of the Commission.
- 8.3 Eligibility of the dependents of a deceased staff member for the payment of return travel and removal expenses shall lapse if the travel is not undertaken within six months of the date of the staff member's death. The Executive Secretary may extend this period in the case of special circumstances: e.g., to allow a dependent child to finish a school term.
- 8.4 The above mortality allowance for death shall be calculated in accordance with the following scale:
- | Years of Service | Months of Net Base Pay Salary Following Death |
|---|---|
| Less than 3 years | 3 months |
| 3 years and more, but less than 7 years | 4 months |
| 7 years and more, but less than 9 years | 5 months |
| 9 years and more | 6 months |
- 8.5 The Commission shall pay for shipment of the staff member's remains and personal effects from the place of death to the place designated by the spouse, next of kin, or other individual(s) designated by the staff member.

REGULATION 9

TRAVEL

- 9.1 All official travel shall be authorized by the Executive Secretary in advance within the limits of the budget, and the itinerary and travelling conditions shall be those best suited for maximum effectiveness in the fulfillment of duties assigned.
- 9.2 With regard to official travel, a travel allowance, generally consistent with United Nations practice, may be paid in advance for fares and daily living expenses. However, charges for hotel accommodations shall be paid based on charges actually incurred.
- 9.3 Official travel should be planned well in advance to avoid incurring higher costs for airfares and other travel related cost.
- 9.4 Whenever feasible, economy class travel shall be used for all travel.
- 9.5 Following completion of a duty journey, staff members shall repay any travel allowances to which, in the event, they were not entitled. Where staff members have incurred expenses above and beyond those for which travel allowances have been paid, they shall be reimbursed, against receipts and vouchers, as long as such expenses were necessarily incurred in pursuit of their official duties.
- 9.6 On taking up an appointment in the Professional Category staff members shall be eligible for:
 - (a) payment of economy class air fares (or equivalent) and travel allowance for themselves, their spouses and dependents from their place of residence to Japan;
 - (b) an Installation Grant calculated on the basis of the prevailing United Nations rate;
 - (c) payment of removal costs, including the shipment of personal effects and household goods from place of residence to Japan, subject to a maximum volume of 30 cubic meters or one international standard shipping container,
 - (d) payment or reimbursement of sundry other expenses related to relocation, including insurance of goods in transit and excess baggage charges subject to the prevailing relevant United Nations rules. Such payments shall be subject to prior approval by the Executive Secretary.
- 9.7 Staff members who, in the course of their duty, are required to use private motor vehicles for official travel purposes shall, with the prior authorization of the Executive Secretary, be entitled to receive a reimbursement of the costs involved in line with that available to members of the Government Service in Japan. The costs associated with normal daily travel to and from place of work shall not be reimbursed.

REGULATION 10 SEPARATION FROM SERVICE

- 10.1 Staff members may resign at any time upon giving three months' notice or such lesser period as may be approved by the Executive Secretary or the Commission, as the case may require.
- 10.2 The Executive Secretary may terminate the appointment of a staff member by giving three (3) months written notice, when that termination is due to restructuring of the Commission

or of any of its constituent bodies, or if the Commission would decide to cease its functions. If at any time the Executive Secretary considers that a staff member does not give satisfactory service or fails to comply with the duties and obligations set out in these Rules, the staff member will receive a formal written warning. If the performance does not improve or the employee continues to fail to comply with the duties and obligations set out in the rules, the staff member will receive a second formal written warning and if necessary, other disciplinary action (e.g. suspension, demotion) may follow. If after the second formal written warning the staff member's performance does not improve to a satisfactory standard, the appointment of the staff member may be terminated upon written notice of one (1) month in advance subject to the prior notification of the Chair of the Commission.

- 10.3 In the event of involuntary separation from service with the Secretariat, staff members shall be compensated at a rate of two weeks base pay for each year of service, beginning the second year, unless the cause of termination has been gross dereliction of duties imposed in Regulation 2.
- 10.4 On separation from service, a staff member shall, subject to Regulation 10.5 below, be entitled to the following:
- (a) payment of economy class air fares (or equivalent) to the staff member's country of origin or former residence, for the staff member and dependent members of his or her family;
 - (b) payment of removal costs, including the shipment of personal effects and household goods from place of residence in Japan to the country of origin or former residence, subject to a maximum volume of 30 cubic meters or one international shipping container;
 - (c) a repatriation allowance generally consistent with United Nations' practice.
- 10.5 At the discretion of the Executive Secretary, the right to the repatriation expenses provided for in Regulation 10.4 may be cancelled or reduced appropriately if:
- (a) the staff member fails to provide the three months advance notice as specified in paragraph 10.1;
 - (b) less than one year has elapsed between the date of taking up the appointment and the date of separation from service;
 - (c) the reason for separation from service was termination of employment due to gross dereliction of duty;
 - (d) more than six months has elapsed between the staff member's separation from service and his or her return to his or her country of origin or former residence;
 - (e) less than six months has elapsed since the staff member last visited his or her country of origin or former residence on home leave at the expense of the Commission; or
 - (f) the staff member has applied for or received status as a permanent resident of Japan.
- 10.6 In the case of serious misconduct by a staff member that threatens the Commission's operations or the reputation of the Commission or its members (for example, a criminal offense such as theft, intentional breach of confidentiality etc.), appointment of the staff member may be terminated without prior warning.

REGULATION 11 TEMPORARY PERSONNEL UNDER CONTRACT

- 11.1 The Executive Secretary may contract temporary personnel necessary to discharge special duties in the service of the Commission. Such personnel shall be classified as additional help and may be paid on an hourly basis.
- 11.2 Persons in this category may include translators, interpreters, typists, and other persons contracted for meetings, as well as those whom the Executive Secretary contracts for a specific task. Whenever possible, persons resident in Japan shall be utilized in such cases.

REGULATION 12
APPLICATION AND AMENDMENT OF REGULATIONS

- 12.1 Any doubts or disputes arising from application or interpretation of these Regulations shall be resolved by the Executive Secretary in consultation with the members of the Commission.
- 12.2 Situations involving the Executive Secretary shall resolved by the Chair in consultation with members of the Commission.
- 12.3 Matters not foreseen in these Staff Regulations that materially affect the operation of the Secretariat or the working conditions of the staff shall be brought to the attention of the Commission by the Executive Secretary.
- 12.4 Subject to the provisions of the Convention, these Regulations may be amended by the Commission in accordance with its Rules of Procedure.

Guidelines Outlining the Process for Submission, Review, Approval and Implementation of Projects to Finalize the Commission Work Program and Budget

The following Guidelines outline the process for submission, review, approval and implementation of projects based on similar guidelines of the WCPFC. It includes five steps: (1) review and prioritization of the submitted projects by an appropriate Committee, (2) endorsement to and approval by the Commission, (3) call for expressions of interest for approved projects and receiving proposals where appropriate, (4) evaluation of proposals and signing of contracts with successful bidders, and (5) monitoring review and reporting on project implementation.

Table 1. Schedule outlining the process for submission, review, approval and implementation of projects to be supported by the NPFC budget

Time	Task/Activity	Responsibility
Committee's meeting (SC in spring, TCC in summer)	<ol style="list-style-type: none"> 1. Update Committee's work program including projects* submitted by Members or subsidiary bodies 2. Review and re-prioritize projects (i.e. High, Medium, Low) 3. Source of funds (Committee's fund or Special Project Fund (SPF)) 	Informal Small Group compiles the projects, prioritize them and makes recommendations to Committee for consideration and adoption
FAC and Commission meetings (summer)	FAC reviews SC and TCC recommendations and prioritize projects suggested to be funded by SPF. Commission reviews and approves FAC recommendations.	FAC Commission
After Commission meeting (summer)	Call for expressions of interest for priority projects posted on NPFC website** Requirements for proposals are listed in Table 3.	Secretariat
October	Deadline for receipt of proposals by Secretariat	Proposer
November	Review and appraisal (and modification, if required) of proposals and identification of projects for funding support using agreed proposal assessment criteria in Table 2	Secretariat and Chair, if appropriate
	Signing project contracts	Secretariat
Committee's meeting (SC in spring, TCC in summer)	Reports on the status of projects approved the previous year(s), and for new projects: <ol style="list-style-type: none"> 1. Update Committee's work program including projects* submitted by Members or subsidiary bodies 2. Review and re-prioritize projects (i.e. High, Medium, Low) 3. Source of funds (Committee's fund or Special Project Fund (SPF)) 	Informal Small Group compiles the projects, prioritize them and makes recommendations to Committee for consideration and adoption
FAC and Commission meetings (summer)	FAC reviews SC and TCC recommendations and prioritize projects suggested to be funded by SPF. Commission reviews and approves FAC recommendations.	FAC Commission

* Project submission shall include Project title, Description, Objective, Tasks/TOR, Expected outputs, Timelines, Rough estimation of costs, History/Background.

** There is the option of posting the recommended projects on the website after completion of the Committee's meeting in order to provide more time for consideration by organizations which may submit a proposal. The approved budget for supporting proposals would not be known until after the Commission meets in summer.

Table 2. Proposal assessment criteria

Assessment Criteria	Score (1-5)	Justification for score
Attractiveness		
Is the proposal aligned with a priority project listed in the Commission’s or Committee’s Work Programs and the budget allocated to it?		
Is the need and are the planned outputs/benefits well-defined and relevant?		
Adoption and uptake. What is the level of impact and likelihood that the project outputs will be adopted? Is the pathway for uptake described?		
Cost effectiveness: Is the project cost effective? Is it using other sources to lever additional funds?		
Is there an appropriate level of collaboration between the applicant and other relevant researchers, fisheries managers and the fishing industry?		
Feasibility		
Are the objectives clearly specified and are they consistent with the planned project outputs/benefits?		
Sound methodology: Is the project design/method well described and is it consistent with the projects objectives?		
Likelihood of success: Are the project objectives likely to be achieved?		
Is there a strategy for managing data arising from the project so that it will be easily accessible by others in the future?		
Applicant’s expertise/experience. Does the research team have the ability, capacity and track record to deliver the outputs?		
Total score		

Scores for assessing proposals: 1 = very low; 2 = low; 3 = medium; 4 = high; 5 = very high

Table 3. Proposals should address, as a minimum, the following issues:

Part A: Administrative Summary	Part B: Project Proposal Description
<ol style="list-style-type: none"> 1) Project Title 2) Organization 3) Administrative Contact 4) Principal Investigator and CV 5) Commencement and Completion Date 6) Project Budget Summary – Salaries, Travel, Operating and Other 	<ol style="list-style-type: none"> 1) Background and Need 2) Objectives 3) Project Outcomes 4) Form of Results 5) Methods 6) Risks of project not achieving Project Objectives 7) Schedule of Milestones 8) Other Related Projects 9) Project Staff and CV's 10) Detailed costs against milestones

NPFC Media Access Policy

Ref: Rules 5 and 9 of the NPFC Rules of Procedure

ABSTRACT:

The intent of the media access policy is to provide the guidelines to the Commission, Secretariat and the Information Services themselves for access and participation of the media at all Commission meetings, including the rules for release of information prior to it being approved for such release. This is to prevent any misunderstanding by all Members, and also clarify the rules for the implementation and compliance with the policy. This policy is brought forward from last meeting of the Commission and includes suggestions and corrections made by the NPFC Members during and after the 2nd Commission meeting.

PURPOSE:

Rule 5 notes that the meetings of the Commission and its subsidiary bodies shall be open to delegates and observers unless the Commission or subsidiary bodies decide that exceptional circumstances require a closed session.

Rule 9 of the Rules of Procedure on observers is silent on the issue of media access to annual sessions or sessions of subsidiary bodies. The intent of this short paper is to establish a NPFC media access policy including rules of procedure for media while permitted to attend sessions of the Commission or subsidiary bodies.

The Commission wishes to provide clear guidelines for media access and participation to the annual Commission and Subsidiary meetings. The North Pacific Fisheries Commission encourages access by approved observers in accordance with its Rules of Procedure, Rule 9. The Commission also further wishes to enhance and extend this same access and transparency as far as possible for accredited media to record highlights of the meeting and report on such to the general public. The following have therefore been developed as guidelines to enable NPFC to provide information on its activities to the public. Media policies of other RFMOs have been consulted in developing this document.

SCOPE: This policy shall apply equally to accredited media for the annual Commission and subsidiary meetings.

Note: Government media who are part of delegations are expected to be under the rules of the head of delegation and expected to conduct themselves in a similar manner as noted below.

DETAILED ACCESS RULES:

1. The guidelines for media participation have been structured to cover two different media scenarios.
 - a) Mainstream media that are interested in covering the event as a current news item for local or international interest; and
 - b) media participation for a documentary, story or some other requirement whereby they wish to access the meeting during the sessions.

A) General Conditions applicable to all media participation

2. Approval of all media access or participation will rest with the Chair of the meeting in consultation with the Executive Secretary (ES), and where appropriate, the Commission Members.
3. All requests for media participation to NPFC meetings or for interviews with the NPFC or Secretariat shall be directed to the Executive Secretary of the NPFC Secretariat and include media accreditation documents (press card and letter of authorization from the media company) and purpose of the participation.
4. Subject to the approval of the ES accredited and approved media will be provided media identification that shall be worn at all times while on the meeting facilities, inside and outside the meeting room.
5. Interviews of members of the Commission, cooperating non-Contracting Members or other participants at the meeting shall not interrupt proceedings, consequently if during the meeting shall they shall be either:
 - a) after sessions or during breaks; or
 - b) outside the conference meeting facilities.
6. Members are reminded of the rules of confidentiality with respect to the release of details of the meeting prior to the end of the Commission meeting.
7. The Commission Chair, and Executive Secretary shall be the only spokespersons for the NPFC and the Secretariat. No other Secretariat Staff shall be permitted to participate in any media events or interviews unless authorized by the Executive Secretary.

B) Guidelines for general mainstream media access for news recording or interviews:

8. Subject to the approval of the ES, all approved media are permitted inside the meeting room for the **opening session** subject to the following rules:
 - a) media must wear their Secretariat-issued media identification card at all times;
 - b) any disruptive behavior during the opening session shall result in the ES requesting the company to immediately leave the meeting venue and the withdrawal of credentials;
 - c) cameras may only be used on the periphery of the meeting and cannot be disruptive to the opening ceremonies;
 - d) interviewing of delegates in the meeting room is not permitted;
 - e) timely departure from the meeting room after the opening session.
9. Media participation during the **closing ceremonies**, if any, is subject to the approval of the Chair, and will be conducted in accordance with the above rules.
10. The Chair may decide to conduct a press conference after the meeting which would be open to all media in attendance.

C) Guidelines for media submitting special requests to film documentaries or special

interest programs:

11. Requests for media participation for access for the filming of special interest programs or documentaries during the meeting proceedings shall be provided to the Executive Secretary of the NPFC Secretariat at least 60 calendar days in advance of the meeting to permit circulation and feedback from the NPFC Members. This is consistent with access requests for NGO observers under the Rules of Procedure Rule 9.

12. The request for such access shall include media credentials, official Press card and letter of authorization from the media company with the intent of the access or description of the project. The Executive Secretary shall circulate the request to the NPFC Members. The Chair or Executive Secretary shall notify the media entity at least ten days prior to the commencement of the meeting of the decision.

13. Approved media participation and access for these special cases shall be subject to the following conditions to prevent any disruption to the meeting:

- a) the approval provides clearance as agreed by all Members and is considered as **‘one time’¹ access for that visit;**
- b) media must wear their Secretariat issued media identification card at all times while on the meeting premises inside and outside the meeting rooms;
- c) any disruptive behavior during meeting discussions or external to the meeting shall result in the ES requesting the company to immediately leave the meeting venue and the withdrawal of credentials.
- d) the use of cameras is permitted inside the conference room for the official opening and only at set times during the meeting as discussed and agreed by the Chair in advance of the meeting. This agreement can be withdrawn anytime during the meeting when a Member conveys its objection to the Chair;
- e) camera close up shots are not permitted during meeting discussions;
- f) interviewing delegates during the formal Commission discussions or in the meeting room is not permitted;
- g) the use of any disruptive personal communications devices by media during discussions by the Commission is not allowed; and
- h) if the ES requests media to leave the meeting room this is to be done immediately.

¹ “One time” means the clearance given is only effective for that particular meeting. Should there be another meeting for the same agenda item, the same should also be cleared and agreed by all Members prior to the meeting.

NPFC Policy on Support to Specialist Experts to the Secretariat or Commission

ABSTRACT:

The intent of this policy is to provide and publish general terms that can be expected from the Secretariat in support of the various categories of specialist technical assistance to the Secretariat or Commission. This policy is brought forward from last meeting of the Commission and includes suggestions and corrections made by the NPFC Members at the 2nd Commission meeting and by Secretariat after the meeting.

POLICY:

It is envisioned that the Secretariat or Commission shall seek assistance of technical specialists to support the activities of the Secretariat to set up the appropriate mechanisms to provide appropriate Secretariat services to the Commission. It is expected that these specialists shall be sought under four different scenarios:

1. Consultancies, on a task-based assignment for which remuneration is expected;
2. No fee Consultancies from like-minded organizations for system advice and set up with cost of only travel, accommodation and per diems;
3. Long term secondment assignments from Members to provide advice, system or mechanism set up;
4. Interns to provide an opportunity for working with an RFMO, join specific projects ongoing in the Commission and build capacity in understanding the operations and functions of the Commission and the role of the Secretariat.

The Secretariat proposes the following levels of support in each circumstance:

Technical Support	Level of Secretariat support			
	Consultancy	No Fee Consultancy	Long term Secondment (> 1 month)	Intern
Air fare	✓	✓	(Special cases ES can approve air fare)	
DSA as UN rate	✓	✓		
Allowance				200,000 JPY/month to assist in accommodation
Consultancy fee	✓ (see Consultant Remuneration Guideline)			

CONSULTANT REMUNERATION GUIDELINE (draft)

1. In accordance with established practice, the following rates are the basis on which to set the remuneration of consultants employed by the NPFC.

(in United States dollars)
(expressed in gross terms)

<u>Level</u>	<u>Monthly rate</u>	<u>Daily rate</u>
A	4,000 - 6,800	200 - 340
B	6,400 - 11,600	320 - 580

2. Executive Secretary will be responsible for determining the level as well as the precise honorarium in accordance with the criteria set out in paragraphs 3 and 4 below.

3. Assigning the level

The primary consideration in establishing the level to be assigned to the consultant shall be the nature of the services to be provided by the consultant, i.e. the complexity, difficulty and extent of the work to be performed and the degree of expertise required to accomplish it.

Level A: This level is typically used for (i) the university graduate with some pertinent experience or (ii) for an administrative or technical specialist with many years' experience of a quasi-professional nature.

Level B: This level is considered to be the normal level at which the vast majority of the Organization's consultants are employed. It is used for the consultant who is highly trained and has long experience in one of the technical/administrative fields of the Organization. His/her recommendations, for example, may form one of several contributions to the accomplishment of a specific project of a comparatively narrow scope.

4. Determining the honorarium

Once the level has been established, the rate within the range for the level will be determined taking into account such factors as:

- (a) the estimated time required for the consultant to undertake the work involved shall be taken into account as well as the current market rate for comparable work for the specialty concerned, if available, as well as the maximum amount budgeted for the purpose;
- (b) the remuneration to be paid shall be the minimum amount necessary to obtain the services required by the Commission. The level of expertise of the consultant must be appropriate to the importance of the services performed;
- (c) the earnings over the past year on similar arrangements;
- (d) the relationship (favourable or unfavourable) of the consultant's home currency to the US dollar;
- (e) hardship conditions at the duty station.

5. Rates above the maxima

Proposals for rates above the maxima for Level B must be referred with appropriate justification to the Chairman of the Commission for approval.

6. The total remuneration payable to a consultant shall be specified in the special service agreement (SSA) in gross terms, i.e. before tax. The remuneration of a consultant shall normally be paid in a lump-sum on satisfactory completion of the services described in the SSA.

NO FEE CONSULTANCY

In case of mutual cooperation with other RFMOs and Agencies and their consent to dispatch their professional staff to assist and advise on specific technical matters, consultancy remuneration shall be zero however the Executive Secretary has the authority to provide travel expenses.

LONG TERM SECONDMENT POLICY

Introduction

NPFC invites citizens from its member Parties to apply for the NPFC secondment. The period of the secondment is from 1 to 12 months. The secondee will work at the NPFC Secretariat in Tokyo, Japan.

Objective

To assist NPFC Secretariat in setting up new systems and mechanisms, and provide advice on operational matters.

Qualifications of Candidates

This individual is a senior technical specialist from a Member Party who can assist the Secretariat in the set-up of key Commission systems, e.g., data, website, intranet, VMS, science projects, and others.

Period of internship: Start on or about (TBA) for a period from 1 (one) to 12 (twelve) months. Deadline for application: (TBA)

Guidelines for application and selection procedure

1. Applicants will apply to the NPFC Secretariat following the procedure described on the NPFC website. Applicants must describe their interests and qualifications in a cover letter, provide a resume delineating their work experience, and submit a reference letter written by Member's Representative.
2. Applications (including cover letter, resume, and reference letter) must be received by the NPFC Secretariat 60 days prior to the NPFC Annual Meeting. The NPFC Executive Secretary will review applications and transmit his/her recommendation(s) to the NPFC Points of Contact 30 days prior to the NPFC Annual Meeting.
3. The Commission will announce the successful secondee at the Annual Meeting. The NPFC Secretariat staff will contact the secondee immediately after the Annual Meeting by email, or by phone, or by regular mail to make arrangements with the secondee to assume the secondment.

Travel expenses

The secondee may or may not be provided air travel at economy rate subject to discussions and approval of the Executive Secretary.

NPFC INTERNSHIP PROGRAM

Introduction

NPFC invites citizens from its member Parties to apply for the NPFC Internship Program. The period of the internship is up to six months. One intern per year will be accepted upon approval of the Commission. The intern will work at the NPFC Secretariat in Tokyo, Japan.

Objectives

The NPFC Internship Program has two goals:

1. to help early-career professionals gain experience and knowledge in operations of the Commission, and
2. to increase the capacity of the NPFC secretariat through the presence of an additional professional bringing his/her experience and knowledge.

Nature of the Internship

The intern works under the supervision of the Executive Secretary and/or his/her designates and may be given a wide variety of tasks:

- fisheries management;
- fisheries science;
- databases;
- administrative, meeting coordination, publications; and
- other NPFC activities delegated by the Executive Secretary.

Period of internship: Start on or about (TBA) for a period up to a maximum of 6 (six) months.
Deadline for application: (TBA)

Qualifications of Candidates

Applicants must be from NPFC Member, have a minimum of a university degree, the ability to read, write, and speak English, the ability to use computers and the internet, and demonstrated personal initiative.

Applicants must currently be a part of the government or academic sector, a recent graduate, or currently enrolled in school for an advanced degree.

Guidelines for application and selection procedure

Applicants will apply to the NPFC Secretariat following the procedure described on the NPFC website. Applicants must describe their interests and qualifications in a cover letter, provide a resume delineating their academic and work experience, and submit two professional reference letters.

Applications (including cover letter, resume, and two reference letters) must be received by the NPFC Secretariat 60 days prior to the NPFC Annual Meeting.

The NPFC Executive Secretary will review applications and transmit his/her recommendation(s) to the NPFC Points of Contact 30 days prior to the NPFC Annual Meeting.

The Commission will announce the successful intern at the Annual Meeting.

The NPFC Secretariat staff will contact the successful intern immediately after the Annual Meeting by email, or by phone, or by regular mail to make arrangements with the intern to assume the internship

Financial Support

NPFC will provide a stipend of 200,000 JPY per month to assist in accommodation and living costs. Travel costs for the intern to and from their place of residence and the location of the Secretariat will be at his/her own expense or by home country support. Travel expenses associated with the Intern's work in the Secretariat will be covered by NPFC. The Intern's medical insurance and benefits are not covered by the NPFC Internship Program.

How to Apply

Procedure for applying for the NPFC Internship Program:

Submit the following to the Secretariat by email (secretariat@npfc.int):

- 1) A cover letter describing applicant's interests and qualifications,
- 2) Resume showing academic and/or work experience
- 3) Two professional letters of reference

Deadline of submission: (TBA)

Starting date of the next Internship: on or about (TBA)

Duration of internship: maximum of six months

NPFC Document Rules

Abstract. This paper is intended to classify documents submitted to or developed by the NPFC and its subsidiaries and establishes rules for each type of document. It describes document requirements, includes examples which *can be used as templates* and provides guidelines for submission of NPFC documents.

The paper was adopted by the Commission at its 2nd Annual Session. The current version is the revision of that paper including new NPFC header and footer (appendices 2-6) and also Secretariat's suggestions in track changes based on its experience in handling NPFC papers past year.

TYPES OF NPFC DOCUMENTS

Working Papers (WP) are documents generated by the Members or the Secretariat for consideration and discussion by the Members.

Information Papers (IP) are submitted by the Members and present information which may be useful for the Commission, does not require discussion, but may provide background for WPs.

Observer Papers (OP) are Information Papers submitted by Observers.

Meeting Info Papers (MIP) provide organizational support to participants, i.e. agenda, schedule, meeting venue etc.

Reference Documents (RD) include key NPFC documents relevant to the meeting (Convention, Rules of Procedure, CMMs etc.)

Meeting Reports (spelled out with the acronym of the meeting before wording, e.g., SSC VME01 Report) summarize results of the meetings of the Commission and its subsidiaries.

Annual Reports (AR) are generated by the Members and describe how the Member of the Commission has implemented the conservation and management measures and monitoring, control and surveillance and enforcement procedures adopted by the Commission. It has a separate part (Part II) that provides confidential information on compliance activities of the Members.

Compliance Reports (CR) are reports from the Secretariat on the assessment of Member's compliance with CMMs (confidential until approved).

Vessel Registration Reports (VR) are the complete lists with all the details required in accordance with CMM 01-2015 for all vessels of a Member authorized by that Member to operate in the NPFC Convention Area.

Workshop Reports (WR) are extended abstracts of presentations given at NPFC workshops.

Other documents are papers issued on an irregular basis and do not meet above descriptions.

REQUIREMENTS FOR NPFC DOCUMENTS

All documents submitted to or developed by the NPFC and its subsidiaries shall include header (NPFC+logo), document number (appendix 1), page numbers, title, and, if appropriate, author(s) and affiliation. Specific requirements to different types of documents are as follows:

Working Paper shall have an abstract. It also *may* have cover page and citation that is strongly recommended for scientific papers which have not yet been published. Citation format: Author(s). Year. Title. Document number. # pp. (number of pages) Available at <http://www.npfc.int>. (appendix 2)

Meeting Report shall have cover page and citation. Citation format: NPFC or its subsidiary. Year. Title. Document number. # pp. (number of pages). Available at <http://www.npfc.int>. (appendix 3)

Annual Report shall have cover page and citation. Citation format: Member. Year. Title. Document number. # pp. (number of pages). Available at <http://www.npfc.int>. (appendix 4 and 5 for Part I and II respectively).

Compliance Report *may* have cover page and citation, if necessary. Citation format: Member. Year. Title. Document number. # pp. (number of pages). Available at <http://www.npfc.int>.

Vessel Registration Report *may* have cover page and citation, if necessary. Citation format: NPFC or its subsidiary. Year. Title. Document number. # pp. (number of pages). Available at <http://www.npfc.int>. (same as appendix 5)

Workshop Report shall have cover page, summary, list of sponsors and organizing committee, table of contents, list of participants, and extended abstracts. Citation format for workshop abstracts: Author(s). Year. Title. NPFC Workshop Report #. P. #. Available at <http://www.npfc.int>. (appendix 6).

Reference Documents/Papers, Meeting Info Papers, Information Papers, Observer Papers and other NPFC documents do not have specific requirements but shall follow common rules for numbering and content for all documents noted above.

GUIDELINES FOR SUBMISSION OF NPFC DOCUMENTS

Submission

NPFC Documents must be prepared in English and submitted to the Secretariat through the Commission's point of contact in each Member.

Submission of all documents must be in electronic form unless there are special circumstances and be sent by electronic mail.

All text, tables, and figures must be embedded in the file.

Document number

The Secretariat will assign a document number to completed documents in the order they are received. If a document is revised, the Secretariat will add "Rev #" in the end of document number.

Citation

In case the document is not citable, insert one or any following sentences under the document number:

NOT TO BE CITED, or NOT TO BE CITED WITHOUT PERMISSION OF THE

ISSUING AGENCY, and/or NOT TO BE DISTRIBUTED WITHOUT AUTHORIZATION OF THE ISSUING AGENCY.

Uploading on the Website

The Secretariat will upload submitted documents to the Meetings page of the NPFC website which will be accessible for Members only. After the adoption of documents at the Annual Meeting, documents will be posted in the public area of the NPFC website. Documents determined to contain sensitive information shall remain on the Members' Area of the webpage.

Deadlines

The Secretariat encourages the Members to follow deadlines for submission of documents as per Rules of Procedure to give others enough time for consideration and, therefore, make the Commission meetings more effective and productive.

Document type	Deadline	Clause of the NPFC Rules of Procedure
<i>Documents from the Members</i>		
Annual report	End of February	8.5
Compliance Report	End of February	Under same guidelines as Annual Report, e.g., AR Part 2
Working Paper	30 days before the opening of the meeting	5.7.2
Working Paper (subsidiary bodies, 45 days ¹)	14 days before the opening of the meeting (except where meetings are coincidental)	5.7.3
<i>Documents from the Secretariat</i>		
Provisional Agenda	90 days before the Meeting	5.1.1
Revised Provisional Agenda	60 days before the Meeting	5.1.2

¹ For documents or proposals that require the input of subsidiary bodies, and the meeting of such subsidiary body concluded within 45 days of the opening of a regular Commission meeting

Meeting Papers	30 days prior to, or at least 14 days prior to the applicable Meeting	5.7.1
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- Members and Observers are encouraged to submit Information and Observer Papers in as much advance notice as possible.

Documents submitted during the meeting will not be discussed at the meeting. They will be labeled as Information Papers for consideration by the Members. Members may, however, decide to reconsider them as Working Papers for full discussion.

DOCUMENTS AVAILABILITY AT THE MEETING

The Secretariat provides participants with the Meeting Info Papers at meeting registration. This document package includes Provisional Agenda, Provisional Annotated Agenda, Indicative Schedule, Provisional List of Documents, and Meeting Information.

Hard copy of other documents will not be available at the meeting site except two copies for each member's Heads of Delegation. Participants must either download the documents from the website to their own devices, or bring their own hard copy to the meeting.

Secretariat considers development of electronic means (e.g. SharePoint) to make documents available during the meetings.

Numbering for NPFC Meeting Documents

The following is proposed for an official numbering scheme for each of the official NPFC meetings. These are based on the numbering scheme of the PrepCon and other RFMOs.

1. Annual Session of the Commission

Reference Documents

Be referred by name only.

Meeting Info Papers

NPFC – year – COM+# mtg – MIP# (rev # if needed) – title e.g., NPFC-2016-MIP01

Working Papers

NPFC – year – COM+# mtg – WP# (rev # if needed)

Information Papers

NPFC – year – COM+# mtg – IP# (rev # if needed) Observer Papers

NPFC – year – COM+# mtg – OP#

Meeting Report

NPFC – year – COM+# mtg – Report (draft/provisional/final)

2. Scientific Committee Meeting

Reference Documents

Be referred by name only.

Meeting Info Papers

NPFC – year-SC+# mtg– MIP# (rev # if needed) Working Papers

NPFC – year-SC+# mtg– WP# (rev # if needed)

Information Papers

NPFC – year – SC+# mtg - IP# (rev # if needed)

Observer Papers

NPFC-year-SC+# mtg– OP#

Meeting Report

NPFC – year – SC+# mtg–Report (draft/provisional/final)

3. Small Scientific Committee Meetings

Reference Documents

Be referred by name only.

Meeting Info Papers

NPFC-year-SSC– Title of SSC+# mtg– MIP# (rev # if needed)

Working Papers

NPFC-year-SSC– Title of SSC+# mtg-WP# (rev # if needed)

Information Papers

NPFC – year – SSC– Title of SSC +# mtg - IP# (rev # if needed)

Observer Papers

NPFC-year-SSC–Title of SSC+# mtg– OP#

Meeting Report

NPFC-year-SSC–Title of SSC+#mtg–Report (draft/provisional/final)

4. Technical and Compliance Committee Meeting

Reference Documents

Be referred by name only.

Meeting Info Papers

NPFC-year-TCC+# mtg– IP# (rev # if needed) Working Papers

NPFC-year-TCC+# mtg– WP# (rev # if needed)

Information Papers

NPFC – year – TCC +# mtg - IP# (rev # if needed)

Observer Papers

NPFC-year-TCC+# mtg–OP#

Reports from TCC Working Groups

NPFC-year-TCC-WG Title (e.g, HSBI)+#mtg– Doc # e.g.,

NPFC-2016-TCC-WG-HSBI01-01

Meeting Report

NPFC-year-TCC+#mtg–Report (draft/provisional/final)

5. Working Groups of the Technical and Compliance Committee (if warranted)

Reference Documents

Be referred by name only.

Meeting Info Papers

NPFC-year-TCC-WG-Title of WG Mtg+# mtg– MIP# (rev # if needed)

Working Papers

NPFC-year-TCC-WG-Title of WG Mtg+# mtg– WP# (rev # if needed)

Information Papers

NPFC-year-TCC-WG-Title of WG Mtg+# mtg– IP# (rev # if needed)

Observer Papers

NPFC-year-TCC-WG-Title of WG Mtg+# mtg– OP#

Meeting Report

NPFC-year-TCC-WG-Title of WG Mtg+#mtg–Report (draft/
provisional/final)

6. Special Sessions of the Commission

Reference Documents

Be referred by name only.

Meeting Info Papers

NPFC-SS – year – IP# (rev # if needed)

Working Papers

NPFC-SS – year – WP# (rev # if needed) Information Papers

NPFC-SS – year – IP# (rev # if needed)

Observer Papers

NPFC-SS – year – OP#

Meeting Report

NPFC-SS – year –Report (draft/provisional/final)

7. Finance and Administration Committee

Reference Documents

Be referred by name only.

Meeting Info Papers

NPFC– year – FAC +# mtg - MIP# (rev # if needed)

Working Papers

NPFC– year – FAC +# mtg - WP# (rev # if needed)

Informational Papers

NPFC– year – FAC +# mtg - IP# (rev # if needed)

Meeting Report

NPFC– year – FAC +# mtg - Report (draft/provisional/final)

*It is proposed that **special subject reports** (Annual Reports; Compliance Reports; Vessel Registration Reports – Authorised and Active) required from all parties would be numbered in the following manner:*

Annual Reports

NPFC-year-AR Canada-(Part I or Part II)

NPFC-year-AR China-(Part I or Part II)

NPFC-year-AR Japan-(Part I or Part II)

NPFC-year- AR Korea-(Part I or Part II)

NPFC-year-AR Russia-(Part I or Part II)

NPFC-year-Chinese Taipei-(Part I or Part II)

Compliance Reports

NPFC-year-CR

Vessel Registration Reports

NPFC-year-VR Canada – Authorised/Active (as appropriate)

NPFC-year-VR China – Authorised/Active (as appropriate)

NPFC-year-VR Japan – Authorised/Active (as appropriate)

NPFC-year-VR Korea – Authorised/Active (as appropriate)

NPFC-year-VR Russia – Authorised/Active (as appropriate)

NPFC-year-VR Chinese Taipei – Authorised/Active (as appropriate)

Summary for the stock assessment of chub mackerel (Pacific stock) in 2015

by Ryuji Yukami

Stock Assessment Group, National Research Institute of Fisheries Science,
Fisheries Research Agency, Japan

March 2016

This paper may be cited in the following manner:

Yukami R. 2016. Summary for the stock assessment of chub mackerel (Pacific stock) in 2015. NPFC-2016-SC01-WP01 (Rev 1). 6 pp. (Available at www.npfc.int)

1st meeting of the Small Scientific Committee on Pacific Saury Report

April 2016

This paper may be cited in the following manner:

Small Scientific Committee on Pacific Saury. 2016. Meeting Report. NPFC-2016-SSC PS01-Final Report. 21 pp. (Available at www.npfc.int)

Annual Report

Part I

by Canada

April 2016

This paper may be cited in the following manner:

Canada. 2016. Annual Report. NPFC-2016-AR Canada-Part I (Rev 4). 10 pp.

Annual Report

Part II

by

Canada

April 2016

WORKSHOP REPORT

Pacific saury stock assessment

Technical Editors: Aleksandr Zavolokin and Peter Flewwelling

Tokyo, Japan, 2016

COOPERATING NON-CONTRACTING PARTIES

REAFFIRMING the objective of the NPFC Convention is to ensure the long-term conservation and sustainable use of the fisheries resources in the Convention Area while protecting the marine ecosystems of the North Pacific Ocean in which these resources occur.

RECALLING Article 20(3) of the NPFC Convention that provides for members of the Commission to request the non-Contracting Party identified in paragraph 2 to cooperate fully with the Commission either by becoming a Contracting Party or by agreeing to apply the conservation and management measures adopted by the Commission.

NOTING further in Article 20(3) that subject to such terms and conditions as the Commission may establish, such a cooperating non-Contracting Party to this Convention may enjoy benefits from participation in the fisheries commensurate with, *inter alia*, its commitment to comply with and its record of compliance with conservation and management measures in respect of the relevant fisheries resources and any financial contribution it makes to the Commission.

RECALLING that there are Non-Contracting Parties either already fishing in the NPFC Convention Area (CA) or who have expressed an interest to fish in this area and have expressed a willingness to cooperate fully with the Commission and apply the conservation and management measures adopted by the Commission.

RECOGNIZING that there are two key categories of Cooperating Non-Contracting Parties, those that fish and those that do not fish, but that wish to cooperate with the Commission for other purposes either for information sharing or trade-related reasons.

REAFFIRMING from Article 20(4) of the NPFC Convention that each member of the Commission shall take measures consistent with the Convention, the 1982 Convention, the 1995 Agreement and other relevant international law to deter the activities of fishing vessels entitled to fly the flags of non-Contracting Parties to the NPFC Convention that undermine the effectiveness of conservation and management measures adopted by the Commission.

And for GIVING EFFECT to Article 20 of the NPFC Convention:

1. Each year, the Executive Secretary shall contact all non-Contracting Parties whose vessels fish in the Convention Area and, if possible, non-Contracting Parties known to have an

interest in fishing in the Convention Area, to request them to become a Contracting Party to the Convention or to attain the status of Cooperating non-Contracting Party (CNCP).

2. A non-Contracting Party of the Commission, with an interest in the fishery, or whose vessels fish or intend to fish in the Convention Area, may request the Commission for the status of Cooperating non-Contracting Party (CNCP). Any such request and supporting information shall be in English and shall be received by the Executive Secretary at least 60 days in advance of the annual meeting of the Technical and Compliance Committee meeting at which the request will be considered. The Executive Secretary shall notify all members of the Commission of any such request and circulate the full application to all members.
3. A non-Contracting Party seeking the status of CNCP shall include with its request:
 - a. its reason for seeking CNCP status,
 - b. a commitment to cooperate fully in the implementation of conservation and management measures adopted by the Commission and to ensure that fishing vessels flying its flag and fishing in the Convention Area and, to the greatest extent possible, its nationals, comply with the provisions of the Convention and conservation and management measures adopted by the Commission;
 - c. an explicit commitment to accept high seas boarding and inspections in accordance with the Commission's procedures on high seas boarding and inspection;
 - d. full data on its historical fisheries in the Convention Area, including nominal catches, number/type of vessels, name of fishing vessels, fishing effort and fishing areas;
 - e. any further relevant information as determined by the Commission.
4. A non-Contracting Party seeking the status of CNCP is encouraged to make a contribution commensurate with what it would be assessed should it become a Contracting Party, pursuant to the scheme of contributions established by the Commission in accordance with Article 12(3) of the Convention, or an amount as determined by the Commission.
5. The Technical and Compliance Committee (TCC) shall assess applications for CNCP status and provide recommendations and technical advice to the Commission, which shall consider, *inter alia*:
 - a. whether the CNCP application includes all information required under paragraphs 2 and 3;
 - b. in the case of renewal, the record of compliance of the applicant with the provisions of the Convention and the conservation and management measures adopted by the

- Commission, and where appropriate, the fisheries laws and regulations of Members of the Commission;
- c. its record of responding to any IUU activities by vessels flying its flag that have been brought to its attention, in accordance with Article 17 of the NPFC Convention;
 - d. as appropriate, the record of compliance of the applicant with conservation and management measures of other Regional Fisheries Management Organizations (RFMOs); and
 - e. in the case of applications for renewal of CNCP status, whether the applicant is meeting all paragraph 11 requirements for CNCP.
6. The Executive Secretary shall forward a copy of the relevant TCC recommendations and advice to the non-Contracting Party applicant as soon as practicable, including all relevant CMMs to facilitate their compliance.
 7. The non-Contracting Party applicant shall have the opportunity to consider the recommendations and advice of the TCC, and to submit additional information if necessary in advance of the Commission's decision on its application.
 8. The Commission shall, in determining whether a non-Contracting Party is accorded CNCP status, have regard to the criteria outlined in paragraph 3.
 9. The Commission shall also consider information available from other RFMOs relating to non-Contracting Parties seeking CNCP status, as well as data submitted by such non-Contracting Parties to the Commission. Caution shall be used so as not to introduce into the Convention Area excess fishing capacity from other regions or IUU fishing activities in granting CNCP status to such non-Contracting Parties.
 10. *The Commission shall accord CNCP status on a bi-annual basis.* It may renew the CNCP status subject to a review of the CNCP's compliance with the Convention's objectives and requirements.
 11. CNCPs seeking to renew their status as a CNCP shall comply with other requirements the Commission may prescribe to ensure compliance with conservation and management measures adopted by the Commission.

12. CNCPs are entitled to participate at meetings of the Commission and its subsidiary bodies as Observers.
13. CNCPs shall:
 - a. comply with all conservation and management measures adopted by the Commission;
 - b. provide all data that members of the Commission are required to submit, in a timely manner, in accordance with the format and standards adopted by the Commission;
 - c. inform the Commission annually of the measures it takes to ensure compliance by its vessels with the Commission's conservation and management measures;
 - d. respond in a timely manner to alleged violations of conservation and management measures adopted by the Commission and any IUU activities of vessels flying its flag, as requested by a member of the Commission or determined by the appropriate subsidiary bodies of the Commission and communicate to the member making the request and to the Commission, the actions it has taken against the vessels in accordance with the provisions of Article 17 of the Convention;
 - e. accept boarding and inspections in accordance with Commission high seas boarding and inspection procedures.
14. Without prejudice to the sovereign rights of coastal States for the purpose of exploring and exploiting, conserving and managing the fish stocks within areas under national jurisdiction, and following the granting of CNCP status, the Commission shall, where necessary, determine how the participatory rights of CNCPs will be limited by the conservation and management measures adopted by the Commission. In giving effect to this paragraph, the Commission shall take into account *inter alia*:
 - a. the status of the fish stocks under the management mandate of the Commission and the existing level of fishing effort in the fishery;
 - b. the respective interests, fishing patterns and fishing practices of new and existing members or participants;
 - c. the respective contributions of new and existing members or participants to conservation and management of the stocks, to the collection and provision of accurate data and to the conduct of scientific research on the stocks;
15. The limits determined for CNCPs under paragraph 12 may be reviewed by the Commission from time to time in accordance with this measure and other conservation and management measures adopted by the Commission.

16. The Commission shall monitor the activities of nationals and fishing vessels of CNCPs, including their record of compliance with the provisions of the Convention and conservation and management measures adopted by the Commission.
17. CNCPs that fail to comply with any of the conservation and management measures adopted by the Commission shall be deemed to have undermined the effectiveness of the conservation and management measures adopted by the Commission. The Commission shall take appropriate action, which may include revocation of CNCP status and/or sanctions and penalties against such CNCPs, in accordance with the Convention and adopted conservation and management measures.
18. The members of the Commission shall, individually or jointly, request non-Contracting Parties to this Convention whose vessels fish in the Convention Area to cooperate fully in the implementation of the conservation and management measures adopted by the Commission and urge them to apply for the status of a Contracting Party or Cooperating non-Contracting Party.