



North Pacific Fisheries Commission

NPFC-2018-FAC02-Final Report

2nd Meeting of the Finance and Administration Committee REPORT

2 July 2018

July 2018

This paper may be cited in the following manner:

Finance and Administration Committee. 2018. 2nd Meeting Report. NPFC-2018-FAC02-Final Report. 30 pp. (Available at www.npfc.int)

North Pacific Fisheries Commission
2nd Meeting of the Finance and Administration Committee

2 July 2018
Tokyo, Japan

REPORT

Agenda Item 1. Opening of the Meeting

1. The 2nd Meeting of the Finance and Administration Committee (FAC) took place in Tokyo, Japan on 2 July 2018, and was attended by Members from Canada, China, Japan, the Republic of Korea, the Russian Federation, Chinese Taipei, the United States of America, and Vanuatu. The European Union attended as an observer. The meeting was opened by Mr. Kenji Kagawa (Japan) who served as the FAC Chair.

Agenda Item 2. Appointment of Rapporteur

2. Mr. Alexander Meyer was appointed as the Rapporteur.

Agenda Item 3. Adoption of Agenda

3. The Executive Secretary proposed that the FAC discuss recommendations from the Technical and Compliance Committee (TCC) to FAC under Agenda 7. Other Matters. The FAC agreed to the proposal.
4. The agenda was adopted without revision (Annex A).

Agenda Item 4. Financial Statement

4.1 Financial Statement from 2017 and 2018 to date

4.2 Status of Member Contributions

4.3 Working Capital Fund

4.4 Special Project Fund

5. The Secretariat reported on the income and expenses in 2017, expenses to date in 2018, the status of Member contributions, and the status of the Working Capital Fund and the Special Project Fund (NPFC-2018-FAC02-IP01; NPFC-2018-FAC02-WP05).
6. **Recommendation:** The FAC recommended that the Commission approve the recommendation

from the auditor that the Working Capital Fund be capped at 6 months.

Agenda Item 5. Secretariat's Work Plan 2018; Budget Estimates for 2019-2021

7. The Secretariat presented its work plan for 2018 (NPFC-2018-FAC02-WP02). The FAC reviewed and revised the work plan. The FAC also noted that the scope of the activities of the NPFC and consequently the Secretariat continues to grow.

Recommendation: The FAC recommended that the Commission adopt the revised work plan (Annex D).

Recommendation: The FAC recommended that the Commission task the Executive Secretary to provide detailed reports of the implementation of the Secretariat's Work Plan at future FAC meetings.

8. The Secretariat presented the adjusted budget for 2018 and the budget estimates for 2019-2021 (NPFC-2018-FAC02-WP01 Rev 2) for the review of the FAC. The FAC endorsed the adjusted budget for 2018 and the proposed budget for 2019, and considered the estimated budgets for 2020 and 2021.

Recommendation: The FAC recommended that the Commission adopt the adjusted budget for 2018 and the proposed budget for 2019 (Annex E).

Recommendation: The FAC recommended that the Commission request that in the future, the Secretariat should also present the budgeted expenses on a consolidated basis for ease of understanding (e.g. costs associated with SC and TCC, including consultancy, meeting costs, etc.).

Agenda Item 6. Administration Matters

6.1 Establishment of Staff Remuneration, Benefits and Structure

9. Mr. Edward Kremzer summarized the outcomes of the consultancy on NPFC staffing, remuneration, and performance review (NPFC-2018-FAC02-WP03).

10. The Secretariat presented a supplementary report addressing the points raised in the salary consultancy report (NPFC-2018-FAC02-WP03 Supplementary).

11. The FAC reviewed the consultancy report and the supplementary report.

Recommendation: The FAC recommended that the Commission task the Secretariat to present a paper to the 3rd FAC meeting with a synthesis of the implications of the recommendations from the consultancy, with cost implications for each recommendation and potential cost-savings in other parts of the budget to offset these costs.

Recommendation: The FAC recommended that the Commission task the Secretariat to draft a paper outlining the general understanding of the strategic aim of the NPFC, based on which the NPFC will establish a study group led by Heads of Delegations to establish the Strategic Plan of the NPFC.

Recommendation: The FAC recommended that the Commission task the Secretariat to develop a plan for implementing a 360-degree performance review involving mutual performance reviews among Secretariat staff as soon as is practical, no later than the 3rd FAC meeting.

Recommendation: Regarding the financial work of the Secretariat, the FAC recommended that the Commission not adopt the consultant's recommendation of creating a new position of Administrative and Finance Officer that would combine the positions of the Executive Assistant and Finance Coordinator positions, nor hire a Finance Coordinator as was originally decided by the Commission at its 3rd meeting. Instead, any support for financial work should be procured from an external service provider contractually, with the costs being covered under General Service Category 3 of the NPFC budget. Any leftover funds should be provided to the Working Capital Fund or the Special Projects Fund.

Recommendation: The FAC recommended to the Commission that there should not be automatic progression from one staff grading to the next.

6.2 Staff Employment Process

12. The Secretariat presented the draft employment process to hire NPFC staff, including part-time workers, for Members' consideration (NPFC-2018-FAC02-WP04). The FAC reviewed and revised the proposal (Annex F).

Recommendation: The FAC recommended that the Commission adopt the revised draft employment process.

6.3 Review of Special Projects from SC and TCC

13. The Secretariat explained that no special projects have been proposed thus far.

6.4 NPFC Secondment and Intern for 2018

14. The Secretariat explained that there have been no applicants for the 2018 NPFC Secondment and Internship programs.

Agenda Item 7. Other Matters

15. The FAC considered the proposed work of the TCC and the cost implications.

Recommendation: The FAC recommended that the Commission task the Secretariat to work in coordination with the Small Working Groups of the TCC to support the High Seas Boarding Inspection Implementation Plan and other work of the TCC.

Agenda Item 8. Recommendations to the Commission

16. The recommendations from the FAC to the Commission are as shown in Annex G.

Agenda Item 9. Next Meeting

9.1 Date and place of 3rd FAC meeting

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

9.2 Selection of Chair and Vice-Chair

18. **Recommendation:** The FAC recommended to the Commission that Dr. Bai Li be selected as the Chair of the FAC and that Mr. Takumi Fukuda be selected as the Vice-Chair.

Agenda Item 10. Adoption of the Report

19. The report was adopted by consensus.

Agenda Item 11. Close of the Meeting

20. The FAC meeting closed at 17:58 on 2 July 2018.

Annexes

[Annex A](#) – Agenda

[Annex B](#) – List of Documents

[Annex C](#) – List of Participants

[Annex D](#) – Secretariat Work Plan 2018

[Annex E](#) – NPFC budget and estimates for fiscal years 2018 to 2021 and Members' contributions

[Annex F](#) – Staff Selection Process

[Annex G](#) – Recommendations from the 2nd Finance and Administration Committee Meeting

Agenda

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Agenda Item 4. Financial Statement

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Agenda Item 5. Secretariat's Work Plan 2018; Budget Estimates for 2019-2021

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6.1 Establishment of Staff Remuneration, Benefits and Structure

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6.3 Review of Special Projects from SC and TCC

6.4 NPFC Secondment and Intern for 2018

Agenda Item 7. Other matters

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LIST OF DOCUMENTS**MEETING INFORMATION PAPERS**

Symbol	Title
NPFC-2018-COM04-MIP01 (Rev 2)	Meeting Notice and Information
NPFC-2018-FAC02-MIP02	Adopted Agenda
NPFC-2018- FAC02-MIP03	Provisional Annotated Agenda
NPFC-2018- FAC02-MIP04 (Rev 2)	Indicative Schedule

REFERENCE DOCUMENTS - NPFC Website

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-2018-FAC02-WP01 (Rev 3)	Draft Commission Budgets 2018-2021
NPFC-2018-FAC02-WP02 (Rev 1)	Secretariat Work Plan 2018
NPFC-2018-FAC02-WP03	Consultancy Report-Staffing, Remuneration and Performance Review
NPFC-2018-FAC02-WP03 Supplementary	Supplementary Report
NPFC-2018-FAC02-WP04	NPFC Staff Selection Process
NPFC-2018-FAC02-WP05	Status of Other Funds

INFORMATION PAPERS (IP)

Symbol	Title
NPFC-2018-FAC02-IP01	Auditor Report 2017

ANNUAL REPORTS (AR) - NPFC Website

Symbol	MEMBER
NPFC-2018-AR Canada	Canada
NPFC-2018-AR China	China
NPFC-2018-AR Japan (Rev 3)	Japan
NPFC-2018-AR Korea	Republic of Korea
NPFC-2018-AR Russia	Russian Federation
NPFC-2018-AR Chinese Taipei	Chinese Taipei
NPFC-2018-AR United States of America	United States of America
NPFC-2018-AR Vanuatu	Vanuatu
NPFC-2018-AR-Annual Summary Footprint – Bottom Fisheries	Secretariat
NPFC-2018-AR-Annual Summary Table – Pacific Saury	Secretariat
NPFC-2018-AR-Annual Summary Table – Squid	Secretariat
NPFC-2018-AR-Annual Summary Table – Mackerels	Secretariat

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SECRETARIAT WORK PLAN 2018

ABSTRACT

This paper addresses a work plan for 2018 fiscal year for four key areas based on the Secretariat's Work Plan 2016-2019 presented at the 2nd Commission meeting*;

- (a) Coordination of scientific activities of the Commission;
- (b) Coordination of compliance activities and operational reporting to the Commission;
- (c) Data management and security;
- (d) Provision of finance and administration services to support the Commission in the execution of management work plan

* 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 2018. 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 not met so compliance specific activities in 2018 have not yet been established by TCC consequently the list of Secretariat's intended activities in this sector is only tentative.

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, four key areas highlighted below provide the Secretariat and the Commission guidance with regard to the Commission's activities in 2018 financial year.

I. Coordination of scientific activities of the Commission

The Secretariat coordinates the scientific activities of the Commission including:

- (a) Implementation and revision, when necessary, of the Scientific Committee Five-Year Work Plan 2017-2021 for each Priority Area:
 - Stock assessments for target fisheries and bycatch species
 - Ecosystem approach to fisheries
 - Data collection, management and security(refer to Annex I of the 3rd SC Report for details).

- (b) Contributing to a report from the NPFC/FAO VME workshop to be published by FAO as a Fisheries and Aquaculture report.
- (c) Assisting Members to develop a VME identification field guide
- (d) Assisting Members to develop a GIS database for the spatial management of bottom fisheries and VMEs.
- (e) Assisting a Small Working Group to develop joint spatial/temporal map of Members' catch and effort on Pacific saury
- (f) Assisting Small Working Groups to develop data reporting templates for bottom fisheries and chub mackerel
- (g) Coordinating two meetings of the Technical Working Group on Pacific Saury Stock Assessment (TWG PSSA) to be held in China in November 2018 and in Japan in March 2019.
- (h) Coordinating a meeting of the Technical Working Group on Chub Mackerel Stock Assessment (TWG CMSA) to be held in Japan in March 2019.
- (i) Coordinating a Workshop to address data requirements and data sharing for SAI assessment and other tasks identified in the Work Plan by SSC VME and SSC BF to be held in China in November 2018 in conjunction with TWG PSSA.
- (j) Coordinating a Workshop on biological reference points (RP), harvest control rules (HCR) and management strategy evaluation (MSE) to be held in Japan in March 2019 in conjunction with TWG PSSA and TWG CMSA meetings.
- (k) Assisting Members in identifying data gaps which can be fulfilled by an observer program.
- (l) Liaising an expert to provide Members with literature review of target and limit reference points used in pelagic species fisheries by other general RFMOs and other fishery management bodies.
- (m) Coordinating intersessional work of the SC subsidiary bodies including development of operating model for chub mackerel, revision of the Interim Guidance for Management of Scientific Data, data preparation for stock assessment of priority species and VMEs.
- (n) Coordinating scientific projects to be conducted during 2018 and 2019.

#	Project	Time	Rough estimation of required funds
1	VME identification guide	2017-2020	<i>2018 FY: No funds required.</i> <i>2020: printing costs TBD.</i>
2.1	GIS database/module as a part of NPFC database management system	2018-2019	<i>2018 FY: 7,220USD carried over from 2017 FY SC budget.</i>
2.2	Joint spatial/temporal map of Members' catch and effort on Pacific saury	2018-	<i>2018 FY: 0.5 mln JPY (~5,000USD)</i>
3	TWG PSSA meeting (meeting costs)	Every year, 2017-2021	Data preparation meeting, Nov 2018 (4 days), China. <i>2.2mln JPY (20,000USD)*</i> SA meeting, Mar 2019 (4 days), Japan. <i>2.2mln JPY (20,000USD)*</i>
4	TWG CMSA meeting (meeting costs)	Every year	Mar 2019 (3 days), Japan <i>2.2mln JPY (20,000USD)*</i>
5	Data Workshop for SSC VME and SSC BF	Nov 2018	Nov 2018 (4 days), China. <i>2.2mln JPY (20,000USD)*</i>
6	Workshop on biological reference points (RP), harvest control rules (HCR) and management strategy evaluation (MSE) (meeting costs and invited experts)	Mar 2019	Mar 2019 (2 days), Japan <i>2.2mln JPY (20,000USD)*</i>
7	Expert to review Pacific saury stock assessment (consultant fee and travel cost)	TBD later	<i>2018 FY: No funds required.</i>
8	Observer Program	2018-	Identify data gaps which can be fulfilled by an observer program. <i>2018 FY: No funds required.</i>
9	Literature review of target and limit reference points (consultant fee and travel cost)	2018	By Sep-Oct 2018 <i>2018 FY: 1.1 mln JPY (10,000USD)</i>
10	Promotion of cooperation with NPAFC including macro-scale multinational survey in the North Pacific in 2020	2019	<i>TBD.</i>

II. Coordination of compliance activities of the Commission

* Note that compliance specific activities in 2018 have not yet been 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) Implementation of compliance work plan and priorities through the establishment of SWGs for the following topics adopted at the 2nd TCC held in 2017 including;
 - Initial VMS study completed with a possibility that national VMS can be integrated into a regional system and implemented
 - Moving the Vessel Registry to an online Direct Vessel Entry system
 - Assessing compliance of CMMs by Members, with an initial focus on the procedures for high seas boarding and inspection (HSBI) to set common standards for operations of the CMM which came into force on 28 November 2017.
- (b) Development of a NPFC compliance monitoring system (CMS) for 2019-2020 fiscal year, building on the experiences of other RFMOs who are currently reviewing and amending their CMSs for submission to TCC, its endorsement and Commission approval;
- (c) Review of existing CMMs for revision and consideration of new CMMs, if any, from Members;
- (d) Maintain the vessel register and interim non-member carrier vessel register for Members, and initiation of transition to *a system for direct entry of vessel data* by Members in 2018.
 - Assist Members in all direct entry processes through direct entry training using the training server on the website combined with Secretariat support.
- (e) Preparing the e-IUU vessel system, electronic entry of scientific data and annual reports, setting up an e-CMS, e-annual report system, and development of the data warehouse to assist the Commission in the analysis of the data, and more.
- (f) Coordinate the e- IUU vessel listing process from data submitted by Members.
- (g) Other tasking to be set at the 3rd TCC meeting in June 2018.

III. Data management and security

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 development 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) Based on the discussions during the SSC VME and BF Meetings held in April 2018, Members will collaborate with the Secretariat to develop an online NPFC Map for Spatial Management of VMEs and Bottom Fisheries in the Convention Area as part of the NPFC Data Management System. Members will form an intersessional group to decide on the specifications of the system to accommodate the needs of the Scientific Committee.
- (b) The on-going discussion on the development of a regional Vessel Monitoring System (VMS) by the TCC SWG VMS is set to recommend the implementation of the NPFC VMS, but the scope and the timing of deployment is to be determined by Members.
- (c) The draft of the NPFC Information Security Guidelines discussing the framework for NPFC data sharing and publication is being addressed by the SC and TCC and will need to be merged into a final guideline by the Members.
- (d) Other tasks related to spatial management, e-annual report, e-IUU vessel system etc. based on the Commission decisions after consideration of the SC and TCC reports.

IV. Finance and Administration

1. 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 third year of operation, there is still an urgent need for initial investment by Members for its establishment 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 2018:

- (a) Drafting a four-year budget plan 2018-2021 for approval at the 4th Commission meeting;
 - Adjustment of the 2018 budget expenditures based on actual expenditures during 2017, and development of a proposed 2019 budget and budget forecast for 2020 and 2021;

- (b) Drafting a supplementary report to assist Members in financial consideration to implement recommendations presented in the Salary Consultancy report.
- (c) Submission of the external Auditor's Report for the Commission's 2017 financial affairs

2. 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 (09-20 April 2018, Tokyo, Japan)
- (b) Annual Meetings (28 June - 05 July 2018, Tokyo, Japan)
 - 3rd Technical and Compliance Committee (TCC), 28-30 June 2018
 - 2nd Finance and Administration Committee (FAC), 02 July 2018
 - 4th Annual Session of the Commission, 03-05 July 2018
- (c) Workshops and Technical Working Group meetings
 - VME&BF Data Workshop and TWG PSSA03 (7-15 November 2018, China)
 - TWG PSSA04, TWG CMSA02, and BRP/HCR/MSE Workshop (March 2019, Japan)
- (d) Compliance SWGs/Workshops pending decisions from TCC.

2) Maintenance of NPFC Website and development of web-based systems

The Secretariat launched a number of web-based tools under the npfc.int domain name and it is now up and running. Please visit <https://www.npfc.int/>.

- (a) The Vessel Registry Direct Entry System (<https://www.npfc.int/compliance/vessels>) makes it possible for members to directly register newly authorized vessels, as well as update and delete records in the official NPFC vessel database. The Secretariat encourages all Members to assign at least one Vessel Manager to oversee the registration of their authorized vessels.
- (b) The NPFC Collaboration (<https://collaboration.npfc.int/>) provides a secure space for authenticated Members' representatives to share documents and data and discuss Science and Compliance-related issues. Users need to sign up for individual accounts to access the discussion forum.
- (c) The NPFC Geoserver (<http://gis.npfc.int/geoserver/web/>) was launched to be the prototype of the NPFC Map for Spatial Management of VMEs and Bottom Fisheries.

This site will see major changes once the Members decide on the features to be installed in this system.

- (d) Further improvements of the meeting registration process, user management and other tasks based on the Commission decisions.

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 2018, the meetings attended and scheduled to be represented by Secretariat staff are as follows:

- (a) PICES International Symposium on Understanding Changes in Transitional Areas of the Pacific (24-26 April 2018, Mexico)
- (b) Annual meeting of the NPAFC (20-27 May 2018, Russia)
- (c) UN Fish Stock Agreement (22-23 May 2018, USA)
- (d) Regional Secretariat Network/FAO Committee on Fisheries (08-14 July 2018, Italy)
- (e) WCPFC meetings (SC, 8-16 August 2018, Korea; COM, 2-7 December 2018, Micronesia)
- (f) UN-BBNJ (4-17 September 2018, USA)
- (g) Annual meeting of NAFO (17-21 September 2018, Estonia)
- (h) Annual meeting of PICES (25 October - 04 November 2018, Japan)
- (i) Annual Meeting of SPRFMO (23-27 January 2019, Netherlands)
- (j) 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) Memorandum of Understanding (MOU) between NPFC and NPAFC is under discussion
- (b) Joint multinational research survey in the North Pacific planned in 2019-2021 under the International Year of Salmon project of NPAFC to collect new data on species of NPFC's interests
- (c) NPFC-PICES working group has begun to work on potential areas of cooperation and will continue working intersessionally and at the October Annual Meeting of the PICES in Yokohama, Japan.
- (d) Cooperation for compliance purposes to be determined by TCC and the Commission, e.g., NPAFC for air surveillance, USCG and Japan for HSBI, All members for VMS;

Outside service providers for AIS and maritime intelligence services (Lloyd's Intelligence Service), 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 work upon request from local government or universities and international fora
- (d) Submit articles to newsletters of RSN and RFMOs
- (e) 3rd NPFC Yearbook will be published by the 2019 Commission meeting
- (f) Receive visitors from local government, embassies, universities and international organizations

5) Management of human resources

Effective 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 will coordinate the following:

- (a) Developing a plan for implementing a 360-degree performance review involving mutual performance reviews among Secretariat staff as soon as is practical, no later than the 3rd FAC meeting. A summary of the performance reviews will be provided to the Commission at the Heads of Delegations meeting;
- (b) Use contractual services for interim periods as required for special tasking;
- (c) Manage the secondment 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 the Commission.

Attachment:

Timeline for Commission's activities and budget estimate in 2018 financial year

Activity	2018 fiscal year												Budget (JPY)
	2018 Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	2019 Jan	Feb	Mar	
Science								Data/PS				RP/CM/PS	12.8mil
Compliance													8.7mil
Data													6.6mil
Meetings	SC		TCC/FAC/COM										7.5mil
Website													1.3mil
Cooperation	PICES	NPAFC UNFSA		RSN/COFI	WCPFC	NAFO	PICES		WCPFC	SPRFMO			4.7mil+*
Public													1 mil
Human													17mil

*meetings decided by the Commission

NPFC adjusted budget for 2018 and the proposed budget for 2019

Items	Year 2018	Year 2019
	Cost (JPY)	Cost (JPY)
1. PERSONNEL COSTS		
1.1-1.6 Staff Remuneration	55,202,956	56,859,043
1.7 Temporary Services	1,243,600	1,243,600
1.8 (a) Social Security & Insurance	11,565,480	11,565,480
1.8 (b) Pension Costs		
1.8 (C) Tax Reimbursement	-	-
1.9 Overtime	746,160	746,160
1.10 (a) Staff Allowances - Home Leave	300,000	746,160
1.10 (b) Staff Allowances – Relocation	-	1,100,000
1.10 (C) Staff Allowances – Repatriation	-	500,000
1.10 (d) Staff Allowances - Accommodation Subsidy	7,461,600	7,461,600
1.11 Professional Development / Training	1,641,552	1,641,552
1.12 Education Fee	5,223,120	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	1,243,600	1,243,600
2.3 Rentals	-	-
2.4 Communications	994,880	994,880
2.5 Printing	1,492,320	1,492,320
2.6 Duty Travel	6,839,800	6,839,800
2.7 Auditing	746,160	870,520
2.8 Contractual Services	23,218,000	19,587,000
2.9 Database Management	6,591,000	6,591,000
2.10 MCS Costs	8,705,200	8,705,200
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	248,720
2.14 To / From Working Capital Fund	-	-
2.14 bis To/From Special Project Fund	-	-
2.15 Representation Expenses	248,720	248,720
2.16 Miscellaneous	822,735	627,128
TOTAL	157,271,403	157,271,403

Working Capital Fund (cumulative)	60,909,508	60,909,508
Special Project Fund (cumulative)	20,176,776	20,176,776

Table of Member contributions, 2018 (JPY)

Member Rule	a)	b)	c)	Fixed Contribution	Total	
Canada	5,663,570	3,728	2,815,591		8,482,889	5
China	5,663,570	32,046,379	541,665		38,251,613	24
Korea	5,663,570	1,715,198	1,836,044		9,214,813	6
Russia	5,663,570	802,144	596,502		7,062,216	4
Chinese Taipei	5,663,570	26,898,873	1,500,117		34,062,560	22
USA	5,663,570	0	3,841,319		9,504,889	6
Vanuatu	5,663,570	832,949	195,902		6,692,422	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

Table of Member contributions, 2019 (JPY)

Member Rule	a)	b)	c)	Fixed Contribution	Total	
Canada	5,663,570	5,954	2,815,591		8,485,115	5
China	5,663,570	37,836,207	541,665		44,041,442	28
Korea	5,663,570	1,497,062	1,836,044		8,996,676	6
Russia	5,663,570	619,216	596,502		6,879,288	4
Chinese Taipei	5,663,570	21,380,721	1,500,117		28,544,408	18
USA	5,663,570	0	3,841,319		9,504,889	6
Vanuatu	5,663,570	960,112	195,902		6,819,585	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

NPFC budget estimates for fiscal years 2020 and 2021

Items	Year 2020 Estimated	Year 2021 Estimated
	Cost (JPY)	Cost (JPY)
1. PERSONNEL COSTS		
1.1-1.6 Staff Remuneration	58,564,812	60,321,754
1.7 Temporary Services	1,243,600	1,243,600
1.8 (a) Social Security & Insurance	11,565,480	11,565,480
1.8 (b) Pension Costs		
1.8 (C) Tax Reimbursement	-	-
1.9 Overtime	746,160	746,160
1.10 (a) Staff Allowances - Home Leave	300,000	746,160
1.10 (b) Staff Allowances – Relocation	1,100,000	500,000
1.10 (C) Staff Allowances – Repatriation	500,000	500,000
1.10 (d) Staff Allowances - Accommodation Subsidy	7,461,600	7,461,600
1.11 Professional Development / Training	1,641,552	1,641,552
1.12 Education Fee	5,223,120	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	1,243,600	1,243,600
2.3 Rentals	-	-
2.4 Communications	994,880	994,880
2.5 Printing	1,492,320	1,492,320
2.6 Duty Travel	6,839,800	6,839,800
2.7 Auditing	870,520	870,520
2.8 Contractual Services	18,654,000	17,410,400
2.9 Database Management	6,591,000	6,591,000
2.10 MCS Costs	8,705,200	8,705,200
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	0
2.14 To / From Working Capital Fund	-	-
2.14 bis To/From Special Project Fund	-	-
2.15 Representation Expenses	248,720	248,720
2.16 Miscellaneous	300,519	189,737
TOTAL	157,271,403	157,271,403

Working Capital Fund (cumulative)	60,909,508	60,909,508
Special Project Fund (cumulative)	20,176,776	20,176,776

NPFC Staff Selection Process

Abstract

The Working Paper is to suggest a selection process of the NPFC Secretariat staff, including the term(s) of the staff appointed for Members' consideration.

Introduction

NPFC Convention Article 5.9 and Staff Regulations 6, and Rules of Procedure 2.6, address the recruitment and appointment of Executive Secretary and staff, but do not specify the terms of staff and detailed process for selection of staff members. In the case of the Executive Secretary, his or her term of office shall be for four years, and he or she may be eligible for re-appointment, but shall not serve for more than eight (8) years unless otherwise decided by the Commission. There are no such rules available to other staff members hired by the Executive Secretary in accordance with Rule 6.2 and 6.4 of the Rules of Procedure of the Commission, except that the Executive Secretary shall appoint, direct, and supervise staff. It is the current practice that when staff members were hired, the Executive Secretary has made a contract with each Professional Staff for a four-year term, with the possibility of another four-year appointment depending on annual performance during the term of the staff. A similar principle was applied to General Staff who were appointed for a period of four (4) years initially, and the contract may be renewable for further periods based on the needs of NPFC, its funding situation and work performance during the term.

As the first term of the current four incumbents including the Executive Secretary ends during September 2019 - March 2020, it is suggested that the Commission provide transparent and clear guidelines for the Executive Secretary to ensure he/she is prepared for possible future selection of new staff Members.

The recent Salary Consultancy (NPFC-2018-FAC02-WP03) has also pointed out the lack of guidance on the term(s) of staff so recommended that the Commission give further consideration to the tenure of its staff, with a range of options practiced within other RFMOs. Therefore, the Secretariat suggests the following selection process of the NPFC Secretariat staff, including the term(s) of the staff appointed for Members' consideration.

Process for Hiring Staff Members

1) Executive Secretary

The Executive Secretary shall be hired by the Commission according to such procedures and on such terms and conditions to be decided by the Commission (Article 5.9 of the Convention, paragraph 6.1 Staff Regulations and paragraph 6.1 of the Rules of Procedure). The selection, interview and appointment process for the Commission's Executive Secretary is as follows;

Position documentation and advertisement.

Prior to advertising the vacancy, the Secretariat, in consultation with the Chair of the Commission, will prepare a draft position description for the post of Executive Secretary and a draft advertisement. These will be provided to the Members of the Commission for approval. The Secretariat will post the approved advertisement and position description on the NPFC website and in national and international publications and websites not less than one hundred and eighty (180) days before the coming Commission meeting. The recruitment page on the NPFC website will include relevant information regarding the vacancy and the application process. The deadline for applications to be received by the Secretariat shall be no less than 60 days after the advertisement has been placed on the website.

Submission of applications

Applications, as well as referee comments, must be submitted in the English language by eligible persons to the Chair through the Secretariat in electronic format.

Availability of applications

The Secretariat will circulate the applications received to all Members of the Commission.

Ranking of applicants

Each Member will provide to the Secretariat a list of their top five preferred applicants, in rank order, within 30 days of the distribution of the applications by the Secretariat. The Secretariat will prepare a composite list of the candidates based on the lists provided by the Members. In doing so, the Secretariat will aggregate individual applicants' rankings, awarding 5 points for a first preference, 4 points for second preference, etc.

Shortlist

The candidates with the five highest aggregate scores will be shortlisted for selection. Should the application of any candidate be withdrawn, the next ranking candidate will be substituted.

Interview process

The top five candidates will be invited to attend the Commission meeting for interviews. They will be interviewed by the Members during the Heads of Delegation meeting in the margins of the Commission meeting. Members will agree in advance on a set of questions that will be presented to each candidate. Following the interviews, each Member will once again be consulted as to its preferred candidates. If no candidate is the preferred candidate of a majority of the Members, the candidate with the lowest level of support will be dropped from the list and the voting process repeated until one candidate receives majority support. Upon identification of the preferred candidate in accordance with above process, the Commission shall appoint the Executive Secretary with the approval of the Contracting parties.

Appointment Process of the Executive Secretary

The chosen candidate will be notified at the conclusion of the Commission's meeting. Contract negotiations are to be conducted by the Commission's Chair. If possible, the chosen candidate will report to the Secretariat Office two full weeks before the departure of the incumbent Executive Secretary in order to allow for a transition.

Acting Executive Secretary

If the position of Executive Secretary shall become vacant during the intersessional period or if the Executive Secretary is unable to act, his/her powers and duties shall be assumed by one of the professional staff members designated by the Chair of the Commission until such time as a successor is appointed or the Executive Secretary is able to act. If appointed for longer than four weeks, the Acting Executive Secretary shall be compensated at the lowest increment of the salary scale for an Executive Secretary if the lowest increment is higher than the Acting Executive Secretary current salary.

2) Staff Members

The power of appointment of staff members rests with the Executive Secretary (Staff Regulations 6.2) and shall ensure that these processes are transparent, equitable and based on merit. Prior to advertising the vacancy, the Secretariat, in consultation with the Chair of the Commission, will prepare a draft position description for the post of the staff member and a draft advertisement. A selection panel, which may involve appropriately qualified and knowledgeable personnel external to the Secretariat, will be appointed by the Executive Secretary, who shall serve as Chair of the

Selection Board, to advise on staff selection. Suitability for recruitment will be assessed in a transparent manner that takes account of (i) the international character of the Commission, (ii) the requirements of the position as described in its Duty Statement, (iii) the qualifications, experience, qualities and capabilities of applicants, (iv) testimonials from the applicant's referees, and (v) other sources of information regarding the applicant's suitability.

Appointment term(s):

Professional staff, other than the Executive Secretary, are appointed for an initial four-year term. Subject to satisfactory performance, and to the needs of the Commission, Professional staff may be re-appointed for a further term of four years. At the conclusion of two terms, the post must be re-advertised. The incumbent is eligible to apply.

General Service staff are initially appointed for a four-year term. Subject to satisfactory performance, and to the needs of the Commission, General Service staff may be re-appointed on an ongoing/permanent basis.

The Executive Secretary may appoint short-term temporary personnel for a specific task following the UN guidelines for such appointments, which is normally six months maximum, and not more than 24 months in total, over a 36 month period, with appropriate breaks, or a maximum of 11 months per year with an appropriate break before any re-hiring to ensure that the short term staff cannot be legally considered as a full time employee nor receive such benefits

Start Salary level:

In accordance with Staff Regulation 6.4, the Executive Secretary shall negotiate with the staff selected for the starting salary level, based on qualifications and experience unless the Commission decides otherwise.

Probation Period:

Staff members selected shall all be subject to a six-month probationary appointment. Upon satisfactory completion of the probationary period, the Executive Secretary shall confirm their appointment and the terms thereof. During that period, either party may terminate the appointment upon one month's written notice.

If the Executive Secretary does not confirm the appointment after the probation period due to poor performance of the selected candidate, staff selection process shall be repeated. The Executive Secretary may seek for consultancy or secondment during this period to ensure effective work of the Secretariat.

Consultants or short-term employees may be dismissed at any time for cause with final compensation subject to the decision of the Executive Secretary in considering the situation for termination of the consultancy.

Members are invited to give guidance on the proposed staff selection process including term(s) of staff members.

Attachment:

1) List of current NPFC staff (5)

Position	Categories	Term (4 years)
Executive Secretary	Professional Staff, D1	3 Sep 2015 – 2 Sep 2019
Compliance Manager	Professional Staff, P4	3 Feb 2016 – 2 Feb 2020
Science Manager	Professional Staff, P4	1 Apr 2016 – 31 Mar 2020
Executive Assistant	General Service Staff	11 Jan 2016 – 10 Jan 2020
Data Coordinator	General Service Staff	1 Apr 2017 – 31 Mar 2021

2) Term of Staff Members of other RFMOs

RFMOs	Executive Secretary	Professional staff	General Staff
WCPFC	4+4 years maximum	4+4 years, re-advertise The incumbent is eligible to apply	4 years and may be extended for a term or terms subject to work programme requirements, funding, and performance
SPRFMO	4+4 years maximum	Open-ended contract	Open-ended contract
CCAMLR	4+4 years maximum	4+4 years, re-advertise The incumbent is eligible to apply	4 years and may be extended for a term or terms subject to work programme requirements, funding, and performance
NPAFC	4+4 years maximum	3 years and may be extended for a term or terms	Permanent position
NAFO	4+4 years maximum	Permanent position	Permanent position
CCSBT	3 years with the possibility of renewal subject to a consensus decision of the Commission	3 years with the possibility of renewal subject to decision of the Executive Secretary.	3 years with the possibility of renewal subject to decision of the Executive Secretary.
IOTC	3+3+3 depending on performance (And may re-apply in a competitive process after 9 years)	Extendable contracts, depending on funding and performance.	Extendable contracts, depending on funding and performance.

Recommendations from the 2nd Finance and Administration Meeting to the Commission

(Agenda 4)

- (a) The FAC recommended that the Commission approve the recommendation from the auditor that the Working Capital Fund be capped at 6 months.

(Agenda 5)

- (b) The FAC recommended that the Commission adopt the revised work plan (Annex D).
- (c) The FAC recommended that the Commission task the Executive Secretary to provide detailed reports of the implementation of the Secretariat's Work Plan at future FAC meetings.
- (d) The FAC recommended that the Commission adopt the adjusted budget for 2018 and the proposed budget for 2019 (Annex E).
- (e) The FAC recommended that the Commission request that in the future, the Secretariat should also present the budgeted expenses on a consolidated basis for ease of understanding (e.g. costs associated with SC and TCC, including consultancy, meeting costs, etc.).

(Agenda 6)

- (f) The FAC recommended that the Commission task the Secretariat to draft a paper outlining the general understanding of the strategic aim of the NPFC, based on which the NPFC will establish a study group led by Heads of Delegations to establish the Strategic Plan of the NPFC.
- (g) The FAC recommended that the Commission task the Secretariat to develop a plan for implementing a 360-degree performance review involving mutual performance reviews among Secretariat staff as soon as is practical, no later than the 3rd FAC meeting.
- (h) Regarding the financial work of the Secretariat, the FAC recommended that the Commission not adopt the consultant's recommendation of creating a new position of Administrative and Finance Officer that would combine the positions of the Executive Assistant and Finance Coordinator positions, nor hire a Finance Coordinator as was originally decided by the Commission at its 3rd meeting. Instead, any support for financial work should be procured from an external service provider contractually, with the costs being covered under General Service Category 3 of the NPFC budget. Any leftover funds should be provided to the Working Capital Fund or the Special Projects Fund.
- (i) The FAC recommended to the Commission that there should not be automatic progression from one staff grading to the next.
- (j) The FAC recommended that the Commission adopt the revised draft employment process.

(Agenda 7)

- (k) The FAC recommended that the Commission task the Secretariat to work in coordination with the Small Working Groups of the TCC to support the High Seas Boarding and Inspection Implementation Plan and other work of the TCC.

(Agenda 9)

- (l) The FAC requested the guidance of the Commission in determining the date and location of the next FAC meeting.
- (m) The FAC recommended to the Commission that Dr. Bai Li be selected as the Chair of the FAC and that Mr. Takumi Fukuda be selected as the Vice-Chair.