Indian Ocean Tuna Commission
Commission des Thons de l'Océan Indien

IOTC SECRETARIAT
STRATEGIC PLAN (2014–2016)

30 April 2014

ACRONYMS

AU	African Union
B_{MSY}	Biomass, which produces MSY
BOBP	Bay of Bengal Programme
CMM	Conservation and Management Measure (of the IOTC; Resolutions and Recommendations)
CNCP	Cooperation Non-Contracting Party, of the IOTC
CoC	Compliance Committee of the IOTC
COMESA	Common Market for Eastern and Southern Africa
CPCs	Contracting Parties and Cooperating non-Contracting Parties
DFAD	Drifting fish aggregating device
EEZ	Exclusive Economic Zone
EIOs	Economic Integration Organisations
ERA	Ecological risk assessment
FAD	Fish aggregating device
FAO	Food and Agriculture Organization of the United Nations
FIRMS	Fishery Resources Monitoring System of the FAO
F_{MSY}	Fishing mortality at MSY
GI	Greenpeace International
GRMS	Global Resource Management System of the FAO
HCR	Harvest control rule
IO	Indian Ocean
IOC	Indian Ocean Commission
IOTC	Indian Ocean Tuna Commission
ISSF	International Seafood Sustainability Foundation
IUU	Illegal, unreported and unregulated
LRP	Limit reference point
LSTLV	Large-scale tuna longline vessel
MPF	Meeting participation fund, of the IOTC
MSC	Marine stewardship council
MSE	Management Strategy Evaluation
OFCF	Overseas Fisheries Cooperation Foundation of Japan
OPRT	Organisation for the Promotion of Responsible Tuna Fisheries
PEW	PEW Charitable Trust
RFMO	Regional Fisheries Management Organisation
RFBs	Regional Management Bodies
SADC	Southern African Development Community
SC	Scientific Committee of the IOTC
SCAF	Standing Committee on Administration and Finance, of the IOTC
SEAFDEC	Southeast Asian Fisheries Development Center
SIOFA	Southern Indian Ocean Fisheries Agreement
SWIO	Southwest Indian Ocean
SWIOFC	Southwest Indian Ocean Fisheries Commission
TCAC	Technical Committee on Allocation Criteria, of the IOTC
TRP	Target reference point
UNCLOS	United Nations Convention on the Law of the Sea
USJI	United Stated–Japan Research Institute
VMS	Vessel Monitoring System
WPEB	Working Party on Ecosystems and Bycatch, of the IOTC
WPM	Working Party on Methods, of the IOTC
WPTmT	Working Party on Temperate tunas, of the IOTC
WPTT	Working Party on Tropical Tunas, of the IOTC
WWF	World Wide Fund for Nature (a.k.a World Wildlife Fund)

INTRODUCTION

The Indian Ocean Tuna Commission Agreement entered into force on the 27th March 1996. It establishes the Commission responsible for managing tuna and tuna-like species in the Indian Ocean and Adjacent Seas under Article XIV of the FAO Constitution; comprising the original signatories and acceding parties. It is located within the framework of the FAO and adheres to the Financial and Administrative Regulations of the FAO. The IOTC currently has 31 Members and two Cooperating Non Contracting Parties, and maintains a Secretariat in Victoria, Seychelles (www.iotc.org). The hosting of the Secretariat in Seychelles is subject to a Headquarters Agreement signed between the FAO and the Seychelles Government.

The purpose of this Strategic Plan is to describe the core services that the Secretariat provides to Contracting Parties and Cooperating Non-Contracting Parties (CPCs) and other stakeholders to support the work of the Commission. In addition, the Plan describes the structure of the Secretariat. This document is intended to facilitate the work of the Commission in identifying future areas of work of the Secretariat and devising a mechanism to assess the Secretariat's performance in fulfilling its role. A detailed description of the activities that the IOTC Secretariat will be undertaking in 2014 and 2015 is presented in a separate document (reference to the Programme of Work and Budget).
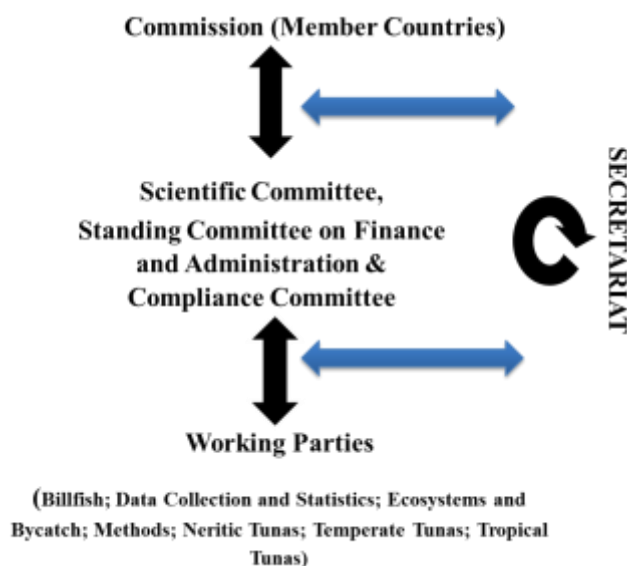
A schematic of the IOTC process is shown in Fig. 1.

Fig. 1. Schematic of the IOTC Process

VISION
The Secretariat is recognised by the Commission as efficient, effective, innovative and responsive in carrying out the functions entrusted to it by the Agreement, and in assisting CPCs in their efforts to implement their obligations vis-à-vis the conservation and management of the stocks under the mandate of the Commission.

MISSION
To provide support for the implementation of policies of the Commission furthering the objective of conserving and managing the stocks under the mandate of the Commission.

GOALS, OBJECTIVES AND TASKS

As per the IOTC Agreement, the Executive Secretary [*with the support of the staff Secretariat*] is responsible for the implementation of the policies and activities of the Commission and report thereon to the Commission. The Executive Secretary shall also act as the Secretary of other Subsidiary bodies, as established by the Commission. The Executive Secretary is responsible to Commission.

The Secretariat's Strategic Plan describes three Goals, which underpin all services provided by the Secretariat to assist the work of the Commission and its subsidiary bodies (Table 1)
- To deliver effective administrative, technical and scientific support to the Commission and its subsidiary bodies

- To support the IOTC Members through various capacity building activities to implement their obligations under the Agreement.
- To facilitate communication and collaboration among stakeholders through effective dissemination of information.

The tasks are delivered through five interdependent core functions: Executive Services, Finance and Administrative support services, Scientific and Data support services, Compliance support services, Information Technology and Communications support services. In delivering those tasks the Secretariat relies on the full cooperation of the Members to ensure full delivery.

The tasks of the Secretariat are defined in the annual work plan and budget, as submitted to the Commission for approval each year. The Annual work plan serves the basis of internal processes to report on the performance of the Secretariat, but also provide a long-term outlay of the anticipated activities. It will also assist the Secretariat to mobilise critical financial resources to assist in rolling out its work plan. The identified tasks are periodically revised to take into account any decisions of the Commission. These tasks guide the specific activities to be undertaken by the Secretariat in both the short and medium term.

Table 1. Summary of the Goals and Objectives

Goal 1	Goal 2	Goal 3
To deliver effective administrative, technical and scientific support to the Commission and its subsidiary bodies	**To support the IOTC Members through various capacity building activities to implement their obligations under the Agreement**	**To facilitate communication and collaboration among stakeholders through effective dissemination of information**
Objectives	Objectives	Objectives
1.To maintain Secretariat services to Members at internationally recognised standards through internal coordination of best-practices (administrative and operational policies, and supporting procedures – FAO standards apply) 2.To support an open and inclusive workplace culture and identity consistent with the Commission's international nature. 3.Quality administration and finance systems, based on FAO standards, supporting efficient and effective delivery of Secretariat services within approved budgets. 4.To provide value-added support to the Commission, the Scientific Committee, and Working Parties through analytical and related scientific services in line with the priorities of the Commission. 5.To support the Commission and the Scientific Committee and their subsidiary bodies, through secure through secure and timely access to data reported by flag states, based on the requirements, and review of this information in consultation with IOTC CPCs.	1. To enhance the compliance of members in the implementation of Conservation and Management Measures adopted by the Commission.	1. To support Members, the Commission, the Compliance Committee, the Scientific Committee and the subsidiary bodies, utilizing cost-effective information system technologies. 2.To provide professional communication and outreach services to support the exchange on information among IOTC Members, including other tRFMOs, international Institutions/ agencies, IGO, etc., and effectively raise awareness of IOTC initiatives to conserve stocks of species under the mandate of IOTC. 3.To provide expert translation services in the two official languages of the Agreement to support broad participation in the work of the

6. To provide technical and logistical support for Members, the Compliance Committee and the Commission through compliance initiatives consistent with the priorities of the Commission.

Commission.

Goal 1: To deliver effective administrative, technical and scientific support to the Commission, the Scientific Committee, the Compliance Committee and its subsidiary bodies.

Executive Support Services

The function of Executive Services is to coordinate the implementation of the Secretariat annual Work Plan and Budget of work as approved by the Commission. The Executive Secretary, appointed by the Commission, is responsible for overseeing the development, implementation and monitoring all the activities of the Secretariat and for serving as an ambassador of the Commission's work and to promote mutually beneficial cooperation and relationships.

Objective 1: To maintain Secretariat services to Commission at internationally recognised standards through internal coordination and best- practices (administrative and operational policies, and supporting procedures – FAO standards apply)

Tasks:

- Implement internal administrative and operational policies and processes that support the delivery of best-valued services to the Secretariat, the Commission and its Subsidiary Bodies.
    - Maintain transparent and non-discriminatory recruitment procedures and policies that secure the best available expertise for the Secretariat within available resources.
    - Distribute within 12 working days any regular communication from Members.
- Guide, monitor or assist as may be necessary the implementation of inter-sessional work plans of the Commission following the conclusion of the annual meeting.
- Support cooperation and information exchange mechanisms with other international organisations sharing a common interest with the IOTC.
- Implement the approved policies of the Commission and thereon report back.
- Work with multilateral agencies or regional projects to promote and integrate the IOTC's agenda into their respective work programme, in particular in support to capacity building activities to developing countries.
- Coordinate communication to and from Members and stakeholders.
- Coordinate professional, technical, logistical and administrative Secretariat support to meetings of the Commission, the Scientific Committee and their subsidiary bodies.
- Support consultation processes, including routine staff meetings, to facilitate engagement of all staff in internal consideration of workplace standards, practices and decision-making.
- Engage and support Members on fulfilling their obligations under the IOTC Agreement

Objective 2: To support an open and inclusive workplace culture and identity consistent with the Commission's international nature and as per the Code of Conduct for International Civil Servant of the United Nations.

Tasks:

- To promote responsibility to ensure a harmonious workplace based on mutual respect; be open to all views and opinions and make sure that the merits of staff are properly recognized.
- To communicate effectively within the Secretariat
- To promote a multicultural working environment within the Secretariat and with IOTC membership.
- To encourage an effective team that contributes to the stated and desired results of the Secretariat.
- Accountable and answerable for all actions carried out, as well as decisions taken, and commitments made by them in performing their functions.
- To be an equal opportunity employer with no bias towards gender, religion, ethnicity or race.

Finance and Administration Support Services

Finance and Administration provides critical support to the Secretariat's executive, and other technical and support services by maintaining best-practice standards for the administration of the Secretariat's financial resources, personnel management, workplace policies and procedures and the maintenance of the Secretariat's physical assets. It also provides administrative and professional support to the Commission through the Standing Committee on Administration and Finance (SCAF). The Finance and Adminitration of the IOTC is managed through the FAO ERP System, also known as GRMS (Global Resource Management System (RMS) Programme).

Objective 3: Quality administration and finance systems, based on FAO standards, supporting efficient and effective delivery of Secretariat services within approved budgets.

Tasks

Personnel

- Adhere to all the FAO relevant policies, rules and regulations regarding the human resources administration
- Maintain workplace health and safety standards in compliance with FAO rules and regulations

Finance and administration

- Administer IOTC's finances consistent with the Commission's Financial Regulations and FAO policies, rules and regulations, including production and preparation of annual financial statements.
- Provide financial, costing and budget advice for IOTC's-related services and activities .
- Document and administer systems and procedures for maintaining finance and administration records in line with the IOTC Financial Regulations and FAO financial requirements.
- Document and implement procedures (e.g. Meeting Participation Fund and Extra-budgetary funding) in support IOTC's work.

Science and Data Services

Science Services

The primary purpose of Science Services is to provide technical and administrative support to the work of the Scientific Committee and its subsidiary bodies. The objective is also to maintain close consultative arrangements with the Chairs and Vice-Chairs of the Working Parties and the Chair and Vice-Chair of the Scientific Committee. Science Services assist with the assimilation and preliminary analysis of scientific and fishery data and information for subsequent consideration by the Scientific Committee and it's Working Parties, and provides administrative and coordinating support to different technical programs. This also includes the stock assessments analyses carried out by the Secretariat and sometimes in conjunction with other CPCs, as requested by the Commission or the Scientific Committee.

Objective 4: To provide value-added support for the IOTC, including the Scientific Committee and its subsidiary bodies through analytical and scientific services consistent with the priorities of the Commission.

Tasks

Science administration and logistical support

- Provide technical and administrative support to the Chair and Vice-Chair of the Scientific Committee and Chairs and Vice-Chairs of the Working Parties. Coordinate logistical and technical support to meetings of the Commission, the Scientific Committee and its subsidiary bodies.
- Support the Secretariat's scientific engagement with relevant external stakeholders, including other organisations, networks and associations

Science Services

- Provide support to the development of the Management Strategy Evaluation (MSE) process.
- Support the understanding of CPCs of the IOTC Science process
- Assist the IOTC Scientific Committee through data analysis and assessment of stocks of IOTC species and other species, as required.
- Assist the IOTC Scientific Committee to review and document the status of IOTC species and other species identified by the Commission, and dissemination of this information in a timely manner.
- Assist the IOTC Scientific Committee in the coordination of research activities, as requested by the Commission
- Compile all scientific documents and information of interest to the Commission and its subsidiary bodies and make it available through the IOTC Web Site, as required.
- Facilitate the exchange of information between RFMOs and IOTC CPCs on science related matters, in particular activities the IOTC Secretariat coordinate or is involved with.

Data Services

Data services is one of the core function of the Secretariat, which provide services to Members, the Scientific Committee and the Working Parties. The Secretariat holds a Data Centre, which is maintained in liaison with data owners, providers and stakeholders. These data provide an essential platform on which the Commission takes its decision and supports the work of the Scientific Committee and its subsidiary bodies.

Objective 5: To support the Commission and the Scientific Committee and their subsidiary bodies, through secure through secure and timely access to data reported by flag states, based on the requirements, and review of this information in consultation with IOTC CPCs.

Tasks

- Facilitate reports of scientific data by IOTC CPCs and other parties through preparation of data reporting manuals and forms and assistance to specific CPCs in understanding of the IOTC requirements, as required.
- Coordinate the Secretariat's technical, administrative and logistical support to the Commission and its subsidiary bodies in relation to the acquisition, safe-keeping, processing of, and access to, IOTC data, including, inter alia:
  - Fishery dependent data, including:
    - o Data reported by CPC, as per the IOTC Data Requirements
    - o Data collected through field programmes implemented with the support of the IOTC Secretariat
    - o Data from other sources, including third party data, publications, and the internet
  - Fishery independent data, including data from specific programmes (e.g. tagging)
  - Other data, including data on the biology of IOTC species (e.g. maturity, growth), environmental data, or data collected through specific research programmes
- Assist IOTC CPCs, the Commission and its subsidiary bodies with any data related work, as identified by the Commission, including support to the implementation of field programmes and other capacity building activities in developing IOTC CPCs.
- Facilitate the dissemination of fisheries data and information to CPCs, RFMOs, and other stakeholders, as requested by the Commission or following specific requests from stakeholders, and ensure that data reports are consistent with data confidentiality rules and procedures agreed by the Commission.
- Timely provision of scientific data to the Commission and its subsidiary bodies, including reviews of fisheries trends, levels of reporting, and assessment of the quality of the scientific data prepared by the Secretariat
- Documentation of procedures used at the Data Section.

Compliance Services

The Compliance Services supports the work of the Commission through expert administrative, logistical and technical support to the Compliance Committee. Since 2008, more resources have been dedicated to assistance and the monitoring of compliance of IOTC CPCs. The Terms of Reference of the Compliance Committee was revised to allow the Committee to

assess and review all compliance aspects related to the implementation of the IOTC Conservation and Management Measures and provide support to Contracting and Cooperating Parties (CPCs) in the implementation of Monitoring, Control and Surveillance (MCS) tools adopted by the Commission (IUU vessel lists, authorised & active vessels list, documents on board, marking of fishing vessels and gears, Vessel Monitoring System, fishing logbooks, regional observer scheme, transhipments programme, statistical document programme).

Objecitve 6: To provide technical and logistical support to the Compliance Committee and the Commission through compliance initiatives consistent with the priorities of the Commission.

Tasks

- Analyse and disseminate information to support Members' implementation of systems to achieve optimal levels of compliance with conservation measures and other decisions of the Commission.
- Upon request of CPCs conduct Compliance Support Missions
- Undertake capacity building initiatives to support CPCs regarding their obligation to implement Conservation and Management Measures (reporting, data, and science)
- Maintain Records of Vessels (Authorised, Active, IUU Lists) / Records of validation information for the Bigeye Tuna Statistical Document Programme.
- Ongoing strengthening of CPCs compliance and enforcement regimes, in accordance with IOTC management measures
- Advisory role to CPCs on IUU matters
- Coordinate the compliance input to Secretariat publications.
- Collaborate with CPCs to facilitate data collection and analyses, contributing to IOTC's compliance objectives.
- Provide advice and content for the management of compliance-related information on the IOTC website.
- Produce synthesis reports to Compliance Committee and the Commission, as appropriate, on data submitted through IOTC's compliance initiatives.
- Coordinate the Secretariat's technical and logistical advice and support in respect of compliance initiatives of CPCs, including, inter alia:
    - Vessel Monitoring System
    - Statistical Document Programme
    - Vessel Registers
    - System of Inspection
    - Schemes to Promote Compliance
    - Combatting IUU Fishing activities
    - Timely update of IOTC Records
    - Improved understanding of the compliance and enforcement capability of CPCs (by way of a survey of CPCs)
    - Training and support on implementation of port State measures
    - Provision of advice to update national legislation to effectively implement IOTC management actions
    - Implementation of the Regional Observer Programme to monitor transhipments at sea.

Goal 2: To support the IOTC members through various capacity building activities to implement their obligations under the Agreement

Now, more than ever, capacity building is vitally important for the IOTC. As of 2013 there are 64 reporting requirements derived from the IOTC Resolutions (23 Resolutions and the Agreement) on which the CPCs have to provide information, data and reports. It is generally accepted that when capacity building is successful, it should strengthen the Commission's ability to fulfill its objectives over time, and enhances the Commission's ability, through its Members, to have a positive impact on the lives of fishing communities and businesses through improved management of the tuna resources.

Capacity building activities is a cross cutting activity, mainly under the Science and Data and Compliance Support Services. This is also linked to the Executive Services in terms of the linkages to the partners that may wish to co-finance some of our capacity building activities.

Objective 1: To enhance the compliance of members in the implementation of Conservation and Management Measures adopted by the Commission.

The overall approach is to promote collaboration and cooperation with other relevant institutions to develop capacity building initiatives to assist IOTC CPCs with the implementation of IOTC management measures. In doing so the Secretariat will pursue various tools (or as may be guided by the Commission) such as workshops and training programmes that will enhance the ability of the members to implement on their obligations and report thereon.

Science and Data

- Implementation of capacity building activities in countries of the IOTC Region: In particular with respect to the implementation of the IOTC Regional Observer Scheme (training and support recommended in the Resolution 11/04).
- Implementation of Data support missions to selected countries to assess the status of reporting systems and provide assistance to enhancing levels of reporting in the future
- Develop online query tools for easy data access.
- Improve the understanding of the science process and decision making at the IOTC level.

Compliance

- Implementation of capacity building activities to improve compliance to the IOTC Port State measures.
- Implementation of online information system for Port State Measures
- Develop an online reporting system

Goal 3: To facilitate communication and collaboration among stakeholders through effective dissemination of information.

Information Technology Services

Information Technology (IT) Services is responsible for the acquisition and maintenance of reliable, cost-effective and secure information and communications technology infrastructure to support the business requirements of the Secretariat. IT Services include the management of computing and communications infrastructure, administration and technical support for applications and helpdesk Services, including computing-related training needs within the Secretariat.

Objective 1: To support Members, the Commission, the Compliance Committee, the Scientific Committee and their subsidiary bodies, utilizing cost-effective information system technologies.

Tasks

IT Administration and Infrastructure

Document and periodically revise IT specific policies, standard and procedures, including but not limited to asset cycles, information security, acceptable use, remote access, emails, archiving, back-ups and physical security of the assets.

- Manage and monitor the Secretariat's IT infrastructure for optimum use.
- Ensure the Secretariat's Local Area Network (LAN) is secure and available to all IOTC Staff according to the business needs
- Ensure the Secretariat's Wide Area Network (WAN) is secure and available to all IOTC Staff and authorised users according to the business needs
- Provide efficient telecommunications services for the business need of the Secretariat.
- Implement a cost-effective, reliable and secure information management infrastructure to support storage and retrieval of documents, emails and data.

- Provide help desk services to Secretariat staff, relating to standard and custom software applications, document management, operating systems, hardware, communications, printing, scanning and related meeting requirements.
- Provide advice on maintenance, development and operational support for the Commission's website.
- Provide technical support to Secretariat staff relating to custom application development.
- Identify and assess staff training needs periodically and consider opportunities for training delivery.

Communications Services

This is to facilitate communications and collaboration among Members and other stakeholders through the effective dissemination of information, outreach and capacity building. The key role of the Communications Services is to provide logistical and technical support for the operation of the Commission in its two official languages (English and French). The Communications Services provides and facilitates professional translation and interpretation support to the annual meetings of the Commission and Scientific Meeting, including the translation of relevant reports and supporting documents of the Commission, the Scientific Committee and its subsidiary bodies. The IOTC does not have a dedicated Communications officer although it is something that would be desirable and possibly shared with translation duties**.**

Objective 2: To provide professional communication and outreach services to support the exchange on information among IOTC Members, including other t-RFMOs, international institutions/agencies, IGO, etc., and effectively raise awareness of   IOTC initiatives to conserve stocks of species under the mandate of IOTC.

Tasks

Communication Administration and Public Relations

- Maintain the IOTC Website content as a best-practice information portal for Members and the public.
- Maintain a monthly IOTC e-newsletter.
- Prepare and publish information releases on profiling IOTC activities.

Library Services and Publications

- Maintain a catalogue information on the IOTC Website and provide access to all IOTC Members and staff electronically.
- Participate on library networks and associations to strengthen IOTC access to literature that may support the work of the Commission.
- Contribute to the Aquatic Sciences Fisheries Abstract and the FAO FIRMS.
- Maintain and update the IOTC publications for easy access from the IOTC website.
- Provide technical support for web-based document indexing and search of IOTC publications.
- Monitor demand for IOTC publication and website statistics.
- Process, distribute and archive, in accordance with International/FAO standards or as may be requested by the Members, Secretariat Circulars, Commission, Scientific Committee, Working Parties, Workshops and meetings documents and reports.

Relationship with other organisations

- Maintain close liaison with the other four t-RFMOs on shared activities
- Maintenance of strong partnerships with regional organisations, (RFBs, EIOs) in the Indian Ocean, such as SWIOFC, IOC, COMESA, SADC, AU, BOBP, OFCF, SEAFDEC) and Non-Governmental Organisations such as WWF, Green Peace, Birdlife international, etc.

Objective 3: To provide expert translation services in the two official languages of the Agreement   to support broad participation in the work of the Commission.

Tasks

- Provide expert translations services in the two official languages of the Commission and provide such translation in an accurate, cost effective and timely manner.

- Provide high quality interpretation services to the Commission and Scienctific meetings and as per FAO rules.

Monitoring and Evaluation

Each year the Commission adopts a number of recommendations for implementation in the inter-sessional period. Monitoring the implementation of the tasks assigned to the Secretariat, or any other parties, offers one opportunity to monitor the performance of the Secretariat. To facilitate this, the Secretariat prepares a matrix of the adopted recommendations and circulates it immediately for follow up by the concerned party.

A revised Strategic Plan, for the period 2017–2020, will be prepared for consideration of Commission at the 2019 Annual Session, unless there are reasons to update this plan earlier.

Organisational Structure

The IOTC, based on the services it provides, has a flat organisational structure to execute the key strategies, but evolves as the hierarchy grows. It is divided into sections, which are also interdependent, that promotes teamwork across the board. Successful strategy execution depends greatly on good internal organisation and competent personnel. Building a capable organisation is thus always a top strategy implementation priority. Three key organisational issues stand out as dominant for the IOTC Secretariat:

- Developing an internal organisation structure that is responsive to the needs of the Commission
- Developing the skills and distinctive competences in which the strategy is grounded and seeing that the organisation has the managerial talents, technical expertise and competitive capabilities it needs.
- Selecting the right people for key positions.

As the requirements of the Commission grow, there must be an incremental growth in the Secretariat organisational structure to adjust to the new requirements. Compliance is an area where such growth may be required over the next two to three years.

The current structure of the Secretariat that is expected to implement this strategic plan is provided in Fig. 2, below.

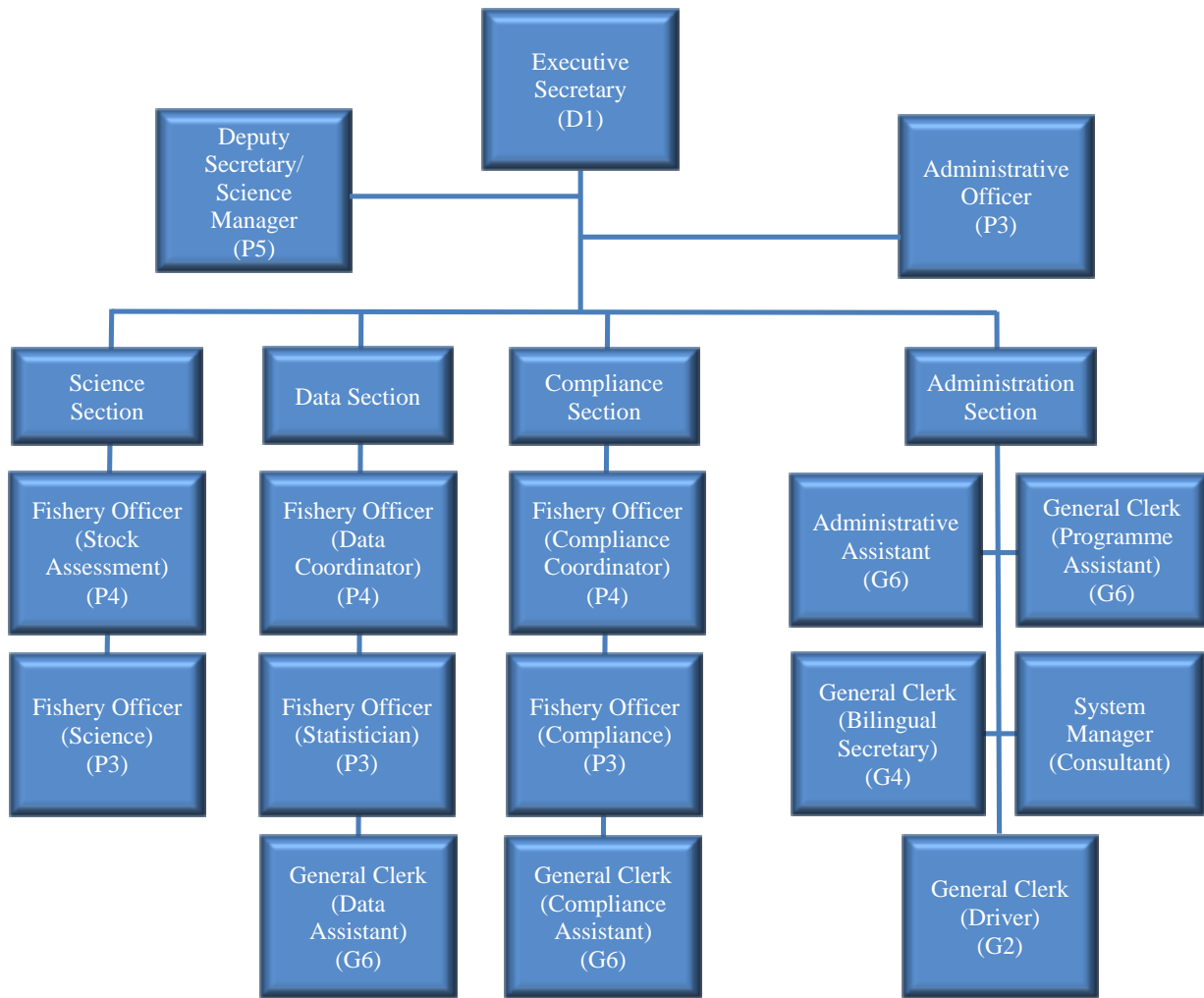**Fig. 2**. Organisational Structure