

SUMMARY REPORT ON COMPLIANCE SUPPORT ACTIVITIES

Prepared by: IOTC Secretariat, 11 May, 2017

This document provides a summary of the activities undertaken by the Secretariat in support of implementation of Conservation and Management Measures adopted by the IOTC.

1. General and specific objectives of the activities

The general and specific objectives of the capacity building activities have been presented in previous versions of this document and presented at previous sessions of the Compliance Committee.

2. Compliance Support Mission: activities, methodology and assessment of results

2.1. Activities and methodology

The activities and the methodology to implement the capacity building activities have been presented in previous versions of this document and presented at previous sessions of the Compliance Committee.

2.2. Assessment of results

During the first day of the mission, most of the time is dedicated to the description of the compliance process and the methodology to be used during the week leading, at the end of the mission, to the development of the Compliance Action Plan and/or the compilation of the draft Country Compliance Report. From the list of “*not compliant issues*” and “*partially compliant issues*”, several working groups are formed according to the areas relating to the compliance issue to work with staff of the Compliance Section. The plan of action is structured in components (corresponding to Resolutions) and sub-components (corresponding to requirements of Resolutions). For each sub-component, activities are defined together with an implementation time frame, implementation responsibility, indicators to verify the effective implementation of each activity.

The countries that have benefited from the follow up of the Compliance Support Mission (CSM) during the intersessional period are listed in Table 1.

Country	Mozambique	Mauritius	Tanzania	Comoros	Madagascar
Date of CSM	6/10 Feb. 2017	20/24 Feb. 2017	28 Feb./3 March 2017	7/9 March 2017	20/24 March 2017
Country	Indonesia	South Africa	Malaysia		
Date of CSM	16/19 Aug. 2016	28/30 Sept. 2016	11/13 Oct. 2016		

Table 1 – Follow up of Compliance Support Missions conducted during the 2016/17 intersessional period.

In the 2017/18 intersessional period, follow up CSMs shall be conducted for 3 to 6 CPCs that had previously benefited from similar missions in 2013, 2014, 2015, and 2016.

The results following the Compliance Support Missions are presented in Appendix 1 (Note: 2016 compliance assessment on-going).

3. Implementation of the IOTC port State measures Resolution (16/11): activities and methodology

3.1. National port State measures training

With regards to the IOTC port State measures Resolution (PSMR), the activities are related to the administrative and operational aspects of the implementation of Resolution 16/11. Prior to the delivery of the training course, a training package had been developed. It includes a manual, a species identification guide, a translation guide, a notebook, a training programme and as well as an inspectors' kit and a PSM library. The PSM training package is available for download at <http://www.iotc.org/compliance/port-state-measures>.

The national trainings are undertaken over a period of five training days in one country, by one IOTC staff from the Compliance Section and one training expert. The PSMR training is composed of theory and practical components, where port inspections are conducted when the context allow it.

The methodology comprises as well of follow up missions to provide support to the implementation of the Resolution 16/11 and to assess the progress of its implementation.

The country that have benefited of the PSM national training course during the intersessional period is listed in Table 2.

Country	South Africa / Durban
Date of PSM	4/8 Jul. 2016
Officers trained	30

Table 2 –PSM training course and number of officers trained.

In 2017, follow up of PSM national training course shall be conducted in 3 to 5 CPCs that have benefited from the national PSM training course.

3.2. Regional port State measures training

3.2.1. National interagency collaboration and regional cooperation

A regional training focusing on the implementation of the paragraph 4 of the Resolution 16/11 was delivered to Eastern Indian Ocean CPCs (Australia, Indonesia, Sri Lanka, Thailand, Iran, Maldives, Oman and Malaysia). The training was held on 3 – 7 October 2016, in Phuket, Thailand, where 30 officers were trained. The regional training package is available for download at the following link:

<http://www.iotc.org/meetings/2nd-regional-psm-training-national-interagency-collaboration-and-regional-cooperation>

A model MoU on interagency cooperation and a guideline on best practices for interagency and regional cooperation has been developed to assist CPCs to strengthen cooperation among national agencies implementing PSM. They are available at the following link:

<http://www.iotc.org/compliance/port-state-measures>

3.2.2. Monitoring landings and transshipments in port

One regional PSM training focusing on the implementation of the paragraph 10.1 of the Resolution 16/11 was delivered to Western Indian Ocean CPCs (Comoros, Kenya, Tanzania, Maldives, Mauritius, Mozambique, Seychelles, Somalia and South Africa) to respond to the requirement of inspection/monitoring of at least 5% of landings or transshipments in ports. The training was held on 6 – 10 June 2016, in Maputo, Mozambique, where 22 officers were trained. The regional training package is available for download at the following link:

<http://www.iotc.org/meetings/1st-regional-psm-training-monitoring-landings-and-transshipments-port>

Two practical PSM trainings focusing on the implementation of the paragraph 10.1 of the Resolution 16/11 were conducted to respond to the requirement of inspection/monitoring of at least 5% of landings or transshipments in ports. The first training was held on 17 – 21 October 2016, in Port Louis, Mauritius, where 10 officers from the Port State Control Unit, Mauritius, were trained.

A second training was held on 5 – 9 December 2016, in Port Louis, Mauritius, where 10 officers from the Port State Control Unit of Mauritius, two inspectors from Kenya and two inspectors from South Africa were trained.

4. Legal assistance to CPCs to transpose IOTC obligations into binding national legal instruments

The Secretariat has obtained funds from the Global Partnership for Oceans of the World Bank, managed by the Indian Ocean Commission (IOC), to provide legal assistance to 11 IOTC CPCs (Comoros, Kenya, Madagascar, Maldives; Mauritius, Mozambique, Seychelles, Somalia, South Africa, Tanzania and Yemen) to translate the relevant obligations of IOTC Resolutions into the national legislation of these CPCs, in order to enhance the implementation and compliance to the IOTC Resolutions. The project “Review fisheries law and regulations to ensure that the legal framework is adequate to allow the Members to implement the Resolutions adopted by the Indian Ocean Tuna Commission” has been implemented over two years; in 2015 and 2016.

Article X of the IOTC Agreement focuses on the implementation of the decisions of the Members. With regards to implementation, paragraph 1) requests that “*Each Member of the Commission shall ensure that such action is taken, under its national legislation, including the imposition of adequate penalties for violations, as may be necessary to make effective the provisions of this Agreement and to implement conservation and management measures which become binding on it under paragraph 1 of Article IX.*” In practice, the Members have the obligation to transpose relevant Conservation and Management Measures adopted by the Commission.

As reported in document IOTC-2016-CoC13-09 Rev 2, Phases 1 and 2 of the project were completed in 2015/2016.

Phase 3 is being implemented: During this 3rd Phase, country visits are being conducted, during which the consultant is providing tailored legal assistance, as needed, to the beneficiary CPCs in order to ensure that the report prepared under Phase 2 is in accordance with the national legislative drafting practice and the consultant is providing overall guidance on the process of transposing the IOTC “Legislative Framework” into the national legislation.

5. e-PSM application

With the support of the Global Partnership for Oceans (GPO) of the World Bank, the Secretariat has implemented the project “*Development of an information system / web based application on Port State Measures*”. The purpose of the project was to develop an online Port State Measures information system (e-PSM), accessible through the IOTC web site, to support the implementation of IOTC Resolutions on PSM.

Following the installation of a dedicated server in the premises of the IOTC Secretariat, the e-PSM application became functional in May 2016. As required by the paragraph 3 of the Resolution 16/11, the IOTC Secretariat has provided training to port State CPCs on the use of the e-PSM application. The five days training was conducted in two sessions: the 1st session targeted the fishing industry (representatives of foreign fishing vessels / agents) on how to use the application and submit an advance request to enter a port (AREP) through the application; the 2nd session targeted the personnel of the competent authority of the port State.

The countries that have benefited of the e-PSM national training course during the 2016/17 intersessional period are listed in Table 3.

Country	Seychelles	EU-France	South Africa	Mozambique	Madagascar	Mauritius	Tanzania
Date of PSM training	4/6 May 2016	19/20 May 2016	18/22 Jul. 2016	8/12 Aug 2016	22/26 Aug. 2016	5/9 Sept. 2016	19/20 Sept. 2016
No. of Agents trained	6	1	9	6	5	21	12
No. of Officers trained	10	8	6	6	15	12	8

Country	Kenya	Sri Lanka	Malaysia	Oman	Thailand	Indonesia
Date of PSM	22/23 Sept 2016	15/18 Nov 2016	21/25 Nov 2016	27/29 Dec 2016	9/13 Jan. 2017	16/20 Jan. 2017
Agents trained	10	4	16	12	20	6
Officers trained	5	10	17	15	25	13

Table 3 –Number of e-PSM training course conducted and number of agents/officers trained.

In the 2017/18 intersessional period, the e-PSM training course will be conducted in the Maldives, and complementary training will be conducted in 7 to 10 other CPCs that have already benefited from the initial training course.

As of 31st March 2017, through the e-PSM application: 898 vessel files have been created and 2,208 PSM forms have been submitted; of which; 853 are advance request of entry into port (AREP), 631 are notifications (NFV) of entry into port authorised, 1 notification (NFV) of entry into port denied and 480 are port inspection reports.

The number of vessel files by port State CPCs created in the e-PSM application is listed in Table 4 (From 6 May 2016 to 31st March 2017).

Country	Mauritius	Seychelles	Madagascar	South Africa	Sri Lanka	Thailand	Malaysia
Vessel files	557	94	50	42	36	32	28

Country	Mozambique	EU (France)	Tanzania	Kenya	Oman	Indonesia
Vessel files	28	5	3	1	0	0

Table 4 – Number of vessel files by port State CPCs.

6. Organisations/donors supporting IOTC capacity building activities

The CSM and PSM capacity building activities have been supported by: The Indian Ocean Commission’s SmartFish Programme (EU funded), the EU grant (DG Mare), the Global Partnership for Oceans of the World Bank, the FAO/GEF tuna ABNJ Programme and the IOTC regular budget.

7. Trends in Compliance Level of the Commission

The methodology described in the previous sections has allowed presenting the comparison of 6 years of compliance assessment for the Commission, by fisheries management tools.

6.1. IOTC compliance

The level of compliance of the Commission is presented in Figures 1 and 2, below, and for individual CPCs compliance level from 2010 to 2016, these are presented in Appendix 1.

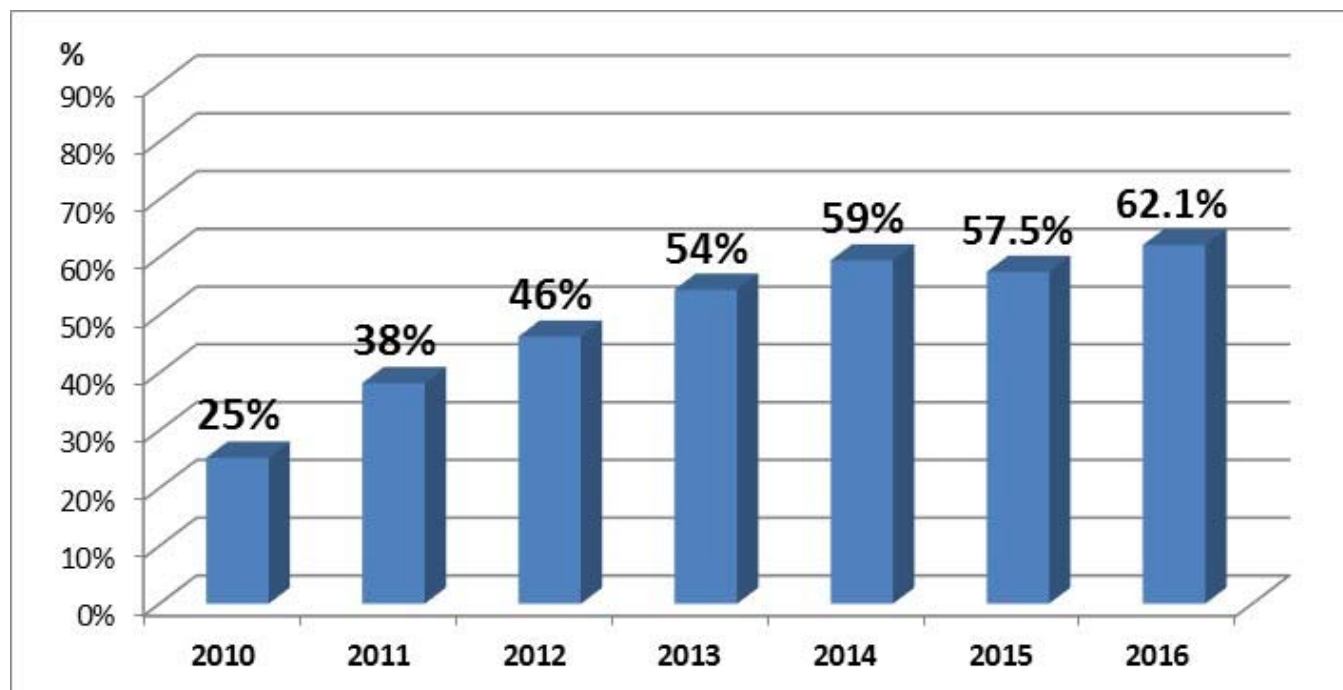
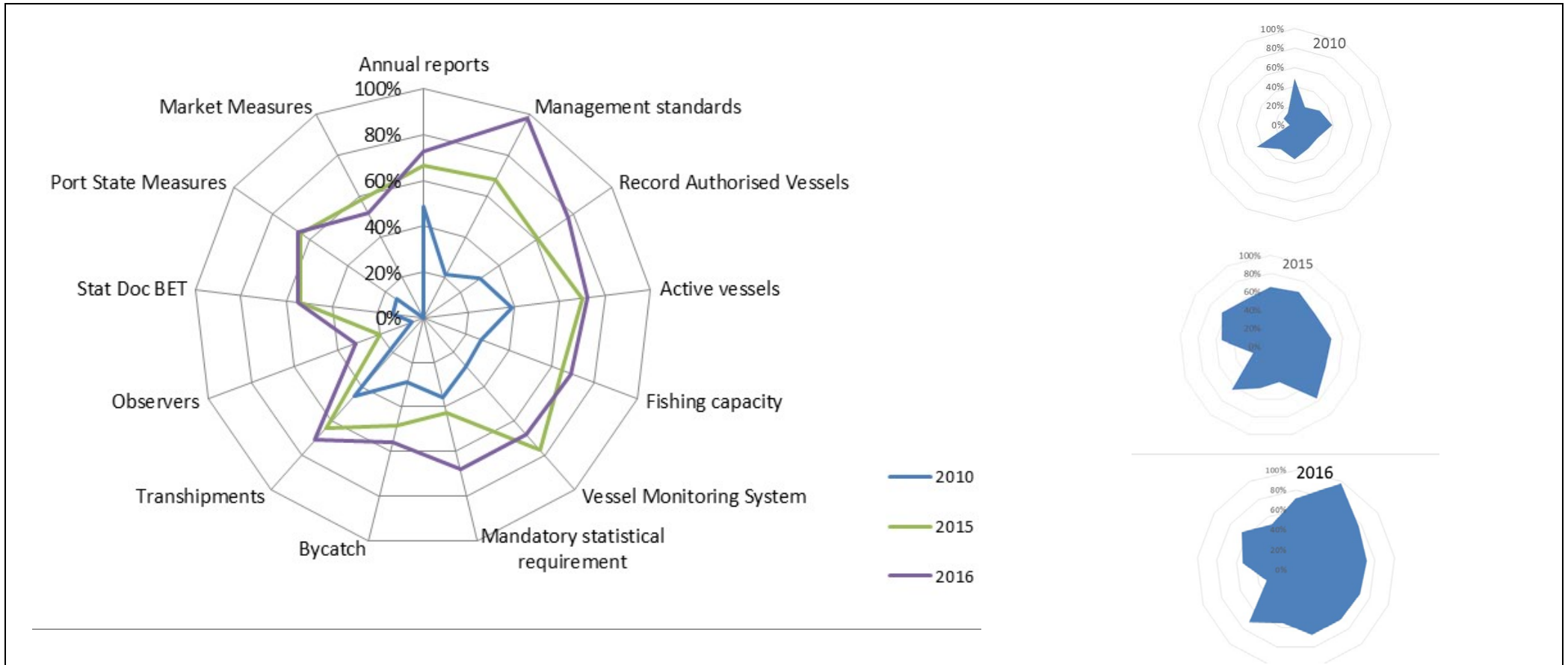


Figure 1: Level of compliance of the Commission from 2010 to 2016.

Note: The level of compliance is expressed in percentage – 85 reporting requirements in 2016.

Figure 2. Trends in compliance levels with the different fisheries management tools



Notes

Annual reports = Implementation report, compliance questionnaire, national scientific report, feedback letter - 4 reporting requirements.
 Management Standard = Resolutions 15/04, 15/01, 12/12, 15/08, 14/05 (Denial of license, agreement, coastal State license) – 12 reporting requirements.
 Domestic and foreign active vessels = Resolution 10/08, 14/05 (list of foreign vessels licensed in EEZ) – 2 reporting requirements.
 Fishing capacity = Resolution 15/11 – 3 reporting requirements.
 Vessel Monitoring System = Resolution 15/03 -3 reporting requirements.
 Mandatory statistical requirement = Resolution 15/02 - 15 reporting requirements.

Bycatch = Resolutions 05/05, 12/09, 13/06, 12/04, 12/06, 13/04, 13/05 – 12 reporting requirements.
 Transhipment = Resolution 14/06 – 5 reporting requirements.
 Observers = Resolution 11/04 – 5 reporting requirements.
 Stat Doc BET = Resolution 01/06 – 4 reporting requirements.
 Port State Measures = Resolutions 05/03, 16/11 – 7 reporting requirements.
 Market State measures – 1 reporting requirement.

Note: Market related measures only for year 2015 and 2016 (Res. 10/10). Resolutions 11/03 and 07/01 not included.

Appendix 1: Individual CPCs level of compliance between 2010 and 2016.

Compliance Rate = number of requirements compliant / number of requirements applicable.

CPCs / year	Compliance Rate							Trend
	2010	2011	2012	2013	2014	2015	2016	
Australia	47%	85%	78%	84%	85%	88%	93%	↑
Bangladesh						10%	9%	↓
China	55%	74%	76%	85%	96%	90%	88%	↓
Comoros	29%	43%	79%	55%	61%	75%	96%	↑
Djibouti					3%	4%	4%	↔
Eritrea	0%	0%	0%	7%	7%	8%	8%	↔
European Union	71%	73%	80%	83%	88%	83%	88%	↑
France (OT)	61%	55%	72%	77%	80%	90%	100%	↑
Guinea	0%	0%	0%	22%	22%	22%	22%	↔
India	29%	24%	32%	38%	23%	9%	6%	↓
Indonesia	13%	7%	47%	45%	62%	60%	68%	↑
Iran, Islamic Republic of	11%	52%	60%	65%	69%	75%	76%	↑
Japan	82%	97%	93%	93%	91%	97%	92%	↓
Kenya	3%	8%	31%	66%	71%	66%	49%	↓
Korea, Republic of	77%	84%	92%	89%	96%	97%	91%	↓
Liberia						100%	100%	↔
Madagascar	13%	18%	22%	75%	81%	66%	81%	↑
Malaysia	11%	26%	17%	40%	57%	56%	75%	↑
Maldives	3%	33%	50%	57%	79%	78%	76%	↓
Mauritius	15%	48%	54%	69%	80%	81%	88%	↑
Mozambique		47%	58%	72%	82%	80%	89%	↑
Oman, Sultanate of	10%	11%	27%	33%	53%	57%	78%	↑
Pakistan	0%	11%	5%	7%	5%	6%	19%	↑
Philippines	18%	52%	48%	61%	80%	67%	79%	↓
Senegal	0%	0%	50%	60%	56%	67%	75%	↑
Seychelles	36%	47%	41%	56%	74%	73%	72%	↓
Sierra Leone	0%	0%	0%	18%	18%	18%	18%	↔
Somalia					80%	71%	73%	↑
South Africa	38%	48%	64%	54%	65%	76%	77%	↑
Sri Lanka	5%	18%	47%	51%	60%	74%	77%	↑
Sudan	0%	0%	0%	6%	6%	6%	6%	↔
Tanzania	0%	7%	4%	45%	60%	56%	63%	↑
Thailand	28%	38%	43%	44%	45%	68%	66%	↓
United Kingdom (OT)	86%	100%	100%	100%	100%	100%	100%	↔
Yemen			0%	3%	3%	2%	2%	↓
Commission (All CPCs)	25%	38%	46%	54%	59%	57.5%	62.1%	↑

Cells in green indicate CPCs that have benefited from the Compliance Support Mission (CSM) and follow up of CSM and the year it was conducted.