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## UPDATE ON PROGRESS REGARDING RESOLUTION 16/03 – ON THE SECOND PERFORMANCE REVIEW FOLLOW-UP

PREPARED BY: IOTC SECRETARIAT, 20 NOVEMBER 2018

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### PURPOSE

To provide the Scientific Committee (SC) with an opportunity to review and discuss the recommendations arising from the Second Performance Review and adopted by the Commission in Resolution 16/03.

### BACKGROUND

In response to calls from the international community for a review of the performance of Regional Fisheries Management Organisations (RFMOs), the Indian Ocean Tuna Commission (IOTC) agreed in 2007 to implement a process of Performance Review. The IOTC formed a Review Panel, consisting of an independent legal expert, an independent scientific expert, six IOTC Members and a non-governmental organisations observer, which concluded its report to the Commission in January 2009. The Panel's review was based on the criteria developed as a result of a joint meeting of tuna RFMOs, Kobe, Japan, 2007 and concentrated on the following issues:

- Adequacy of the Agreement for the Establishment of the Indian Ocean Tuna Commission (IOTC Agreement) relative to current principles of fisheries management,
- Consistency between scientific advice and conservation and management measures adopted,
- Effectiveness of control measures established by the IOTC; and
- Efficiency and transparency of financial and administrative management.

In 2009, the first IOTC performance review panel published a report outlining 81 recommendations to improve the functioning of the IOTC. In 2015, a second performance review was completed and its recommendations were submitted for consideration of the Commission at its 20<sup>th</sup> Session.

### DISCUSSION

At the 20<sup>th</sup> Session of the Commission held in May 2016, Members adopted Resolution 16/03 *On the second performance review follow-up*, endorsed the recommendations of the Panel Report, and establishes a Technical Committee with the objective of preparing a Program of Work with concrete actions on the recommendations, including priorities, proposed timelines, budgets, and a possible text of a new IOTC Agreement. The first meeting of the Technical Committee on the Performance Review (TCPR) will take place from 8 to 9 February 2018 in the Seychelles. The recommendations relevant to the Scientific Committee that will be reviewed by the Technical Committee on the Performance Review are provided in [Appendix A](#) for consideration.

### RECOMMENDATIONS

That the Scientific Committee:

- 1) **NOTE** paper IOTC–2018–SC21–08 which lists the recommendations from the performance review in [Appendix A](#).

### APPENDICES

**Appendix A:** [2018: Update on progress regarding Resolution 16/03 – On the second performance review follow-up](#).

## APPENDIX A

**2018: UPDATE ON PROGRESS REGARDING RESOLUTION 16/03 – ON THE SECOND PERFORMANCE REVIEW FOLLOW-UP  
(NOTE: NUMBERING AND RECOMMENDATIONS AS PER APPENDIX I OF RESOLUTION 16/03)**

| REFERENCE #               | RECOMMENDATION  | RESPONSIBILITY              | UPDATE/STATUS   | TIMELINE | PRIORITY |
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| PRIOTC02.02<br>(para. 86) | <p><i>Status of living marine resources</i></p> <p>The PRIOTC02 <b>RECOMMENDED</b> that:</p> <p>a) while continuing to work on improving data collection and reporting, the Scientific Committee should continue to utilise qualitative stock assessment methodologies for species where there is limited data available, including ecological risk based approaches, and support the development and refinement of data poor fisheries stock assessment techniques to support the determination of stock status.</p> | <i>Scientific Committee</i> | <p><b>Ongoing:</b> Since 2013, data-poor approaches to determining stock status have been applied to a range of billfish and neritic tuna species. The WPM has an item in their programme of work specifically related to this:</p> <p>2.1 Explore potential methods of presenting stock status advice to managers from a range of data limited scenarios, e.g. through the development of a ‘Tier’ approach for providing stock status advice, based on the type of indicators used to determine stock status (e.g. CPUE series, stock assessment model)</p> <p>A project has been developed with EU funding to further this work and it will be conducted and presented in 2019.</p> <p>A capacity-building workshop was held in collaboration with ABNJ in 2017 on the DLMtool.</p> <p>Ecological risk assessments have been conducted in 2018 for the main shark species as well as for marine turtles in the Indian Ocean.</p> | Ongoing  | Medium   |

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|  | <p>b) confidentiality provisions and issues of accessibility to data by the scientists involved needs to be clearly delineated, and/or amended if necessary, so that stock assessment analysis can be replicated.</p>  | <p><i>Scientific Committee &amp; Commission</i></p>                           | <p><b>Ongoing:</b> Input, output and executable files for the assessment of major stocks are archived with the Secretariat to allow replication of analyses. Access to operational data under cooperative arrangements, and those subject to confidentiality rules is still limited. In some cases, the Secretariat is bound by the domestic data confidentiality rules of Members and Cooperating Non-Contracting Parties.</p> <p>Ongoing developments to the new integrated IOTC database are improving the accessibility of IOTC data sets for users outside the Secretariat, while ensuring that confidentiality rules are fully respected.</p> <p>IOTC has contributed and provided support to the BlueBridge initiative for the development and implementation of a collaborative environment to be used by scientists to replicate and execute stock assessments within the BlueBridge distributed infrastructure. .</p> <p>The outputs of CPUE standardisation are available but access to the raw data may not be provided.</p> | <p>Ongoing</p> | <p>Medium</p> |
|  | <p>c) chairpersons and Vice-Chairpersons of the Scientific Committee and respective Working Parties, in conjunction with the IOTC Secretariat, develop guiding principles for the provision of papers to ensure that they are directly related to the Program of Work of the respective Working Party and/or Scientific Committee, as endorsed by the Commission, while still encouraging for new and emerging issues to be presented.</p> | <p><i>Scientific Committee &amp; Working Party Chairs and Vice-Chairs</i></p> | <p><b>Ongoing:</b> Given the substantial increase in the quantity of documents submitted for WP meetings in recent years (often reaching 60) the IOTC Secretariat is working closely with Chairs to filter through the papers of most relevance to the agreed agenda items based on the priorities of the SC and Commission for that year, and requesting authors to resubmit their paper for an alternative meeting or as a reference “information” document.</p>   | <p>Ongoing</p> | <p>Medium</p> |

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|                                   | <p>d) ongoing peer review and input by external scientific experts should be incorporated as standard best practice for Working Parties and included in the Commission's regular budget.</p>   | <p><i>Scientific Committee &amp; Commission</i></p> | <p><b>Ongoing:</b> External experts (Invited Experts) are regularly invited to provide additional expertise at Working Party meetings.</p> <p>The SC requested that at least one 'Invited Expert' be brought to each of the science Working Parties in 2017 and in each subsequent year, so as to further increase the capacity of the Working Parties to undertake the work detailed in the Program of Work (para 178 IOTC-2016-SC19-R)</p> <p>In 2018 an Invited Expert attended all the WP meetings except for the WPDCS.</p> <p>The budget allocated to this by the Commission has been doubled as it is considered a priority.</p> <p>The SC agreed that once stock assessment models were considered robust, that peer review would be advantageous and funds will be requested to undertake peer reviews of stock assessments.</p> | <p>Ongoing</p> | <p>High</p> |
| <p>PRIOTC02.03<br/>(para. 96)</p> | <p><b>Data collection and reporting</b></p> <p>The PRIOTC02 <b>RECOMMENDED</b> that:</p> <p>a) the Commission make further investments in data collection and targeted capacity building, which is necessary for further improvement in the provision and quality of data in support of the Commission's objectives, as well as to identify the sources of the uncertainty in data and work towards reducing that uncertainty.</p> | <p><i>Commission</i></p>                            | <p><b>Ongoing:</b> There are multiple opportunities and sources of funding for capacity building on data collection and scientific analyses, both within the IOTC budget and in the context of other partnerships.</p>  | <p>Ongoing</p> | <p>High</p> |

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|  | b) while there are budgetary implications, the IOTC Secretariat staffing dedicated to data collection and data capacity building activities should be increased from 3 to 5 full-time data staff.   | <i>Commission</i>       | <b>Pending:</b> Recruitment of a P1 (Fisheries Officer) began in late-2017 and is still ongoing. However, the IOTC Data Section still remains severely understaffed given the increasing work loads. These include monitoring data compliance and technical support missions, support to the implementation of the Regional Observer Scheme, development of the IOTC database and dissemination systems, and new work streams taking place in 2018 (e.g., E-monitoring, ROS Pilot Project, support for implementation of skipjack HCR [Res 16/02], and yellowfin catch reduction [Res.17/01]).   | Ongoing | High |
|  | c) the IOTC Secretariat should facilitate discussions with coastal State non-CPCs and other non-CPCs fishing within the IOTC area of competence to formalise long-term strategies for data submission to the IOTC Secretariat, including all relevant historical data sets. | <i>IOTC Secretariat</i> | <b>Ongoing:</b> This is partially being addressed by the programme of work allocated to the IOTC Data Compliance and Support missions.   | Ongoing | High |
|  | d) steps to gain access to fine-scale data to be used in joint analysis, with sufficient protection of confidentiality, should be taken.  | <i>IOTC Secretariat</i> | <p><b>Ongoing:</b> This capability will be partially addressed through the functionalities provided by the new IOTC database, depending on the quality of these fine-scale data and confidentiality restrictions.</p> <p>The collaborative longline CPUE (involving Japan, Rep. of Korea, and Taiwan,China and an independent fisheries consultant) has involved the sharing of operational level data. While the results of analyses, and joint-CPUE, have been published, the fine-scale data remains confidential.</p> <p>In 2017, the collaborative workshop explored the feasibility of including data from other CPCs (i.e. Seychelles Industrial longline) and discussed the possibilities and potential options of allowing more flexibility in data access (e.g. the possibility of remote access).</p> | Ongoing | High |

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|  | e) where budgets and other resources permit, to encourage data preparatory meetings preceding stock assessment review meetings (Working Parties).  | <i>Scientific Committee</i> | <b>Ongoing:</b> The SC has considered this in previous years and for WPTmT a preparatory meeting in 2019 will be held before the stock assessment update later in the year.   | <b>Ongoing</b> | <b>Medium</b> |
|  | f) innovative and/or alternative means of data collection and reporting should be explored and, as appropriate, implemented, including a move towards electronic data collection and reporting for all fleets. | <i>Scientific Committee</i> | <p><b>Ongoing:</b> The IOTC Secretariat has developed an electronic tool for the Regional Observer Scheme to facilitate collection and reporting of ROS data.</p> <p>A pilot E-monitoring project was initiated in 2018, focused on small-scale fisheries (e.g., gillnet, gillnet-longline multi-gear vessels) for which there are practical difficulties placing on-board observers, and for which there is currently little or no data reported to the IOTC Secretariat.</p> <p>In October 2017 a consultation and validation workshop was held in South Africa to discuss with CPCs the future implementation of e-MARIS, an electronic Monitoring And Reporting Information System that will streamline - among others - the submission of mandatory statistical data to the Secretariat. As of November 2018, three international teams have submitted their expression of interest for the implementation of the system, and the selection process is under way with the expected start of development scheduled for Q1 2019.</p> <p>The Scientific Committee is developing minimum standards for the implementation of electronic observation systems and determining how they can be used to increase levels of observer coverage for Indian Ocean fisheries as requested by Res. 16/04</p> | <b>2018</b>    | <b>High</b>   |

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| <p>PRIOTC02.05<br/>(para. 104)</p> | <p><b>Capacity building (Data Collection)</b></p> <p>The PRIOTC02 <b>RECOMMENDED</b> that:</p> <p>a) the Commission expand its current data support and data compliance missions and that the IOTC Secretariat should be granted increased autonomy to seek and attract external donor funds to support the work approved by the Commission, including supporting actions and/or capacity building initiatives from Compliance Missions that are applicable to more than two CPCs.</p>   | <p><i>Commission</i></p>                   | <p><b>Ongoing:</b> The IOTC Secretariat is actively engaged in a programme of data compliance and support missions, but is constrained by current staffing resources within the Data Section.</p> <p>During 2018, data compliance and support missions were conducted in Sri Lanka (February and ongoing for e-monitoring), Indonesia (April/May), Indonesia/Bali (July). and a trip to Pakistan is planned for December. The trip to Sri Lanka included a second (follow-up) training workshop for the adoption of the ROS electronic tools to facilitate the data entry, validation and reporting of observer data to the IOTC Secretariat.</p> <p>External funding for the missions was provided by EU DG-MARE.</p> | <p>Ongoing</p> | <p>High</p> |
|                                    | <p>b) the IOTC should continue the workshop series aimed at Connecting the IOTC Science and Management processes. The aims of the workshop series should be to: 1) improve the level of comprehension among IOTC CPCs on how the scientific process informs the management process for managing of IOTC species and ecosystem-based management; 2) increase the awareness of IOTC Contracting Parties to their obligations, as stipulated in the Commissions' Conservation and Management Measures which are based on rigorous scientific advice; 3) improve the decision making process within the IOTC; and 4) to provide direct assistance in the drafting of proposals for Conservation and Management Measures.</p> | <p><i>Commission &amp; Secretariat</i></p> | <p><b>Ongoing:</b> Although this has been replaced by the IOTC Technical Committee on Management Procedures which met for first time in May 2017, TCMP recommended that this meeting is extended from its current one-day format and that more time is spent developing appropriate science-related capacity to facilitate mutual understanding.</p> <p>An ABNJ-funded capacity building workshops took place in 2017 and another was planned for 2018 to support the TCMP with more direct capacity building for managers from developing CPCs.</p>   | <p>Ongoing</p> | <p>High</p> |

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| PRIOTC02.06<br>(para. 106) | <p><b><i>Non-target species</i></b></p> <p>The PRIOTC02 <b>RECOMMENDED</b> that the Commission should continue to improve upon the requirements of data collection and reporting mechanisms of non-IOTC species that interact with IOTC fisheries.</p>   | <i>Commission and Scientific Committee</i>        | <p><b>Ongoing:</b> A new discard data reporting form, which allows the reporting of discards with spatial information and by month, has been established for the collection of data on non-retained bycatch species. Various aspects of the Pilot Project under Res 16/04 also intend to address this issue, including a workshop held in 2018 to review the data collection and reporting standards.</p>   | Ongoing | High   |
| PRIOTC02.07<br>(para. 112) | <p><b><i>Quality and provision of scientific advice</i></b></p> <p>The PRIOTC02 <b>RECOMMENDED</b> that:</p> <p>a) the Scientific Committee should continue the good work undertaken since the PRIOTC01 and strive to make further improvements in the way it communicates information about stock status and future prospects for the stocks to the Commission.</p> | <i>Scientific Committee &amp; Working Parties</i> | <p><b>Ongoing:</b> Revisions and amendments to the Species Executive Summaries are ongoing through various proposals from the WPs and SC that are intended to improve communication. These have been discussed at every SC meeting for the last few years and changes to the documents have been made accordingly. This issue will be further addressed by a project in 2019 specifically addressing the way the uncertainty in stock assessment advice based on data-limited methods is presented.</p> | Ongoing | Medium |
|                            | <p>b) an independent peer review process (and budgeting mechanism) for stock assessments should be implemented if IOTC science is to be considered to be in line with best practice and to maintain a high standard of quality assurance.</p>  | <i>Scientific Committee &amp; Commission</i>      | <p><b>Ongoing:</b> Invited external experts are routinely invited to participate in the meetings of the WP to provide additional expertise.</p>   | Ongoing | High   |

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|  | <p>c) the Scientific Committee, through its Working Party on Ecosystems and Bycatch should pursue the application of ecosystem modelling frameworks.</p>  | <p><i>Scientific Committee &amp; Working Party on Ecosystems and Bycatch</i></p> | <p><b>Ongoing:</b> The WPEB has recently added an item into its Program of Work on the development for a plan for ecosystem based fisheries management approaches in the IOTC and has requested the development of a preliminary ecosystem report card template. SC representatives and the Secretariat participated in the tRFMO joint workshop on operationalisation of the EAFM in 2017 and are planning to do so in 2019 and at future meetings.</p> <p>The ecosystem report card methodology was discussed during the 2018 meeting of the WPEB and subsequent workshops to advance the process are being planned for 2019.</p> | <p>Ongoing</p> | <p>Low</p>  |
|  | <p>d) continue to develop and adopt robust target and limit reference points, and species or fishery specific harvest control rules through management strategy evaluations, noting that this process has commenced for several species and is specified in IOTC <a href="#">Resolution 15/10</a> on target and limit reference points and a decision framework. The mandated Resolution 14/03 [superseded by <a href="#">Resolution 16/09</a>] on enhancing the dialogue between fisheries scientists and managers, will benefit from having communication between the Scientific Committee and the Commission more formally structured, facilitated dialogue to enhance understanding and inform decision making.</p> | <p><i>Scientific Committee &amp; Commission</i></p>                              | <p><b>Ongoing:</b> The 2<sup>nd</sup> Meeting of the Technical Committee on Management Procedures took place in 2018 and is due to continue to take place prior to each Commission meeting with the discussion of reference points on the agenda</p>  | <p>Ongoing</p> | <p>High</p> |

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|  | <p>e) the Commission and its subsidiary bodies continue to ensure that meeting schedules and activities are rationalised so that the already heavy workload of those involved, and budgeting constraints, are taken into account.</p>  | <p><i>Commission &amp; Scientific Committee</i></p> | <p><b>Ongoing:</b> All Working Parties have ranked the activities in their respective programs of work as high, medium or low and allocated a numerical ranking within the high priority category. These are further prioritised and summarised in paper IOTC-2018-SC21-09.</p> <p>The Scientific Committee will also discuss the potential to reduce the heavy yearly meeting schedule (by combining intersessional meetings with stock assessment meetings) to reduce the workload of the Secretariat and WPs.</p> | <p>Ongoing</p> | <p>Medium</p> |
|  | <p>f) the Commission fully implements <a href="#">Resolution 12/01 On the implementation of the precautionary approach</a>, so as to apply the precautionary approach, in accordance with relevant internationally agreed standards, in particular with the guidelines set forth in the UNFSA, and to ensure the sustainable utilisation of fisheries resources as set forth in Article V of the IOTC Agreement, including ensuring that a lack of information or increased uncertainty in datasets/stock assessment, is not used as a justification to delay taking management actions to ensure the sustainability of IOTC species and those impacted by IOTC fisheries.</p> | <p><i>Commission</i></p>                            | <p><b>Ongoing:</b> The precautionary approach is used by SC in the provision of the scientific advice for fishery management.</p> <p>A harvest control rule was adopted for skipjack tuna, and work is progressing on yellowfin, bigeye and albacore tunas, with support of external funding (FAO ABNJ Tuna Project)</p> <p>An MSE for swordfish is considered a high priority by the Commission (para. 40, IOTC-2017-S21-R).</p>  | <p>Ongoing</p> | <p>High</p>   |
|  | <p>g) while there are budgetary implications, the IOTC Secretariat staffing dedicated to scientific analysis should be increased from 2 to 4 full-time science staff.</p>  | <p><i>Commission</i></p>                            | <p><b>Ongoing:</b> The IOTC science staff section has now increased to 3 persons as the science manager position has been filled since July 2018. A further science coordinator position will be discussed and presented to the 2019 meeting of the Commission.</p>  | <p>Ongoing</p> | <p>High</p>   |

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| <p>PRIOTC02.08<br/>(para. 123)</p> | <p><b>Adoption of Conservation and Management Measures</b><br/>The PRIOTC02 <b>RECOMMENDED</b> that:</p> <p>b) as the IOTC has faced the management of the main targeted stock under its purview only through a regulation of the fishing effort; other approaches should be explored, such as those envisioned in Resolutions 05/01 and 14/02, including catch limits, total allowable catch (TAC) or total allowable effort (TAE).</p> | <p><i>Commission &amp; Scientific Committee</i></p> | <p><b>Pending:</b> While TCAC has progressed this work, WPTT agenda has also included the option of alternative management tools. This should be continued in light of Res 17/01 and 16/02 revisions.</p>  | <p>Pending</p> | <p>High</p>   |
|                                    | <p>c) the Science-Management Dialogue is strengthened to improve understanding of modern approaches to fisheries management, including the implementation of Harvest Strategies through the use of Management Strategy Evaluation. The Commission adopt a formal process of developing and implementing Harvest Strategies within a prescribed timeframe.</p>  | <p><i>Commission &amp; Scientific Committee</i></p> | <p><b>Completed:</b> The Commission adopted Resolution 16/09, establishing a Technical Committee on Management Procedures, formalising a process to facilitate discussion and adoption of harvest strategies. The first meeting of the TCMP took place in May 2017 with a second meeting taking place in May 2018.</p> <p>The Commission adopted the schedule of work of TCMP including the timelines and process for the development of MSE and adoption of HCR for IOTC Species (Appendix 9 of IOTC-2017-S21-R[E])</p>   | <p>Done</p>    | <p>High</p>   |
| <p>PRIOTC02.21<br/>(para. 204)</p> | <p>b) The IOTC should develop cooperative mechanisms, such as MoUs, to work in a coordinated manner on issues of common interest, in particular non-target species and an ecosystem approach with other RFMOs especially with SIOFA.</p>   | <p><i>Commission</i></p>                            | <p><b>Ongoing:</b> The IOTC is currently working with other tRFMOs, within the framework of the Kobe process, through joint meetings on the MSE, ecosystem approaches to management, harmonisation of observer schemes and a joint working group on FADs.</p> <p>A porbeagle risk assessment (southern hemisphere) was presented at WPEB in 2017. The IOTC Secretariat, the SC chair and the chair of WPEB all participated in the tRFMO joint meeting on EBFM (FAO, Rome) and the FAD Working Group (Madrid) in 2017.</p> | <p>Ongoing</p> | <p>Medium</p> |

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| PRIOTC02.22<br>(para. 211) | <p><i>Special requirements of developing States</i></p> <p>The PRIOTC02 <b>RECOMMENDED</b> that:</p> <p>a) the continuation and optimisation of the IOTC Meeting Participation Fund indefinitely as part of the IOTC Regular Budget, and that the MPF is used to support participation of all eligible Contracting Parties in order to create a more balanced attendance to both science and non-science meetings of the Commission.</p> | <i>Commission</i>                   | <p><b>Ongoing:</b> In 2018, 46 MPF applications were accepted by the IOTC Secretariat – although a significant proportion of applicants were funded through external funding sources rather than the IOTC regular budget.</p>  | Ongoing | High   |
|                            | <p>b) the IOTC Secretariat in partnership with development agencies and organisations, should develop a five year regional fisheries capacity development program to ensure coordinated capacity building activities across the region.</p>  | <i>Secretariat &amp; Commission</i> | <p><b>Ongoing:</b> A draft Science Strategic Plan has been developed and will be presented to the SC21 as document IOTC–2018–SC21–18. This plan includes the development plan for capacity building.</p> <p>A capacity-building workshop was held in 2018 on CPUE standardisation.</p> | Ongoing | Medium |