
SUMMARY REPORT ON COMPLIANCE SUPPORT ACTIVITIES

Prepared by: IOTC Secretariat, 02 April, 2013

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

Since 1998, the IOTC Secretariat has dedicated most of its efforts to the support to the scientific component of the IOTC process. Since 2008, with the increase in the number of CMMs adopted, more emphasis has been dedicated to the compliance component. A Compliance Section was created to assess and review all compliance aspects related to the implementation of the IOTC Conservation and Management Measures and provide support to CPCs in the implementation of Monitoring, Control and Surveillance (MCS) tools adopted by the IOTC Members, including: IUU vessel list, the Records of Authorized & Active Vessels, documents on board, marking of fishing vessels and gears, Vessel Monitoring System, fishing logbooks, regional observers scheme, transshipments programme, catch certification/trade documentation schemes.

In 2010, aware of the power and cost effectiveness of Port States measures as a compliance tool to combat IUU fishing activities in the Indian Ocean, the IOTC adopted a resolution on Port State measures to prevent, deter and eliminate illegal, unreported and unregulated (IUU) fishing (IOTC Resolution 10/11 on PSMR). The resolution, which entered into force on 1 March 2011, is inspired by the 2009 FAO Agreement on Port State Measures, but placed in the context of the IOTC mandate. The fisheries administrations of the coastal CPCs of the IOTC, where foreign fishing vessels offload tuna and tuna like species, are responsible for the implementation of the resolution.

The effective implementation of the IOTC Resolutions by coastal CPCs requires a variety of aspects to be considered, developed and/or strengthened, to improve the implementation capacity of the IOTC Resolutions by the concerned CPCs, including the Port State Measures Resolution. With regards to the PSMR, those aspects were identified during the port State measures Workshop organized in 2011 by the ACP FISH II Programme, financed by the European Union (9th EDF), in collaboration with the IOTC secretariat. At the national level, the most relevant aspects relate to the policy, legal, institutional, human resources and operational framework and at the international/regional level the resolution calls for cooperation between the port State, the flag State and the coastal State and others tuna RFMOs.

The general objective of the initiative is twofold:

1. Strengthen compliance with and implementation of active IOTC CMMs. In this case, implementation obligations relates to the reporting obligations of the CPCs including reporting on vessels (authorized & active vessels, IUU, fishing capacity and Fleet Development Plan), mandatory statistical requirements (Nominal catch, catch & effort, size frequency, FAD), management standards and monitoring, control and surveillance (MCS) tools (documents on board, marking of fishing vessels and gears, logbook, ban on driftnets, area closure, ports inspections, Vessel Monitoring System, regional observers scheme, at sea transshipments programme), implementation of management measures on by-catch and non-IOTC species and statistical documentation programme,
2. Provide technical support to the developing States - coastal CPCs of the IOTC responsible for the implementation of the port State measures to facilitate and strengthen the implementation of the port State measures Resolution, thus ensure the long-term conservation and sustainable use of the tuna resources.

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

2.1. Activities and methodology

With regards to the implementation of IOTC CMMs, the proposed activity is related to the assessment of the level of compliance of CPC taking into consideration the compliance issues addressed during the Compliance Committee and the Commission meeting. The purpose of the assessment is to identify and to facilitate corrective actions. The assessment allows the concerned parties to gain a clear understanding of the difficulties encountered by the CPC and the challenges they face to implement the IOTC Resolutions at the policy, legal, institutional/administrative and operational levels. The Compliance Support Missions (CSM) were undertaken on a country-by-country basis by 2 IOTC professional staffs from the Compliance Section (5 working days by country). The assessment process includes:

- a. Preparation of the assessment based on the compliance issues, review of national fisheries legislation, administrative structure/arrangements,
- b. Presentation of the compliance issues to the CPC and identification of constraints,
- c. Identification of corrective actions and pragmatic solutions,
- d. Development of a corrective actions plan designed to assist the CPC to improve and/or strengthen the implementation of the Resolutions.

The methodology comprises as well follow up Compliance Support Missions to provide support to the implementation of the plan of actions elaborated during the first CSM and assess the progress of the implementation of the plan of actions.

2.2. Preliminary assessment of results

For Sri Lanka, the compliance support mission took place from 5th to 8th February, 2013, at the Department of Fisheries and Aquatic Resources (DFAR), located in Colombo, and for Indonesia from 25th February to 1st March, 2013, at the Directorate General for Capture Fisheries, located in Jakarta.

During the first day of the mission, most of the time was 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. From the list of “*not compliant issues*” and “*partially compliant issues*”, several working groups were 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 (OVI).

For Indonesia, the plan of actions contains 17 components, 30 subcomponents and 48 actions. For Sri Lanka, the plan of actions contains 19 components, 25 sub-components and 48 actions.

The preliminary results following the Compliance Support Mission are presented in Table 1 (2012 compliance assessment on-going).

		Indonesia		Sri Lanka	
		2011	2012	2011	2012
Compliance by Resolution	Resolutions applicable	20		20	21
	Number of resolutions compliant	1	10	2	10
	Number of resolutions partially compliant	10	10	8	8
	Number of resolutions not compliant	9	0	10	3
Compliance by Requirement	Requirements applicable	47	51	39	47
	Number of requirements compliant	3	24	7	22
	Number of requirements partially compliant	16	18	9	17
	Number of requirements not compliant	27	9	23	8
Compliance Rate		6 %	47%	18 %	47%

Table 1 – Comparison of the level of compliance between 2011 and 2012, following the Compliance Support Mission (Compliance Rate = number of requirements compliant / number of requirements applicable).

The first page of the actions plan of Sri Lanka and Indonesia is presented in Annex I.

3. Training on the implementation of the IOTC port State measures Resolution (10/11): activities and methodology

With regards to the IOTC port State measures Resolution, the activities are related to the administrative and operational aspects of the implementation of the Resolution 10/11. Prior to the delivery of the training course, a training package has been developed. It includes a manual, a species identification guide, a translation guide, a notebook, a training programme and as well an inspectors kit and a PSM library. The trainings were undertaken by one IOTC professional staff from the Compliance Section and one training expert (5/6 training days by country). The PSMR training is composed of a theory and a practical component where on the job port inspections are conducted when the context allow it. The practical component is an opportunity to conduct inspections of foreign fishing vessels and use the IOTC inspection form.

The methodology comprises as well of follow up missions to provide support to the implementation of the Resolution 10/11 and assess the progress of the implementation of the port State measures Resolution 10/11.


For Sri Lanka, the IOTC port State measures training took place from 10th to 15th February, 2013, where 21 inspectors/administrators from DFAR were trained on the implementation of port State measures. For Indonesia, the training took place in Bogor from 4th to 9th March, 2013, and 19 inspectors/administrators from the Directorate of Fishing Ports and the Directorate of Fisheries Resources Management were trained on the implementation of port State measures. The training focused mostly on: a) the assessment of the Advance Request of Entry in Port (AREP), b) the Standard Operating Procedure for inspection of fishing vessel in port, c) the methodology to monitor the landing or the transshipment in port. For each training course, the knowledge of the participants were assessed through a multiple choice test covering the 16 learning outcomes (LO) (5 questions / 3 answers by LO) and IOTC Training Certificates have been issued to the participants.

Annex I – Compliance Actions Plan (first page)

Sri Lanka

Capacity building and strengthening of the implementation of IOTC Conservation and Management Measures																											
Country name: SRI LANKA																											
Date of Compliance Support Mission: 5 - 8 February 2013		Note: Action already implemented during the CSM																									
Description	Feb-13	Mar-13	Apr-13	May-13	Jun-13	Jul-13	Aug-13	Sep-13	Oct-13	Nov-13	Dec-13	Jan-14	Feb-14	Mar-14	Apr-14	May-14	Jun-14	Jul-14	Aug-14	Sep-14	Oct-14	Nov-14	Dec-14	Jan-15	Responsibility	OVis	
	Sri Lanka - Compliance Support Mission - Action plan																										
1 Resolution 09/02 on Limitation of Fishing capacity																											
1.1 Fleet Development Plan (FDP)																											
1.1.1	Provide an update of the FDP submitted in 2011 with target species and origin of the vessel.																									Director Management	FDP received by IOTC with information on target species and origin of vessels
1.1.2	Provide an update of the FDP every year including implementation status of the plan and vessels brought forward																									Director Management	FDP received by IOTC with information on target species and origin of vessels
1.2 List of vessels for Tropical Tuna during 2006																											
1.2.1	Report the list of vessels provided is for the target species Tropical Tuna																									Director Management and Mr Prasanna	Letter received by the IOTC Secretariat
1.3 List of vessels for SWO and ALB during 2007																											
1.3.1	Report no Sri Lankan vessels have been targeting SWO and ALB in 2007																									Director Management and Mr Prasanna	Letter received by the IOTC Secretariat
2 Res. 07/02 Concerning The Establishment Of An IOTC Record Of Vessels Authorised To Operate In The IOTC Area																											
2.1 List of Authorized vessels 24 metres in length overall or more																											
2.1.1	Update and report monthly the list of authorised vessels by providing IRCS recently allocated to the vessels																									A Director MCS and Mr Prasanna	List of authorised vessels received with IRCS on a monthly basis
2.1.2	To use IOTC reporting template to report on AFVs more than 24m																									Mr Prasanna	Request of update of the RAV for Sri Lanka received and based on the IOTC Template
2.2 List of Authorized vessels (less than 24m, operating in waters outside EEZ of the flag state)																											
2.2.1	To update the list of authorised vessel by providing IRCS recently allocated to the vessels																									A Director MCS and Mr Prasanna	List of authorised vessels received with IRCS on a monthly basis
2.2.2	To update the list of authorised vessel by providing missing GT (70 vessels)																									Mr Prasanna	List of authorised vessels received with GT missing
2.2.3	To use IOTC reporting template to report on AFVs less than 24 m																									Mr Prasanna	Request of update of the RAV for Sri Lanka received and based on the IOTC Template

Indonesia

 Capacity building and strengthening of the implementation of IOTC Conservation and Management Measures																												
Country name: INDONESIA																												
Date of Compliance Support Mission: 25 Feb - 1 March 2013		Note: Action already implemented during the CSM																										
Description		Feb-13	Mar-13	Apr-13	May-13	Jun-13	Jul-13	Aug-13	Sep-13	Oct-13	Nov-13	Dec-13	Jan-14	Feb-14	Mar-14	Apr-14	May-14	Jun-14	Jul-14	Aug-14	Sep-14	Oct-14	Nov-14	Dec-14	Jan-15	Responsibility	OVI	
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1 Resolution 09/02 on Limitation of Fishing capacity																												
1.1 Fleet Development Plan (FDP)																												
1.1.1	Provide an update of the FDP submitted in 2010 with origin of the vessels																										DFRM - DFBE (DGCF)	FDP received by IOTC with information on origin of vessels
1.1.2	Provide an update of the FDP every year including implementation status of the plan and vessels brought forward																										DFRM - DFBE (DGCF)	FDP received by IOTC with information on origin of vessels
2 Res. 07/02 Concerning The Establishment Of An IOTC Record Of Vessels Authorised To Operate In The IOTC Area																												
2.1 List of Authorized vessels 24 metres in length overall or more																												
2.1.1	IOTC secretariat to send list of vessels that have missing information/fields (GT, LOA, IRCS, operating ports)																										Compliance Section - IOTC Secretariat	List of authorised vessels with missing information received by Indonesia
2.1.2	Indonesia to complete missing information/fields (GT, LOA, IRCS, operating ports)																										DFRM - DFBE (DGCF)	Request of update of the RAV for Indonesia received by the IOTC Secretariat
2.1.3	Indonesia to provide list of vessels with completed for fields on GT, LOA, IRCS, operating ports																										DFRM - DFBE (DGCF)	Request of update of the RAV for Indonesia received by the IOTC Secretariat
2.1.4	IOTC secretariat to update the RAV for Indonesia																										Compliance Section - IOTC Secretariat	Notice of completion of the RAV for Indonesia sent to MMAF
2.2 List of Authorized vessels (less than 24m, operating in waters outside EEZ of the flag state)																												
2.2.1	IOTC secretariat to send list of vessels that have missing information/fields.																										Compliance Section - IOTC Secretariat	List of authorised vessels with missing information received by Indonesia
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2.2.3	Indonesia to provide list of vessels with completed for fields on GT, LOA, IRCS, operating ports																										DFRM - DFBE (DGCF)	Request of update of the RAV for Indonesia received by the IOTC Secretariat
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