

Report of the 1st Session of the IOTC Working Party on Implementation of Conservation and Management Measures

Beau Vallon, Seychelles, 5–7 March 2018

DISTRIBUTION:

Participants in the Session
Members of the Commission
Other interested Nations and International Organizations
FAO Fisheries Department
FAO Regional Fishery Officers

BIBLIOGRAPHIC ENTRY

IOTC–WPICMM01 2018. Report of the 1st Session of
the IOTC Working Party on the Implementation of
Conservation and Management Measures. Beau Vallon,
Seychelles, 2018.
IOTC–2018–WPICMM01–R[E]: 48 pp.



The designations employed and the presentation of material in this publication and its lists do not imply the expression of any opinion whatsoever on the part of the Indian Ocean Tuna Commission (IOTC) or the Food and Agriculture Organization (FAO) of the United Nations concerning the legal or development status of any country, territory, city or area or of its authorities, or concerning the delimitation of its frontiers or boundaries.

This work is copyright. Fair dealing for study, research, news reporting, criticism or review is permitted. Selected passages, tables or diagrams may be reproduced for such purposes provided acknowledgment of the source is included. Major extracts or the entire document may not be reproduced by any process without the written permission of the Executive Secretary, IOTC.

The Indian Ocean Tuna Commission has exercised due care and skill in the preparation and compilation of the information and data set out in this publication. Notwithstanding, the Indian Ocean Tuna Commission, employees and advisers disclaim all liability, including liability for negligence, for any loss, damage, injury, expense or cost incurred by any person as a result of accessing, using or relying upon any of the information or data set out in this publication to the maximum extent permitted by law.

Contact details:

Indian Ocean Tuna Commission
Le Chantier Mall
PO Box 1011
Victoria, Mahé, Seychelles
Ph: +248 4225 494
Email: IOTC-secretariat@fao.org
Website: <http://www.iotc.org>

Acronyms

AFV	Authorized Fishing Vessel
CMM	Conservation and Management Measure (of the IOTC; Resolutions and Recommendations)
CoC	Compliance Committee
CPCs	Contracting Parties and Cooperating Non-Contracting Parties
EU	European Union
EEZ	Exclusive Economic Zone
FAD	Fish Aggregating Device
FAO	Food and Agriculture Organization of the United Nations
FOC	Flag of Convenience
IO	Indian Ocean
IOTC	Indian Ocean Tuna Commission
LL	Longline
MCS	Monitoring, Control and Surveillance
NGO	Non-governmental organization
PS	Purse-seine
PSMA	Port State Measures Agreement, adopted in 2009
RFMO	Regional Fisheries Management Organization
ROS	Regional Observer Scheme
SC	Scientific Committee, of the IOTC
UNFSA	United Nations Fish Stocks Agreement, adopted in 1995
VMS	Vessel Monitoring System
WP	Working Party
WPICMM	Working Party on the Implementation of Conservation and Management Measures

HOW TO INTERPRET TERMINOLOGY CONTAINED IN THIS REPORT

The WPICMM01 Report has been written using the following terms and associated definitions so as to remove ambiguity surrounding how particular paragraphs should be interpreted.

Level 1: *From a subsidiary body of the Commission to the next level in the structure of the Commission:*

RECOMMENDED, RECOMMENDATION: Any conclusion or request for an action to be undertaken, from a subsidiary body of the Commission (Committee or Working Party), which is to be formally provided to the next level in the structure of the Commission for its consideration/endorsement (e.g. from a Working Party to the Scientific Committee; from a Committee to the Commission). The intention is that the higher body will consider the recommended action for endorsement under its own mandate, if the subsidiary body does not already have the required mandate. Ideally this should be task specific and contain a timeframe for completion.

Level 2: *From a subsidiary body of the Commission to a CPC, the IOTC Secretariat, or other body (not the Commission) to carry out a specified task:*

REQUESTED: This term should only be used by a subsidiary body of the Commission if it does not wish to have the request formally adopted/endorsed by the next level in the structure of the Commission. For example, if a Committee wishes to seek additional input from a CPC on a particular topic, but does not wish to formalize the request beyond the mandate of the Committee, it may request that a set action be undertaken. Ideally this should be task specific and contain a timeframe for the completion.

Level 3: *General terms to be used for consistency:*

AGREED: Any point of discussion from a meeting which the IOTC body considers to be an agreed course of action covered by its mandate, which has not already been dealt with under Level 1 or level 2 above; a general point of agreement among delegations/participants of a meeting which does not need to be considered/adopted by the next level in the Commission's structure.

NOTED/NOTING: Any point of discussion from a meeting which the IOTC body considers to be important enough to record in a meeting report for future reference.

Any other term: Any other term may be used in addition to the Level 3 terms to highlight to the reader of the IOTC report, the importance of the relevant paragraph. However, other terms used are considered for explanatory/informational purposes only and shall have no higher rating within the reporting terminology hierarchy than Level 3, described above (e.g. **CONSIDERED; URGED; ACKNOWLEDGED**).

TABLE OF CONTENTS

1. OPENING OF THE SESSION	6
2. ADOPTION OF THE AGENDA AND ARRANGEMENTS FOR THE SESSION	6
3. BACKGROUND OF THE WORK OF THE COMPLIANCE COMMITTEE TO-DATE.....	6
4. IDENTIFICATION OF INCONSISTENT USE OF TERMS AND DEFINITIONS IN CMMS	6
5. REVIEW OF THE GLOSSARY OF TERMS AND DEFINITIONS	7
6. WORK PLAN FOR THE WPICMM FOR THE NEXT FIVE YEARS	7
7. REVIEW OF THE ASSESSMENT CRITERIA FOR THE 2018 CPCS COMPLIANCE REPORT	7
8. DEFINITION OF A PROCEDURE AND CRITERIA TO DETERMINE WHEN A VESSEL SHALL, OR SHALL NOT, BE INCLUDED IN THE IOTC RECORD OF AUTHORIZED VESSELS	8
9. REVIEW OF THE EXTENSION OF THE APPLICABILITY OF RESOLUTION 15/11	8
10. OTHER BUSINESS	8
APPENDIX I LIST OF PARTICIPANTS	10
APPENDIX II STATEMENT BY MAURITIUS	11
APPENDIX III AGENDA FOR THE 1ST WORKING PARTY ON IMPLEMENTATION OF CMMS.....	12
APPENDIX IV LIST OF DOCUMENTS	13
APPENDIX V GLOSSARY OF TERMS AND DEFINITIONS.....	14
APPENDIX VI WPICMM WORK PLAN (2018-2022).....	19
APPENDIX VII ASSESSMENT CRITERIA FOR THE COMPLIANCE REPORT	25
APPENDIX VIII TEXT TO AMEND RESOLUTION 15/04	42
APPENDIX IX CONSOLIDATED SET OF RECOMMENDATIONS ARISING FROM WPICMM01	47

EXECUTIVE SUMMARY

The 1st Session of the Indian Ocean Tuna Commission's (IOTC) Working Party on the Implementation of Conservation and Management Measures (WPICMM) was held in Beau Vallon, Seychelles, from 5 to 7 March 2018. A total of 30 participants attended the Session. The meeting was opened on the 5th of March 2018 by the Chairperson, Mr Roy Clarisse (Seychelles), who welcomed participants to the Seychelles.

The following is a subset of the recommendations from the WPICMM01, which are provided in full at [Appendix IX](#):

Review of the work of the Compliance Committee

WPICMM01.01 ([Para. 12](#)): The WPICMM **RECOMMENDED** that as part of its workplan, the WPICMM identify the compliance issues that it should address and priorities set.

Use of terms and definitions in IOTC CMMs

WPICMM01.02 ([Para. 16](#)): The WPICMM **RECOMMENDED** that the Compliance Committee (CoC15) consider revising the list of active IOTC CMMs to improve its legal soundness based on terms of reference to developed by the WPICMM to harmonise terms and definitions and to use terms of legal art.

Review of the glossary of terms and definitions

WPICMM01.04 ([Para. 19](#)): The WPICMM **RECOMMENDED** that the Compliance Committee (CoC15) reaffirms the intended use of the glossary of terms and definitions (para. 71 of CoC11).

Work Plan for the WPICMM for the next five years

WPICMM01.05 ([Para. 26](#)): The WPICMM **RECOMMENDED** that the Compliance Committee (CoC15) consider and endorse the WPICMM work plan (2018–2023), as provided in Appendix V.

Review of assessment criteria

WPICMM01.07 ([Para. 30](#)): The WPICMM **RECOMMENDED** that the Compliance Committee (CoC15) should consider assessing CPCs for compliance with Article XIII of the IOTC Agreement.

Review of Resolution 15/04

WPICMM01.10 ([Para. 38](#)): The WPICMM **RECOMMENDED** that the CoC consider the new texts to amend Resolution 15/04, as provided in Appendix VIII and that the CoC recommend that the Commission (S22) consider the amendment.

Review of Resolution 15/11

WPICMM01.11 ([Para. 43](#)): The WPICMM **ACKNOWLEDGED** that in the absence of any other measure to manage and monitor the baseline capacities in the two identified fisheries, and to monitor the implementation of fleet development plans, it would be desirable to extend the applicability of Resolution 15/11.

WPICMM01.11 ([Para. 44](#)): For these reasons and until alternative measures are in place to manage capacities in the two fisheries, the WPICMM **RECOMMENDED** that the Commission extends the applicability of Resolution 15/11, noting that the extension of this resolution should not be seen as a means to maintain the status quo.

Other business

WPICMM01.12 ([Para. 48](#)): The WPICMM **NOTED** the low attendance rate of CPCs to this meeting (14 CPCs) and **RECOMMENDED** that the Compliance Committee to **URGE** CPCs to participate in the work of the WPICMM.

WPICMM01.14 ([Para. 52](#)): The WPICMM **RECOMMENDED** that the Compliance Committee consider the consolidated set of recommendations arising from WPICMM01, provided at Appendix IX.

1. OPENING OF THE SESSION

1. The 1st Session of the Indian Ocean Tuna Commission’s (IOTC) Working Party on Implementation of Conservation and Management Measures (WPICMM) was held in Beau Vallon, Seychelles, from 5 to 7 March 2018. A total of 30 participants (14 Members and one observer) attended the Session. The list of participants is provided at [Appendix I](#). In view of the absence of the Chairperson of the Compliance Committee, Mr Hosea Mbilinyi, who had agreed to Chair the first session of the WPICMM, and pending the election of a Chairperson, the meeting was opened by the IOTC Executive Secretary, Dr Christopher O’Brien. Dr O’Brien welcomed the participants and thanked them for their presence for this first session of the WPICMM.

2. ADOPTION OF THE AGENDA AND ARRANGEMENTS FOR THE SESSION

2. Noting the absence of the Mr Hosea Mbilinyi, the IOTC Executive Secretary called on participants to nominate a Chairperson and Vice-chairperson for this this meeting. Mr Roy Clarisse (Seychelles) was nominated, seconded and elected as Chairperson of the WPICMM for the biennium (2018 – 2019).
3. The WPICMM **NOTED** that there was no nomination for a Vice-chairperson and **AGREED** to defer this agenda item as was originally foreseen in the agenda.
4. Mr Clarisse thanked the participants for nominating him as the Chairperson of WPICMM01.
5. The Chairperson called on participants of the WPICMM to provide their comments and observations on the provisional agenda for the meeting.
6. The WPICMM **NOTED** the statement on sovereignty made by the Republic of Mauritius, which is provided in [Appendix II](#).
7. A proposal was made to add an agenda item under AOB to allow participants to present proposals intended for submission to the twenty-second Session of the Commission (S22). With this small amendment, the WPICMM **ADOPTED** the agenda provided at [Appendix III](#). The documents presented to the WPICMM01 are listed in [Appendix IV](#).

3. BACKGROUND OF THE WORK OF THE COMPLIANCE COMMITTEE TO-DATE

3.1 *Review of the work of the Compliance Committee*

8. The WPICMM **NOTED** the presentation by the IOTC Secretariat and **ACKNOWLEDGED** that the current method of conducting compliance assessment can be further enhanced.
9. The WPICMM **NOTED** that the current method of compliance assessment was agreed by the Compliance Committee in 2011.
10. The WPICMM **AGREED** to strengthen the compliance assessment method so as to distinguish between compliance issues that are more serious and those that are of a less serious nature.

3.2 *Decisions of the Commission related to the work of the Compliance Committee*

11. The WPICMM **NOTED** that the amount of work placed before the Compliance Committee had become too onerous and **ACKNOWLEDGED** that some of the work should be undertaken by the WPICMM, in accordance to the terms of reference for the WPICMM.
12. The WPICMM **RECOMMENDED** that as part of its workplan, the WPICMM identify the compliance issues that it should address and priorities set.

4. IDENTIFICATION OF INCONSISTENT USE OF TERMS AND DEFINITIONS IN CMMs

4.1 *Use of terms and definitions in IOTC CMMs*

13. The WPICMM **NOTED** paper [IOTC–2018–WPICMM–03](#), which identified weaknesses in IOTC CMMs due to inconsistent use of terms, lack of definition of key terms and use of terms that are not “terms of legal art”. The paper also provided a summary of IOTC Resolutions that require particular attention and amendments.
14. The WPICMM **AGREED** that a number of Resolutions; i) use inconsistent, weak or confusing definitions, ii) use terms that are not terms of legal art, iii) lack definitions of terms, and require amendments to include terms and definitions that are terms of legal art.
15. The WPICMM **ACKNOWLEDGED** that such amendments will improve the understanding of Resolutions, hence improve implementation at national level and further strengthen compliance by CPCs.

16. The WPICMM **RECOMMENDED** that the Compliance Committee (CoC15) consider revising the list of active IOTC CMMs to improve its legal soundness, based on terms of reference to be developed by the WPICMM to harmonise terms and definitions and to use terms of legal art.

5. REVIEW OF THE GLOSSARY OF TERMS AND DEFINITIONS

5.1 *Review of the glossary of terms and definitions*

17. The WPICMM **NOTED** paper [IOTC-2018-WPICMM-04](#), which reviewed and updated the IOTC Terms and Definitions and a proposed draft glossary of terms and definitions for consideration by the WPICMM.
18. The WPICMM **NOTED** the significance of this document and **ACKNOWLEDGED** that, due to the late availability of the document, the WPICMM did not have sufficient time to review the document and **RECOMMENDED** that CPCs be allowed six months from the close of WPICMM01 to provide comments and observations on each of the definitions listed in paper [IOTC-2018-WPICMM-04](#) to the IOTC Secretariat and that the glossary be discussed again at the next meeting of the WPICMM.
19. The WPICMM **RECOMMENDED** that the Compliance Committee (CoC15) reaffirms the intended use of the glossary of terms and definitions ([Appendix V](#)) (para. 71 of CoC11).

6. WORK PLAN FOR THE WPICMM FOR THE NEXT FIVE YEARS

20. The WPICMM **NOTED** paper [IOTC-2018-WPICMM-05](#), which describe the area of work of the WPICMM and outlined the 16 mandates of the WP found in the WPICMM terms of reference, Annex I, Resolution 17/02 *Working Party on the Implementation of Conservation and Management Measures*.
21. The WPICMM **NOTED** that time is a constraint to address the 16 areas of work identified in the terms of reference in plenary, and **REQUESTED** that three working groups be constituted and work in parallel on subgroups of the 16 mandates.
22. The WPICMM **ACKNOWLEDGED** the work undertaken by the three *ad hoc* working groups of the WPICMM constituted to develop components of the work plan.
23. The WPICMM **NOTED** that there are some areas of the work tasked to it which is already being addressed by other initiatives of the Commission or by the IOTC Secretariat and **REQUESTED** that those initiatives be aligned with the work of this WP.
24. The WPICMM **NOTED** that the work plan should be reviewed every year for the purpose of monitoring its implementation, and that it shall incorporate additional task(s) assigned to the WPICMM by the Compliance Committee or the Commission.
25. The WPICMM **ADOPTED** the work plan in [Appendix VI](#).
26. The WPICMM **RECOMMENDED** that the Compliance Committee (CoC15) consider and endorse the WPICMM work plan (2018–2023), as provided in [Appendix VI](#).

7. REVIEW OF THE ASSESSMENT CRITERIA FOR THE 2018 CPCs COMPLIANCE REPORT

7.1 *Review of assessment criteria*

27. The WPICMM **NOTED** paper [IOTC-2018-WPICMM-06](#), which described the assessment criteria used to compile the Compliance Reports of CPCs.
28. The WPICMM **NOTED** the 83 reporting requirements in the template of the Compliance Report for the next Compliance Committee (CoC15).
29. The WPICMM **ADOPTED** the assessment criteria in [Appendix VII](#) and **RECOMMENDED** that the IOTC Secretariat compile the Compliance Reports for the CoC15 with the assessment criteria endorsed by the WPICMM01.
30. The WPICMM **RECOMMENDED** that the Compliance Committee (CoC15) should consider assessing CPCs for compliance with Article XIII of the IOTC Agreement.
31. The WPICMM **RECOMMENDED** that the partially compliance assessment status be given a weight to distinguish between the level of compliance achieved by CPCs.
32. The WPICMM **RECOMMENDED** a complete review of the list of active CMMs at its next session to identify reporting requirements and implementation obligations that are not currently being assessed and submit its recommendations to the Compliance Committee in 2019.

8. DEFINITION OF A PROCEDURE AND CRITERIA TO DETERMINE WHEN A VESSEL SHALL, OR SHALL NOT, BE INCLUDED IN THE IOTC RECORD OF AUTHORIZED VESSELS

8.1 Review of Resolution 15/04

33. The WPICMM **NOTED** paper [IOTC-2018-WPICMM-07](#), which described a procedure and criteria to determine when a vessel shall, or shall not, be included in the IOTC Record of Authorised Vessels (RAV).
34. The WPICMM **NOTED** the 15 data requirements or vessel's attributes to be provided when requesting inclusion of a new vessel in the IOTC RAV.
35. The WPICMM **REQUESTED** that three additional attributes be added to the proposal to amend Resolution 15/04.
36. The WPICMM **REQUESTED** the IOTC Secretariat to provide a proposal to amend Resolution 15/04, on the basis of the amendments agreed by the WPICMM.
37. The WPICMM reviewed and **AGREED** on the proposed amendments to Resolution 15/04, as provided in [Appendix VIII](#).
38. The WPICMM **RECOMMENDED** that the CoC consider the new texts to amend Resolution 15/04, as provided in [Appendix VIII](#), and that the CoC recommend that the Commission (S22) consider the amendment.

9. REVIEW OF THE EXTENSION OF THE APPLICABILITY OF RESOLUTION 15/11

9.1 Review of Resolution 15/11

39. The WPICMM **NOTED** paper [IOTC-2018-WPICMM-08](#), which summarised the history of Resolution 15/11.
40. The WPICMM **NOTED** that the purpose of Resolution 15/11 is to provide the Compliance Committee and the Commission with a means of evaluating compliance with the baseline capacities for the tropical tuna fishery (2006) and swordfish and albacore fishery (2007).
41. The WPICMM also **NOTED** that the purpose of Resolution 15/11 is to monitor the implementation of fleet development plans submitted by some CPCs.
42. The WPICMM further **NOTED** that any consideration for extending Resolution 15/11 should provide an opportunity to address some weaknesses in Resolution 15/11.
43. The WPICMM **ACKNOWLEDGED** that in the absence of any other measure to manage and monitor the baseline capacities in the two identified fisheries, and to monitor the implementation of fleet development plans, it would be desirable to extend the applicability of Resolution 15/11.
44. For these reasons and until alternative measures are in place to manage capacities in the two fisheries, the WPICMM **RECOMMENDED** that the Commission extends the applicability of Resolution 15/11, noting that the extension of this resolution should not be seen as a means to maintain the status quo.

10. OTHER BUSINESS

45. The WPICMM **ACKNOWLEDGED** an introduction of a future, possible proposal to revise the Compliance assessment system of IOTC intended for submission to S22.

10.1 Date and place of the 2nd and 3rd Sessions of the Working Party on Implementation of CMMs

46. The WPICMM **THANKED** the SWIOFISH project for supporting the 1st Session of the WPICMM and for the excellent facilities and assistance provided for the organisation and running of the Session.
47. Following a discussion on who would host the 2nd and 3rd Sessions of the WPICMM in 2019 and 2020 respectively, the WPICMM **THANKED** Mozambique for the offer to host the 2nd Session: the meeting location and dates will be confirmed and communicated by the IOTC Secretariat. No offer was received for hosting the 3rd session in 2020.

Draft meeting schedule for the WPICMM (2019 and 2020).

Meeting	2019			2020		
	No.	Date	Host Country	No.	Date	Host Country
Working Party on Implementation of CMMs (WPICMM)	2 nd	March (3d)	Mozambique	3 rd	TBC (3d)	TBC

-
48. The WPICMM **NOTED** the low attendance rate of CPCs to this meeting (14 CPCs) and **RECOMMENDED** that the Compliance Committee **URGE** CPCs to participate in the work of the WPICMM.
 49. The WPICMM **NOTED** the importance of having a degree of stability in the participation of CPCs to the WPICMM and **ENCOURAGED** participants to regularly attend the WPICMM meeting to ensure as much continuity as possible.
 50. The WPICMM **NOTED** the large number of items in its agenda and **RECOMMENDED** on the need to avoid excessive strain on the number of items in its agenda of future meetings, to allow for effective discussions.

10.2 Election of a Vice-Chairperson for the next biennium

Vice-Chairperson

51. **NOTING** the Rules of Procedure (2014), the WPICMM **CALLED** for nomination for the position of the Vice-chairperson of the IOTC WPICMM for the biennium. Mr Benedict Kiilu (Kenya) was nominated, seconded and elected as Vice-chairperson of the WPICMM for the biennium (2018 – 2019).

10.3 Review of the draft, and adoption of the Report of the 1st Session of the Working Party on implementation of CMMs

52. The WPICMM **RECOMMENDED** that the Compliance Committee consider the consolidated set of recommendations arising from WPICMM01, provided at [Appendix IX](#).
53. The report of the 1st Session of the Working Party on the Implementation of Conservation and Management Measures (IOTC–2018–WPICMM01–R) was **ADOPTED** on the 7th of March 2018.

APPENDIX I

LIST OF PARTICIPANTS

Chairperson:

Mr Roy **Clarisse**
Ministry of Fisheries and Agriculture
Seychelles.
E-mail: rclarisse@gov.sc

Participants:

Mr. Said **Boina**
Direction Générale des Ressources
Halieutiques,
Union des Comores.
Courriel: dalaili@live.fr

Mr. Ibrahim **Mohamed Tohir**
Direction Générale des Ressources
Halieutiques,
Union des Comores.
E-mail: toihyr@gmail.com

Mr. Luis **Molledo**
DG Mare
European Commission
E-mail: luis.molledo@ec.europa.eu

Mr. Benedict **Kiilu**
Kenya Fisheries Service,
Kenya.
E-mail: kiilub@yahoo.com

Mr. Paul **Mumina**
Kenya Fisheries Service,
Kenya.
E-mail: palmumiki@gmail.com

Mr. Bruno **Rabezandry**
Ministère des Ressources Halieutiques et
de la Pêche Madagascar,
Madagascar.
E-mail: zandrirabe@yahoo.fr

Mr. Noël **Rakotonirina**
Ministère des Ressources Halieutiques et
de la Pêche Madagascar,
Madagascar.
E-mail: etiennerakotonirina@yahoo.fr

Mr. Bohari **Bin Leng**
Department of Fisheries,
Malaysia.
E-mail: bohari@dof.gov.my

Mr. Ahmed **Shifaz**
Ministry of Fisheries and Agriculture
Maldives.
E-Mail: ahmed.shifaz@fishagri.gov.mv

Ms. Clivy **Lim Shung**
Albion Fisheries Research Centre,
Mauritius.
E-mail: clivilim@yahoo.com

Mr. Anwar Sheik **Mamode**
Albion Fisheries Research Centre
Mauritius.
E-mail: asheik-mamode@govmu.org

Mr. Vicente **Cossa**
Ministry of Sea, Inland Waters &
Fisheries,
Mozambique.
E-mail: gouvino.co@gmail.com

Mr. Galhardo **Naene**
ADNAP,
Mozambique.
E-mail: gnaene@gmail.com

Mr. Asad **Chanda**
Ministry of Maritime Affairs,
Pakistan
Email: asadchanda@gmail.com

Mr. Johnny **Louys**
Seychelles Fishing Authority,
Seychelles.
E-mail: jlouys@sfa.sc

Mr Vincent **Lucas**
Seychelles Fishing Authority,
Seychelles.
E-mail: vlucas@sfa.sc

Mr. Yannick **Roucou**
Seychelles Fishing Authority,
Seychelles.
Email: yroucou@sfa.sc

Mr. Abdirahim **Sheik Heile**
Ministry of Fisheries and Marine
Resources
Somalia.
Email: sgunrahim@yahoo.com

Mr. Guled **Ibrahim**
Ministry of Fisheries and Marine
Resources
Somalia.
Email: burhaan44@gmail.com

Mr. Saasa **Pheeha**
Department of Agriculture, Forestry and
Fisheries.
South Africa.
E-mail: saasap@daff.gov.za

Mr. Aphiwe **Nonkeneza**
Department of Agriculture, Forestry and
Fisheries
South Africa.
E-mail: AphiweN@daff.gov.za

Mr Marcus **Mallikage**
Department of Fisheries and Aquatic
Resources.
Sri Lanka.
E-mail: mallikage67@gmail.com

Ms. Chonticha **Kumyoo**
Department of Fisheries,
Thailand.
E-mail: chonticha_khamyu@hotmail.com

Ms. Sawitre **Yawanopas**
Department of Fisheries,
Thailand.
E-mail: sawitre_yawa@hotmail.com

Ms. Stephanie **Winnard**
BirdLife International
E-mail: stephanie.winnard@rspb.org.uk

IOTC Secretariat:

Dr. Christopher **O'Brien**
Executive Secretary
Email: Chris.O'Brien@fao.org

Mr. Gerard **Domingue**
Compliance Coordinator
Email: gerard.domingue@fao.org

Mr. Florian **Giroux**
Compliance Officer
Email: florian.giroux@fao.org

Consultant:

Ms Judith **Swan**
Legal Expert
E-mail: judithswan@gmail.com

APPENDIX II
STATEMENT BY MAURITIUS

Agenda Item 3: Adoption of the Agenda and Arrangements for the Session
(Chagos Archipelago)
Statement by the Republic of Mauritius

The Government of the Republic of Mauritius reiterates that the Chagos Archipelago, including Diego Garcia, forms an integral part of the territory of the Republic of Mauritius.

The Government of the Republic of Mauritius reaffirms that it does not recognize the so-called “British Indian Ocean Territory” which the United Kingdom purported to create by illegally excising the Chagos Archipelago from the territory of Mauritius prior to its accession to independence, in violation of international law and of United Nations General Assembly Resolutions 1514 (XV) of 14 December 1960, 2066 (XX) of 16 December 1965, 2232 (XXI) of 20 December 1966 and 2357 (XXII) of 19 December 1967.

The Government of the Republic of Mauritius further reiterates that the United Kingdom is not entitled to be a member of the Indian Ocean Tuna Commission (IOTC) as it is not a “coastal State situated wholly or partly within the Area [of competence of the Commission]”. Nor can the so-called “BIOT” claim to be a member of the IOTC on the basis of Article IV of the IOTC Agreement.

The Government of the Republic of Mauritius strongly objects to the use of terms such as “U.K. (I.O. Territories)” in documents which have been circulated for this meeting, in so far as these terms purport to refer to the Chagos Archipelago as a British territory or to imply that the United Kingdom or the so-called “BIOT” is entitled to be a member of the IOTC.

In the light of the foregoing, the delegation of the Republic of Mauritius has no objection to the adoption of the draft agenda, subject to the Republic of Mauritius reserving its right to object to the consideration of any documents purportedly submitted by the United Kingdom, including in respect of the so-called “BIOT” which is not recognized by the Government of the Republic of Mauritius, and any other documents submitted by the Secretariat or any other party in relation to the so-called “BIOT”.

Should any document which purports to refer to the Chagos Archipelago as the so-called “BIOT” or as a British territory be considered, such consideration as well as any action or decision that may be taken on the basis of any such document cannot and should not be construed in any way whatsoever as implying that the United Kingdom has sovereignty or analogous rights over the Chagos Archipelago or that the United Kingdom or the so-called “BIOT” is entitled to be a member of the IOTC.

The Republic of Mauritius also reserves all its rights under international law, including under Article XXIII of the Agreement for the Establishment of the Indian Ocean Tuna Commission.

This statement is applicable to all agenda items under which the Chagos Archipelago is dealt with.

APPENDIX III
AGENDA FOR THE 1ST WORKING PARTY ON IMPLEMENTATION OF CMMS

Date: 5–7 March, 2018

Location: Seychelles

Venue: Savoy Hotel. Beau Vallon

Time: 0900–1700 daily

Chair: Mr. Roy Clarisse

1. **OPENING OF THE SESSION** (Executive Secretary)
2. **CONFIRMATION OF THE CHAIRPERSON**
3. **ADOPTION OF THE AGENDA AND ARRANGEMENTS FOR THE SESSION** (Chair)
4. **ADMISSION OF OBSERVERS** (Chair)
5. **BACKGROUND OF THE WORK OF THE COMPLIANCE COMMITTEE TO-DATE** (IOTC Secretariat)
 - 5.1 Review of the work of the Compliance Committee
 - 5.2 Decisions of the Commission related to the work of the Compliance Committee
6. **IDENTIFICATION OF INCONSISTENT USE OF TERMS AND DEFINITIONS IN CMMS** (Consultant)
7. **REVIEW OF THE GLOSSARY OF TERMS AND DEFINITIONS** (Consultant)
8. **OUTLINING THE PRIORITY ISSUES TO BE ADDRESSED BY THE WPICMM** (All)
9. **DRAFTING A WORKPLAN FOR THE WPICMM FOR THE NEXT THREE YEARS** (All)
10. **REVIEW OF THE ASSESSMENT CRITERIA FOR THE 2018 CPCs' COMPLIANCE REPORT** (All)
11. **DEFINITION OF A PROCEDURE AND CRITERIA TO DETERMINE WHEN A VESSEL SHALL, OR SHALL NOT, BE INCLUDED IN THE IOTC RECORD OF AUTHORIZED VESSELS** (All)
12. **REVIEW OF THE EXTENSION OF THE APPLICABILITY OF RESOLUTION 15/11** (All)
13. **ANY OTHER BUSINESS** (Chair)
 - 13.1. Information regarding possible changes to the IOTC Rules of Procedures – ToR Compliance Committee
 - 13.2. Election of a Chairperson and a Vice-Chairperson for the next biennium (Chair/CPCs)
 - 13.3. Date and place of the 2nd and 3rd Sessions of the WPICMM (Chair/CPCs)
 - 13.4. Review of the draft, and adoption of the Report of the First Session of the WPICMM (Chair)

APPENDIX IV
LIST OF DOCUMENTS

Last updated: March 4th 2018

Document	Title	Availability
IOTC-2018-WPICMM01-01	Provisional agenda of the 1 st WPICMM	10 January 2018
IOTC-2018-WPICMM01-02_Rev1	List of documents of the 1 st WPICMM	27 February 2018
IOTC-2018-WPICMM01-03	Identification of inconsistent use of terms, lack of definition of key terms and use of terms that are not “terms of legal art” IOTC Resolutions.	04 March 2018
IOTC-2018-WPICMM01-04	Draft final glossary of terms and definitions which should be used by Members while drafting proposals for Resolutions for the Commission.	04 March 2018
IOTC-2018-WPICMM01-05	Drafting a Work Plan for the WPICMM for the next three years	27 February 2018
IOTC-2018-WPICMM01-06	Assessment criteria for the Compliance Report of the CoC15	27 February 2018
IOTC-2018-WPICMM01-07	Definition of a procedure and criteria to determine when a vessel shall, or shall not, be included in the IOTC Record of Authorized Vessels	27 February 2018
IOTC-2018-WPICMM01-08	Review of the extension of the applicability of Resolution 15/11	27 February 2018
IOTC-2018-WPICMM01-08_Add1	Report on the limitation of fishing capacity of CPCs - CoC14	27 February 2018
Information Documents		
IOTC-2018-WPICMM01-INF01a	IOTC - Compendium of ACTIVE CMMs 01 December 2017	04 March 2018
IOTC-2018-WPICMM01-INF01b	CTOI - Recueil des MCG ACTIVES 01 décembre 2017	04 March 2018
IOTC-2018-WPICMM01-INF02a	Compliance Report[E]-Country Template for COC15	04 March 2018
IOTC-2018-WPICMM01-INF02b	Rapport d’application[F]- Modèle pays pour CdA15	04 March 2018

APPENDIX V
GLOSSARY OF TERMS AND DEFINITIONS

Key terms	Definitions
Aircraft	Any craft capable of self-sustained movement through the atmosphere including helicopters and unmanned or remotely operated airborne devices.
Areas beyond national jurisdiction	In relation to the flag State, maritime areas in which the flag State does not exercise jurisdiction, including the high seas and areas under the jurisdiction of another State.
Authorized vessel ¹	Any vessel that is: a) 24 meters in length overall or above; or b) in case of vessels less than 24 meters in length overall, those operating outside areas under the national jurisdiction of the flag State, and is authorized to fish for tuna and tuna-like species or to carry out fishing related activities in the IOTC area of competence.” ²
Bycatch	Part of a catch of a fishing unit taken incidentally in addition to the target species towards which fishing effort is directed. ³ A bycatch species includes those species which are (a) retained (b) incidentally taken in a fishery and returned to the sea; or (c) incidentally affected by interacting with fishing equipment in the fishery, but not taken.
Coastal fisheries	Any fishing activity undertaken by a fishing vessel, including small-scale fishing for subsistence or local markets, that is not required to be registered on the IOTC Record of Authorized Vessels, that targets tuna and tuna-like species or catches tuna and tuna-like species as bycatch and operates exclusively in the waters under the jurisdiction of the flag State, including sport fishing. ⁴
Conservation and Management Measure	Any Measure adopted pursuant to Articles V(2)(c) and IX in the IOTC Agreement, and more generally where not applicable to IOTC such measures that are consistent with international law.
CPCs	Contracting Parties and Cooperating non-Contracting Parties of IOTC ⁵
Discards	That portion of the total catch which is thrown away or slipped, which may be comprised of single or multiple species and may be alive or dead. ⁶
Exclusive Economic Zone	An area beyond and adjacent to the territorial sea, subject to the specific legal regime established in the United Nations Convention on the Law of the Sea, which provides that it

¹ This can also be designated as “authorized fishing vessel”, but if so it would exclude related activities.

² Formatting change made from CoC 13 glossary; “vessel” is used rather than “vessels”.

³ This language is taken from the FAO Fisheries Glossary. It recognizes that by-catch may include species under the IOTC mandate, in accordance with Resolution 17/04 (ban on discards of bigeye tuna, skipjack tuna, yellowfin tuna and nontargeted species caught by purse seine vessels in the IOTC Area of Competence) which provides for retention of non-targeted species including species of tuna under the IOTC mandate (albacore, southern bluefin and longtail). The elaboration of bycatch species in the Scientific Glossary was included, except that species listed in Annex B of the Convention were not excluded: “All species, other than the 16 species listed in Annex B of the IOTC Agreement, caught or interacted with by fisheries for tuna and tuna-like species in the IOTC area of competence. A bycatch species includes those non-IOTC species which are (a) retained (byproduct), (b) incidentally taken in a fishery and returned to the sea (discarded); or (c) incidentally affected by interacting with fishing equipment in the fishery, but not taken.”.

⁴ “targeting”, “catching”, etc changed to “targets”, etc to improve specificity.

⁵ “of IOTC” added.

⁶ The original language used “any part of the catch that is returned to the sea, whether dead or alive” is in the Scientific Glossary, but was replaced with language from the FAO International Guidelines on Bycatch and Discards. The language in the Guidelines is consistent but more specific.

Key terms	Definitions
	is not to extend beyond 200 nautical miles from the baselines from which the breadth of the territorial sea is measured. ⁷
Fish	All species of living marine resources, whether processed or not. ⁸
Fisheries or fishery	<p>(a) One or more stocks of fish, or parts thereof, which can be treated as a unit for the purposes of conservation and management, taking into account geographical, scientific, technical, customary, recreational, economic and other relevant characteristics; or</p> <p>(b) any fishing for such stocks.</p>
Fishing	<p>(a) searching for, catching, taking or harvesting of fish,</p> <p>(b) the attempted searching for, catching, taking or harvesting of fish,</p> <p>(c) engaging in any other activity which can reasonably be expected to result in the locating, catching, taking or harvesting of fish,</p> <p>(d) placing, searching for or recovering a fish aggregating device or associated equipment including radio beacons,</p> <p>(e) an operation at sea in support of or in preparation for an activity within the meaning of this definition, or</p> <p>(f) the use of an aircraft in relation to an activity described in this definition.</p>
Fish aggregating device	Any object or group of objects of any size, whether anchored, drifting or deployed or not, floating, submerged or semi-submerged, that is natural, manufactured or a combination of both and includes <i>inter alia</i> buoys, instrumented buoys, floats, netting, webbing, plastics, metals, bamboo, logs and any objects with electronic devices affixed with which fish may associate or aggregate. ⁹
Fishing logbook	<p>A fishing logbook required by the flag State for any purpose relating to fishing or fishing related activities shall be:</p> <p>(a) a permanently bound logbook issued by the flag State of a vessel and required for any purpose relating to fishing or related activities, with irremovable pages, each of which is consecutively numbered and printed with an applicable serial number;¹⁰ and/or</p> <p>(b) an electronic logbook, being computerised record of information and data relating to fishing or related activities in such template as may be required, including under any conservation and management measure. ¹¹</p>

⁷ The definition in the Scientific Glossary is not appropriate because it only refers to the theoretical EEZ but not the actual EEZ claimed by countries. It is erroneous in stating that the boundary between two countries are defined by treaty, this is not always the case. “The area that extends from the limit of the territorial sea, which is 12 nautical miles offshore from the territorial sea baseline, to a maximum of 200 nautical miles, measured from the territorial sea baseline. The EEZ is less than 200 nautical miles in extent where it coincides with the EEZ of another country. In this case the boundaries between the two countries are defined by treaty.”

⁸ Resolution 16/11 defines fish as “all species of highly migratory fish stocks covered by the IOTC Agreement”, but this is weak because the Agreement does not specifically refer to highly migratory fish stocks.

⁹ The Scientific Glossary defines FADs as: Buoys and platforms used to attract and “hold” pelagic fishes to enhance fishing. Can be as simple as a floating log or bamboo raft, but tuna fishers setting purse seine nets around tuna schools now deploy sophisticated FADs that allow satellite tracking and interrogation of information, such as sea surface temperature.

¹⁰ Term and definition for “national fishing logbook” placed here to avoid duplication, original definition deleted.

¹¹ Amended to consolidate definitions of “electronic logbook”, “logbook” and “national Fishing logbook” which are all fishing logbooks.

Key terms	Definitions
Fishing related activities, or related activities ¹²	Any operation in support of, or in preparation for, fishing, including the landing, packaging, processing, transshipping or transporting of fish that have not been previously landed at a port, and the provisioning of personnel, fuel, gear and other supplies at sea, as well as the deployment, monitoring and retrieving of drifting Fish Aggregating Devices. ¹³
Fishing vessel	Any vessel used, equipped to be used, of a type normally used or intended to be used for fishing. ¹⁴
Flag State	The State in which a vessel is registered, providing it is only registered in one State. ¹⁵
Gear	In relation to fishing, any equipment, implement or other item that can be used in the act of fishing, including any net, rope, line, float, trap, hook, fish aggregating device, winch, boat, or craft or aircraft carried on board a vessel, or aircraft or vehicle used in association with the act of fishing;
Harvest control rule ¹⁶	A rule that describes how harvest is to be controlled by management in relation to the state of indicators of the targeted stock's status. ¹⁷
High Seas	All parts of the sea that are not included in the exclusive economic zone, in the territorial sea or in the internal waters of a State, or in the archipelagic waters of an archipelagic State.
IOTC	The Indian Ocean Tuna Commission established in 1993 at the 105th Session of the Council of the Food and Agriculture Organization of the United Nations under Article XIV of the FAO Constitution.
IOTC Agreement	The 1993 Agreement for the establishment of the Indian Ocean Tuna Commission.
IOTC Area of Competence	The area of competence of the Indian Ocean Tuna Commission as defined in Article II of, and Annex A to, the IOTC Agreement.
IOTC Record of Authorized Vessels	The IOTC record of vessels authorised to operate in the IOTC Area of Competence established under Resolution 15/04 or any subsequent relevant Resolution.
IUU fishing	Any activity defined as illegal, unreported or unregulated (IUU) fishing in Resolution 17/03 or any subsequent relevant Resolution. ¹⁸
Landing	The transfer of fish or fish products from any vessel to land, including at a port or shoreline, excluding transshipment.
Large-scale fishing vessel	Any fishing vessel 24 meters in length overall or above.
Large-scale longline vessel	Any large-scale fishing vessel carrying longline gear.
Large-scale tuna vessel	Any large-scale fishing vessel carrying gear used for fishing for tuna.

¹² Added “or related activities” to include references that don’t refer to “fishing” (e.g. “fishing *and* related activities”)

¹³ Instrumented buoys could also be included.

¹⁴ Cut out excess words “for” and included “type normally used”.

¹⁵ Scientific Glossary: State under whose laws a vessel is registered and whose flag it is entitled to fly. New definition is consistent with the Law of the Sea Convention.

¹⁶ Changed to singular to be consistent with the definition.

¹⁷ Changed from “A rule that describes how harvest is intended to be controlled by management in relation to the state of some indicator of stock status” to simplify. The Scientific Glossary defines “Control Rules” as: “Agreed responses that management must make under pre-defined circumstances regarding stock status”, and notes that they are also referred to as “Harvest control rules”. The definition above is consistent with this, but less technical.

¹⁸ Deleted “fishing” – any *fishing* activity, because Resolution 17/03 refers to additional activities, such as related activities. Updated reference from 11/03 to 17/03.

Key terms	Definitions
Legislation	Includes laws, regulations, orders, notices and any other instrument having the force of law in a country or regional economic integration organization.
Limit reference points	An indicator of the limit beyond which the state of a fishery and / or a resource is not considered desirable. ¹⁹
Master	In relation to a vessel, aircraft or vehicle, means the person in command or charge in accordance with any authorization that may be required, or for the time being in charge, or apparently in command or in charge of the vessel, aircraft or vehicle, but does not include a pilot on board a vessel solely for the purpose of navigation.
Mobile transceiver unit	A device approved by the competent authority of the flag State which is installed on board a fishing vessel and is designed to automatically transmit, whether independently or in conjunction with another device or devices, information or data concerning position, fishing, catch and such other activities as may be required, and allows detection and identification of the fishing vessel at all times. ²⁰
IOTC Observer	Observers appointed pursuant to the IOTC Regional Observer Scheme. ²¹
Operator	Any person who is in charge of, responsible for the operations of, directs or controls a vessel, including the owner, charterer, master and the beneficiary of the economic or financial benefit of the vessel's operations.
Owner	In relation to a vessel means any natural or legal person registered as the owner of the vessel and any person exercising or discharging or claiming the right or accepting the obligation to perform, exercise or discharge any of the powers or duties of the owner whether on the person's own behalf or on behalf of another, and includes a person who is the owner jointly with one or more other persons and any manager, director, secretary or person in charge of any corporation which is an owner.
Port	Includes offshore terminals and other installations used for any purpose relating to fishing or related activities, including for landing, transshipping, packaging, processing, refuelling or resupplying
Related activities or fishing related activities	In relation to fishing, includes any operation in support of, or in preparation for, fishing, including the landing, packaging, processing, transshipping or transporting of fish that have not been previously landed at a port, as well as the provisioning of personnel, fuel, gear and other supplies at sea.
Support vessel ²²	Includes any vessel used equipped to be used, or intended to be used for fishing related activities involving transporting goods, personnel, equipment or other supplies in support of fishing vessels for supporting fishing vessels in the purse seine fishery using drifting FADs, including deploying, monitoring, modifying and retrieving drifting FADs and motherships.

¹⁹ Added “an indicator of”, consistent with FAO usage. The Scientific Glossary definition is more difficult to understand: A benchmark which defines undesirable states of the system that should be avoided or achieved with very low probability.

²⁰ This term is not currently used in IOTC Resolutions but, noting the confusion in use of the terms “satellite tracking device”, “satellite monitoring device” and others, and the broad use of MTU in national legislation, is suggested as a “place holder” pending technical decision on the language to be used.



²¹ All references to observers to be global as “IOTC observers”, observers for vessels/transshipments can be further distinguished.

²² It is not clear why support vessels are limited to FAD activities in the original CoC Glossary: “any vessel used for supporting fishing vessels in the purse seine fishery using drifting FADs, including deploying, monitoring, modifying and retrieving drifting FADs”. This term should also apply to motherships and others. “Includes...and motherships were added.”

Key terms	Definitions
Target reference points	A benchmark which assesses the performance of management in achieving one or more operational management objectives and indicates the desirable status of a fishery or a resource. ²³
Transshipment	The transfer of fish or fish products to or from any vessel, and may include the transfer of fish or fish products from a vessel to any land-based facility such as containers or freezing or storing facilities exclusively for purposes of promptly onloading to another vessel, without being subject to importation into the country where the land-based facility is located.
Tuna and tuna-like species	Unless the context otherwise specifies, this refers to the species defined in Article II and listed in Annex B of the IOTC Agreement.
Vessel	Any vessel, ship of another type or boat used for, equipped to be used for, or intended to be used for, fishing or fishing related activities.
Vessel monitoring system	Includes a satellite based reporting system capable of monitoring the position and activities of vessels.

²³ Changed from “a state of a fishery and / or a resource which is considered desirable” to explain that this is an indication only and to incorporate the definition in the Scientific Glossary: A benchmark which assesses the performance of management in achieving one or more operational management objectives.

APPENDIX VI WPICMM WORK PLAN (2018-2022)

WPICMM WORK PLAN (2018-2022) Version 1: 5/7 March 2018		 Food and Agriculture Organization of the United Nations											 Indian Ocean Tuna Commission Commission des Thons de l'Océan Indien iotc ctci						
Description	2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	Priorities	Responsibility	Objective(s)	OVis	Notes
WPICMM Work Plan																			
1 Examine all aspects of CPCs technical implementation of CMMs and recommending ways to enhance the level of implementation																			
1.1 Produce dashboard of compliance with CMMs for all CPCs and have this online																			
1.1.1															High	Secretariat	Creating the dashboard to have platform to check the performance of CPCs		
1.1.2															High	CPCs	To have all CPCs reporting the required information on time		This should be done after the compliance form is submitted- April
1.1.3															High	Secretariat / WPICMM	To rank the CMMs in a way you can determine importance of compliance.		
1.1.4															High	Secretariat / WPICMM	To define a weighting scheme for PIC		Secretariat to produce a weighting scheme for discussion at the WPICMM
1.2 Prioritise CMMs with lowest implementation levels to determine common issues with compliance																			
1.2.1															High	Secretariat & CPCs	Identify difficulties of CPCs in complying with the resolutions		Send out by Q3 and return before end of Q4
1.2.2															High	Secretariat	Identify difficulties of CPCs in complying with the resolutions		
1.2.3															High	WPICMM	Solving difficulties of CPCs in complying with the resolutions		
2 Examine Monitoring, Control and Surveillance (MCS) technical matters in order to provide the Compliance Committee with options for strengthening MCS																			
2.1 Improve IOTC MCS scheme																			
2.1.1															Medium	Secretariat			
2.1.2															Medium	Secretariat			
2.1.3															Medium	WPICMM			
2.1.4															Medium	WPICMM			Should be done before May when CC meets
2.1.4															Medium	WPICMM			Should be done before May when CC meets
3 Review the reporting requirements contained within CMMs in order to harmonize and streamline																			
3.1 Review reporting requirements in all CMMs																			
3.1.1															Medium	Consultant	Simplify reporting requirements		
3.1.2															High	Secretariat	Simplify reporting requirements		
3.1.3															Medium	WPICMM	Simplify reporting requirements		Make recommendations to Secretariat to complete 3.1.4

Description		2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	2032	2033	Priorities	Responsibility	Objective(s)	OIVs	Notes	
3.1.4	Provide recommendation to harmonize and streamline reporting requirements																		Medium	Secretariat	Simplify reporting requirements			
4	Develop a methodology for the assessment of implementation by CPCs, for producing the Country Compliance Reports provided annually to the Compliance Committee and flag States																							
4.1	<i>Determine significance of each CMM using a ranking measure</i>																							
4.1.1	Rank the reporting requirements of CMMs by priority (i.e which are most critical to report upon)																		High	Secretariat	To rank the CMMs in a way you can determine importance of compliance.			
4.1.2	Attribute a co-efficient to determine rank importance																		High	Secretariat				
4.1.2	WPICMM consider the report of the Secretariat to provide recommendations to the Compliance Committee																		High	WPICMM				
5	Review and assess the effectiveness and practical aspects of implementation of CMMs adopted by the Commission in order to identify deficiencies and implementation constraints faced by CPCs, and to recommend options for amendments																							
5.1	<i>Determine which CMMs are over due on assessment or no longer valid</i>																							
5.1.1	Secretariat provides paper on validity of CMMs to the WPICMM																		High	Secretariat	Ensure highest priorities reviewed first			
5.1.2	Provide recommendations to the Compliance Committee																		High	WPICMM				
5.2	<i>Conduct reviews</i>																							
5.2.1	Review each CMM using dashboard and reports																		High	WPICMM	Streamline reporting requirements			
5.2.2	Use CPCs compliance reports from part 1 to identify constraints																		High	WPICMM	Streamline reporting requirements			
5.2.3	Analyse baseline data compared to current data to review effectiveness.																		High	WPICMM	Streamline reporting requirements		1. Where applicable taking into account incomplete baseline data and where relevant provide recommendations to the Scientific Committee to take into consideration skewed data due to improve data collection, 2) Could use estimated data if you don't have full baseline data	
5.2.4	Provide recommendations to the Compliance Committee																		High	WPICMM	Streamline reporting requirements		Could use estimated data if you don't have full baseline data)	
6	Propose actions to address deficiencies in implementation																							
6.1	<i>Capacity building</i>																							
6.1.1	Identify weakness of CPCs in capacity and ability to comply with reporting requirements																		High	Secretariat	Build capacity in the CPCs			
6.1.2	Recommend training events by IOTC compliance officers to CPCs with most need (should be regular)																		High	WPICMM	Build capacity in the CPCs		implementation by the Secretariat	
6.1.3	Recommend exchange programmes to increase skills in CPCs																		High	WPICMM	Build capacity in the CPCs		implementation by the Secretariat	
6.1.4	Recommend the establishment of a permanent capacity building mechanism																		High	WPICMM	Build capacity in the CPCs		implementation by the Secretariat	
6.1.5	Recommend outreach to fishing captains/masters to educate on CMMs and to gather information on problems with implementation																		High	WPICMM	Build capacity in the CPCs		implementation by the Secretariat	
6.2	<i>Increase funding opportunities of CPCs</i>																							
6.1.2	Identify funding sources from potential donors to facilitate opportunities for funding capacity building																		High	Secretariat	Build capacity in the CPCs			
7	Development of minimum regional standards for implementation of CMMs																		High					
7.1	<i>Asses CPCs implementation capacity for CMMs</i>																							

Description		2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	2032	2033	Priorities	Responsibility	Objective(s)	OVI's	Notes
7.1.1	Develop a tool and collect data from CPCs on their current implementation (status/procedures and capacity) of CMMs																		High	Secretariat, (WPICMM and consultant)			To be implemented through e-MARIS
7.1.2	Analyze data and produce reporting requirements from all CPCs for implementation of CMMs																		High	Secretariat, (WPICMM and consultant)			To be implemented through e-MARIS
7.2	<i>Prepare the minimum IOTC standards</i>																						
7.2.1	Identify CMMs where IOTC standards have not been introduced and propose recommendation for inclusion of IOTC standard for CMMs																		High	Secretariat, (consultant)			
7.2.2	Provide recommendation to the Compliance Committee (CoC) on Resolution(s) to amend																		High	WPICMM			
7.2.3	Develop minimum regional standards for implementation of CMMs																		High	WPICMM			
7.2.4	Request clarification to the Compliance on the develop minimum regional standards for implementation of CMMs																		High	WPICMM			
8	Develop a harmonized assessment criteria to identify vessels presumed to have engaged in illegal, unreported and unregulated (IUU) fishing activities																						
8.1.1	Establish a baseline for IUU fishing activities based on International recommendations																		Medium	WPICMM			
8.1.2	Gather information from CPCs on their National legislation on how IUU - fishing vessels determined against the Resolution 17/03																		Medium	secretariat, (consultant)			
8.1.3	Review the assessment criteria for identifying vessel presumed to have engaged in IUU fishing activities																		Medium	WPICMM			To be developed by Secretariat
8.1.4	Request clarification to the Compliance on the Develop a harmonized assessment criteria for identifying vessel presumed to have engaged in IUU fishing activities																		Medium	WPICMM			
9	Monitor the development of, and recommend further actions for the IOTC list of vessels presumed to have engaged in illegal, unreported and unregulated (IUU) fishing activities, including where requested by the Compliance Committee or involved CPCs, a review of the evidence to be presented, where such evidence can be made available to the WPICMM																						
9.1	<i>Actions for the IOTC list of vessels presumed to have engaged in illegal, unreported and unregulated (IUU)</i>																						
9.1.1	Review of the evidence to be presented, where such evidence can be made available to the WPICMM																		High	WPICMM			
9.1.2	Recommend actions for the CoC on the list of vessels presumed to have engaging in IUU fishing activities, including where requested by the Compliance Committee and involved CPCs																		High	WPICMM			This activity is only possible after the draft presumed IUU vessels list is published
9.1.3	Monitor the development of recommended actions on the vessels that have been committed IUU																		High	WPICMM			
10	Monitor the development of, and recommend actions for the list of Large Scale Tuna Longline Vessels (LSTLVs)/carrier vessels presumed to have committed infractions of IOTC CMMs, as recorded by observers deployed under the at-sea transshipment programme																		Medium				
10.1	<i>List of possible infractions under the ROP</i>																						
10.1.1	Review of the evidence to be presented on vessels presumed to have committed the infractions																		Medium	WPICMM			
10.1.2	Request for further evidence from the CPCs on the list of vessels presumed to have committed infractions																		Medium	WPICMM (Secretariat)			
10.1.3	Recommend actions for the CoC on the list of vessels presumed to have committed infractions																		Medium	WPICMM			This activity is only possible after the draft list of vessels presumed to have committed infraction is make

Description		2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	2032	2033	Priorities	Responsibility	Objective(s)	OVI	Notes	
10.1.4	Monitor the development of recommended actions on the vessels that have committed infractions																		Medium	WPICMM				available for the Working Part
10.1.5	Recommend that the list of possible infraction under the ROP is presented to the WPICMM																		Medium	WPICMM				
11	Provide recommendations to the Compliance Committee to assist CPCs in the design and implementation of national MCS systems																							
11.1	<i>Design and implementation of national MCS systems</i>																							
11.1.1	Define minimum MCS requirement for relevant CMMs																		High	Secretariat				
11.1.2	CPCs to provide a report/paper on their national MCS programs																		High	WPICMM (Secretariat)				Secretariat develop a template report and circulated to all CPCs for endorsement
11.1.3	Evaluation of CPCs national MCS programs against the minimum requirement for CMMs																		High	WPICMM (Secretariat)				
11.1.4	Provide recommendations to the Compliance Committee to assist CPCs in the design and implementation of national MCS systems based on their capacity and need																		High	WPICMM				
12	Provide recommendations to the Compliance Committee to assist CPCs in the design and implementation of enforcement actions to ensure compliance with IOTC CMMs																							
12.1	<i>Assist CPCs in the design and implementation of enforcement actions</i>																							
12.1.1	Develop ToRs for assessment study of CPCs capacities on design and implementation of enforcement actions by the WPICMM																		High	WPICMM	Develop ToRs	ToRs for the study		
12.1.2	Conduct baseline capacity assessment of CPCs on design and implementation of enforcement actions																		High	Secretariat	Assess the CPCs status and capacity to design and implement enforcement actions	Baseline study report		
12.1.3	Assessment of the report by the WPICMM																		High	WPICMM	Assess the Baseline study report	WPICMM assessment report		
12.1.4	Submission of recommendations to the Compliance Committee (CoC)																		High	WPICMM	Provide recommendations to the CoC	WPICMM recommendations report		
13	Development of regional capacity building mechanisms to assist CPCs to meet the regional minimum terms and conditions or standards for implementation of the CMMs																							
13.1	<i>Regional capacity building mechanisms</i>																							
13.1.1	Development of the Minimum Terms and Conditions/ Standards by the WPICMM																		High	WPICMM	Develop the minimum standards	Draft Minimum Standards		
13.1.2	Submission of the Draft Minimum Terms and Conditions to the Compliance Committee																		High	CoC	Discuss and recommend minimum standards	Recommended minimum standards		
13.1.3	Draft the terms of reference for the regional capacity building mechanism																		High	WPICMM	Determine the criteria and functioning of the mechanism	Draft ToRs		
13.1.4	Submission of the ToRs to the Compliance Committee																		High	CoC	Submit the Draft ToRs			
14	Provide recommendations for the strengthening of the implementation of CMMs and capacity building activities, including compliance support missions, regional/national training courses and workshops, to be funded under the special fund for capacity building or extra budgetary contributions																							
14.1	<i>Strengthening of the implementation of CMMs and capacity building activities</i>																							
14.1.1	Develop ToRs for the assessment of CPCs on performance and capacity on implementation of CMMs and capacity building activities																		High	WPICMM	Develop ToRs	ToRs for the study		

Description		2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	2032	2033	Priorities	Responsibility	Objective(s)	OIVs	Notes
14.1.2	Conduct baseline assessment of CPCs on performance and capacity on implementation of CMMs and capacity building activities																		High	Secretariat	Assess the CPCs status and capacity to design and implement enforcement actions	Baseline study report	
14.1.3	Assessment of the report by the WPICMM																		High	WPICMM	Assess the Baseline study report	WPICMM assessment report	
14.1.4	Submission of recommendations to the Compliance Committee																		High	WPICMM	Provide recommendations to the CoC	WPICMM recommendations report	
14.1.6	Recommendation for Capacity building and training interventions based on needs and gaps identified by Secretariat from the previous country mission reports																		High	Secretariat, WPICMM	Train and capacity build CPCs	Training reports	Verify if action not duplicated
15 Develop recommendations and guidelines for a schedule of sanctions for non-compliance with IOTC CMMs for consideration by the CPCs and the Commission																							
<i>Schedule of sanctions for non-compliance with IOTC CMMs</i>																							
15.1	Develop ToRs for a Comparative assessment of existing sanctioning systems in other organizations																		High	WPICMM	Develop ToRs	ToRs for the study	
15.1.1	Conduct assessment of existing sanctioning systems in other organizations																		High	Secretariat, WPICMM	Conduct study on sanctioning systems in the other organizations	Assessment report	
15.1.2	Assessment of the report and provision of recommendations by the WPICMM																		High	WPICMM	Assessment of report and provision of recommendations	Recommendations on the report	
15.1.3	Submission of the report to the Compliance Committee																		High	CoC	Endorsement of the report	Endorsed report	
15.1.4	Submission of the report to the Compliance Committee																		High	CoC	Endorsement of the report	Endorsed report	
16 Review compliance with data reporting obligations by CPCs and recommend actions for implementation																							
<i>Data reporting obligations by CPCs</i>																							
16.1	Preparation of report by the Secretariat on levels of compliance with data reporting obligations																		High	Secretariat	Provide report of compliance with data reporting obligations	Data Reporting Compliance levels report	
16.1.1	Assessment of the report and provision of recommendations by the WPICMM																		High	WPICMM	Assessment of report and provision of recommendations	Recommendations on the report	
16.1.2	Submission of the recommendations to the Compliance Committee																		High	CoC	Endorsement of the report	Endorsed report	
16.1.3	Submission of the recommendations to the Compliance Committee																		High	CoC	Endorsement of the report	Endorsed report	
17 Review of the glossary of definitions and key terms used in IOTC Resolutions																							
<i>Glossary of definitions and terms</i>																							
17.1	CPCs to review the terms and definitions and provide comments on each definition																		High	CPCs			Deadline for submission of comments 31/12/2018, Secretariat to remind CPCs.
17.1.1	Secretariat to produce a consolidated list or comments received by CPCs on the Glossary																		High	Secretariat			
17.1.2	WPICMM to provide a draft final glossary																		High	WPICMM			
17.1.3	Submission of the recommendations to the Compliance Committee regarding the Glossary																		High	WPICMM			
17.1.4	Submission of the recommendations to the Compliance Committee regarding the Glossary																		High	WPICMM			
17.2 Legal scrubbing of IOTC active Resolutions																							
17.2	Submission of the recommendations to the Compliance Committee to conduct a Legal scrubbing of IOTC active Resolutions and draft a ToR																		High	WPICMM			
17.2.1	WPICMM to finalise the ToR for the purpose to conduct a legal scrubbing of the IOTC Resolutions																		High	WPICMM			Drafting of ToR by the Secretariat, presented at the session of the WPICMM
17.2.2	WPICMM to finalise the ToR for the purpose to conduct a legal scrubbing of the IOTC Resolutions																		High	WPICMM			Drafting of ToR by the Secretariat, presented at the session of the WPICMM
18 Review compliance requirements to identify reporting and implementation obligations that should be included in the Compliance Assessment Process																							
<i>Identify reporting and implementation obligations</i>																							
18.1	Identify reporting and implementation obligations																						

Description														Priorities	Responsibility	Objective(s)	OVIs	Notes					
		01/2017	02/2017	03/2017	04/2017	05/2017	06/2017	07/2017	08/2017	09/2017	10/2017	11/2017	12/2017						01/2018	02/2018	03/2018		
18.1.1	EU to provide a draft list of compliance requirements not included in the compliance assessment process																	High	CPCs				Deadline for submission of comments 31/12/2018, Secretariat to remind CPCs.
18.1.2	Review of the list by the WPICMM																	High	WPICMM				
18.1.3	Submission of the recommendations to the Compliance Committee to include additional reporting and implementation obligations in the Compliance Assessment Process																	High	WPICMM				
19	Other tasks as assigned by the Compliance Committee or Commission																						
19.1	<i>Component</i>																						
19.1.1	Activity description																						

APPENDIX VII
ASSESSMENT CRITERIA FOR THE COMPLIANCE REPORT

N°	Source	Information required	Status Content	Result of assessment <i>Note: Causes mentioned below are not exhaustive and are only example; other causes can apply depending of the context and information available.</i>	Observations <i>Note: Observations mentioned below are not exhaustive and are only example, other observations can apply depending of the context and information available.</i>	Year reporting on/Year assessed
1. Implementation obligations						
1.1.	Art. X Agreement	Report of Implementation (IR)	C	IR received and all sections completed	Received [Date]	2017
			P/C	IR received, at least one section not completed	Received [Date], X section(s) not completed	
			N/C	No IR received	No IR received	
			N/A	<i>IR mandatory for all CPCs.</i>		
1.2.	Rules of Procedure.	Compliance Questionnaire (CQ)	C	CQ received and all section(s)/question(s) completed	Received [Date]	2017
			P/C	CQ received, at least one section/question not completed	Received [Date], X section(s)/question(s) not completed	
			N/C	No CQ received	No CQ received	
			N/A	<i>CQ mandatory for all CPCs.</i>		
1.3.	SC	National Scientific Report (NR)	C	NR received and all sections completed	Received [Date]	2016
			P/C	NR received, at least one section not completed	Received [Date], X section(s) not completed	
			N/C	No NR received	No NR received	
			N/A	<i>NR mandatory for all CPCs.</i>		
1.4.	Commission	Feedback letter (FL)	C	FL received and all issues responded	Received [Date]	2017
			P/C	FL received, incomplete response.	Received [Date], X issue(s) not responded.	
			N/C	No FL received.	No FL received.	
			N/A	The CPC was not issued a FL, a response is not required.	No feedback letter was issued.	
2. Management Standards						
2.1.	Res. 15/04	Documents listed in this resolution on board	C	Information provided in IR/CQ including reference to national legislation.	Legal Reference: Act/regulation/decreree XX.	2017
			P/C	Information provided in IR/CQ, no legal reference provided, conflicting information between IR & CQ.	Has indicated documents are on board/No legal reference provided/Conflicting information IR/CQ.	
			N/C	No information provided in IR/CQ.	No information provided.	
			N/A	CPC has no vessel on the RECORD OF AUTHORISED VESSELS	Does not have vessels on the IOTC RECORD OF AUTHORISED VESSELS.	
		Marking of vessels	C	Information provided in IR/CQ including reference to national legislation.	Legal Reference: Act/regulation/decreree XX.	2017
			P/C	Information provided in IR/CQ, no legal reference provided, conflicting information between IR & CQ.	Has indicated vessels are marked/No legal reference provided/Conflicting information IR/CQ/Information from other reporting requirement(s) indicate some vessels are not marked (e.g. ROP/Port inspection)	
			N/C	No information provided in IR/CQ.	No information provided.	
			N/A	CPC does have vessels on the RECORD OF AUTHORISED VESSELS.	Does not have vessel on the IOTC RECORD OF AUTHORISED VESSELS.	
Marking of gears	C	Information provided in IR/CQ including reference to national legislation.	Legal Reference: Act/regulation/decreree XX.	2017		

N°	Source	Information required	Status Content	Result of assessment Note: Causes mentioned below are not exhaustive and are only example; other causes can apply depending of the context and information available.	Observations Note: Observations mentioned below are not exhaustive and are only example, other observations can apply depending of the context and information available.	Year reporting on/Year assessed
			P/C	Information provided in IR/CQ, no legal reference provided, conflicting information between IR & CQ.	Has indicated gears are marked/No legal reference provided/Conflicting information IR/CQ/ Information from other reporting requirement(s) indicate some gears are not marked (e.g. ROP/Port inspection)	
			N/C	No information provided in IR/CQ.	No information provided.	
			N/A	CPC does not have LL/GN vessel on RECORD OF AUTHORISED VESSELS.	No LL/GN on the RECORD OF AUTHORISED VESSELS.	
		Marking of FADs	C	Information provided in IR/CQ including reference to national legislation.	Legal Reference: Act/regulation/decree XX.	2017
			P/C	Information provided in IR/CQ, no legal reference provided, conflicting information between IR & CQ.	Has indicated FAD are marked/No legal reference provided/Conflicting information IR/CQ/ Information from other reporting requirement(s) indicate some FAD are not marked (e.g. ROP/Port inspection)	
			N/C	No information provided in IR/CQ.	No information provided.	
			N/A	CPC does not have PS on RECORD OF AUTHORISED VESSELS	Does not have PS vessel on the IOTC RECORD OF AUTHORISED VESSELS.	
		Logbook on board	C	Information provided in IR/CQ including reference to national legislation.	Legal Reference: Act/regulation/decree XX.	2017
			P/C	Information provided in IR/CQ, no legal reference provided, conflicting information between IR & CQ.	Has indicated logbook are on-board/No legal reference provided/Conflicting information IR/CQ/ Information from other reporting requirement(s) indicate some logbook are not on board (e.g. ROP/Port inspection)	
			N/C	No information provided in IR/CQ.	No information provided.	
			N/A	CPC does have vessel on the RECORD OF AUTHORISED VESSELS.	Does not have vessel on the IOTC RECORD OF AUTHORISED VESSELS.	
		Official authorisation to fish outside National Jurisdictions Mandatory information: Template ATF and Competent Authority information: name, name & signature of the personnel; official stamp	C	Template ATF and Competent Authority information: name, name & signature of personnel; official stamp provided	Received [Date] or Updated[Date]	2017
			P/C	One of the following information was not provided: Template ATF, Competent Authority information: name, name & signature of personnel; official stamp	Received [Date], Missing [Template ATF, Competent Authority information: name, name of personnel; signature of the personnel; official stamp] and/or Information from other reporting requirement(s) indicate ATF not onboard or not matching mandatory information provided (e.g. ROP/Port inspection)	
			N/C	Template ATF and Competent Authority information: name, name of ontact; signature of the personnel; official stamp not provided	No information provided.	
			N/A	CPC does have vessel on the RECORD OF AUTHORISED VESSELS.	Does not have vessel on the IOTC RECORD OF AUTHORISED VESSELS.	
		IMO number for eligible vessels	C	Has provided IMO number for eligible vessels/Has informed on non-eligible vessels.	Has XX eligible vessels on the RECORD OF AUTHORISED VESSELS and XX with IMO numbers. Has XX non-eligible vessels on the RECORD OF	

N°	Source	Information required	Status Content	Result of assessment Note: Causes mentioned below are not exhaustive and are only example; other causes can apply depending of the context and information available.	Observations Note: Observations mentioned below are not exhaustive and are only example, other observations can apply depending of the context and information available.	Year reporting on/Year assessed
			P/C	Has not provided information for all vessels on the RECORD OF AUTHORISED VESSELS	AUTHORISED VESSELS and reported XX non-eligible vessels.	1 January 2017
			N/C	Has not provided IMO number/status of eligibility	No information provided.	
			N/A	CPC does have vessel on the RECORD OF AUTHORISED VESSELS.	Does not have vessel on the IOTC RECORD OF AUTHORISED VESSELS.	
2.2.	Res. 15/01	Official fishing logbooks	C	Template of official fishing logbook provided. Translation in English/French provided if logbook not in one of IOTC language.	Received [Date] or Updated[Date]	2017
			P/C	Template of official fishing logbook provided. Translation in English/French not provided if logbook not in one of IOTC languages. Logbook not provided for all gear/vessel type on the RECORD OF AUTHORISED VESSELS.	Received [Date], and Missing translation in [English/French] and/or Logbook for [PS/LL/GN/BB] provided but missing logbook for [PS/LL/GN/BB]. and/or Information from other reporting requirement(s) indicate fishing logbook onboard is not matching the official fishing logbook provided (e.g. ROP/Port inspection)	
			N/C	Template of official fishing logbook not provided.	No information provided.	
			N/A	CPC does not have vessel on the RECORD OF AUTHORISED VESSELS.	Does not have vessel on the IOTC RECORD OF AUTHORISED VESSELS.	
2.3.	Res. 17/07	Ban on large-scale driftnets	C	Information provided in IR/CQ including reference to national legislation.	Banned since [Date], Legal Reference: Act/regulation/decreet XX.	2017
			P/C	Information provided in IR/CQ, no legal reference provided, conflicting information between IR & CQ.	Has indicated 2.5 km driftnet are banned/No legal reference provided/Conflicting information IR/CQ/ Information from other reporting requirement(s) indicate Driftnets have been used on the high seas (e.g. ROP/Port inspection).	
			N/C	No information provided in IR/CQ.	No information provided.	
2.4.	Res. 17/08	FADs management plan	C	Has PS on the RECORD OF AUTHORISED VESSELS. FAD Plan received and information provided according to the guideline	Received [Date] or Updated[Date]	2017
			P/C	Has PS on the RECORD OF AUTHORISED VESSELS. FAD Plan received and information not provided according to the guideline and/or incompleted	Received or updated [Date]; Plan not provided at IOTC standard; XX sections not completed.	
			N/C	Has PS on the RECORD OF AUTHORISED VESSELS, no FAD plan provided.	Has XX PS on the RECORD OF AUTHORISED VESSELS; No information provided.	

N°	Source	Information required	Status Content	Result of assessment Note: Causes mentioned below are not exhaustive and are only example; other causes can apply depending of the context and information available.	Observations Note: Observations mentioned below are not exhaustive and are only example, other observations can apply depending of the context and information available.	Year reporting on/Year assessed
		Report of progress on implementation of FADs management plan	N/A	No PS on the RECORD OF AUTHORISED VESSELS or FADs are not used or PS not active.	Does not have PS on the IOTC RECORD OF AUTHORISED VESSELS, or fleet does not use FADs or PS not active in [YEARS].	2017
			C	Has already submitted a FAD plan; has submitted the progress report	Received [Date]	
			P/C	Has already submitted a FAD plan; has submitted the progress report but some sections of the plan not reviewed.	Received [Date]; XX sections of the plan not reviewed.	
			N/C	Has already submitted a FAD plan; has not submitted the progress report	No information provided.	
2.5.	Res. 16/07	Prohibition of surface or submerged artificial lights to attract fish.	C	CPC has vessels operating beyond territorial waters. Information provided in IR/CQ including reference to national legislation.	Banned since [Date], Legal Reference: Act/regulation/decreet XX.	2017
			P/C	Information provided in IR/CQ, no legal reference provided, conflicting information between IR & CQ.	Has indicated artificial lights is banned/No legal reference provided/Conflicting information IR/CQ/ Information from other reporting requirement(s) indicate use of artificial lights (e.g. Port inspection).	
			N/C	No information provided in IR/CQ.	No information provided.	
			N/A	CPC does not have vessel operating beyond territorial waters or CPC is not a coastal State and does not have vessels on the IOTC RAV or CPC has requested extension of use to 12/2017.	Does not have vessel operating beyond territorial waters or is not a coastal State and no vessels on the IOTC RAV or Extension of use requested [Date]	
2.6.	Res. 16/08	Prohibition of aircrafts and unmanned aerial vehicles.	C	CPC has vessels operating in the IOTC Area of Competence. Information provided in IR/CQ including reference to national legislation.	Banned since [Date], Legal Reference: Act/regulation/decreet XX.	2017
			P/C	CPC has vessels operating in the IOTC Area of Competence. Information provided in IR/CQ, no legal reference provided, conflicting information between IR & CQ.	Has indicated aircrafts and unmanned aerial vehicles is banned/No legal reference provided/Conflicting information IR/CQ/ Information from other reporting requirement(s) indicate use of aircrafts and unmanned aerial vehicles.	
			N/C	No information provided in IR/CQ.	No information provided.	
			N/A	CPC does not have vessels operating in the IOTC Area of Competence or CPC is not a coastal State or CPC has requested extension of use to 12/2017.	Does not have vessel operating in the IOTC Area of Competence or CPC is not a coastal State or Extension of use requested [Date]	
2.7.		Report on methods for achieving the YFT catch reductions.	C	Catch reductions applies to CPC, Report provided and/or information provided in IR/CQ.	Report/information received [Date], Methods are [XXX].	2017
			P/C	Catch reductions applies to CPC, Report provided and/or Information provided in IR/CQ, conflicting information between IR & CQ.	Report/information received [Date], Methods are [XXX]/Conflicting information IR/CQ.	
			N/C	No report or information provided in IR/CQ.	No information provided.	
			N/A	Catch reductions does not apply to CPC.	Catch reductions does not apply to CPC.	
2.8.	Res. 17/01	Purse seiners served by supply vessel.	C	Has PS/ SP vessels on the RECORD OF AUTHORISED VESSELS,, Information provided and/or information provided in IR/CQ.	Report/information received [Date].	2017

N°	Source	Information required	Status Content	Result of assessment Note: Causes mentioned below are not exhaustive and are only example; other causes can apply depending of the context and information available.	Observations Note: Observations mentioned below are not exhaustive and are only example, other observations can apply depending of the context and information available.	Year reporting on/Year assessed
			P/C	Has PS/SP vessels on the RECORD OF AUTHORISED VESSELS, Information provided and/or Information provided in IR/CQ, conflicting information between IR & CQ.	Report/information received [Date], Conflicting information IR/CQ.	
			N/C	Has PS/SP vessels on the RECORD OF AUTHORISED VESSELS, No report or information provided in IR/CQ.	Has XX PS and YY SP on the RECORD OF AUTHORISED VESSELS, no information provided.	
			N/A	Has no PS/SP vessels on the RECORD OF AUTHORISED VESSELS, does not apply to CPC	Does not have PS/SP vessels operating in the IOTC Area of Competence.	
2.9.		Plans for reducing the use of supply vessel.	C	Has PS/ SP vessels on the RECORD OF AUTHORISED VESSELS,, Plan provided and/or information provided in IR/CQ.	Plan received [Date].	2017
			P/C	Has PS/SP vessels on the RECORD OF AUTHORISED VESSELS, Plan provided and/or Information provided in IR/CQ, conflicting information between IR & CQ.	Plan received [Date], Conflicting information IR/CQ.	
			N/C	Has PS/SP vessels on the RECORD OF AUTHORISED VESSELS, No plan provided in IR/CQ.	Has XX PS and YY SP on the RECORD OF AUTHORISED VESSELS, no information provided.	
			N/A	Has no PS/SP vessels on the RECORD OF AUTHORISED VESSELS, does not apply to CPC	Does not have PS/SP vessels operating in the IOTC Area of Competence.	
2.10.	Res. 16/06	Report actions taken to implement reporting obligations & improve data collection of catches.	C	CPC reports catch data. Information on actions provided in IR/CQ.	Information received [Date] (CQ/IR) Actions are: XXX	2017
			P/C	CPC reports catch data. Information provided in IR/CQ, conflicting information between IR & CQ.	Information received [Date] (CQ/IR). conflicting information between IR & CQ. Actions are: XXX	
			N/C	No information provided in IR/CQ.	No information provided.	
			N/A	CPC does not have vessels operating in the IOTC Area of Competence	Does not have vessel operating in the IOTC Area of Competence	
3. Reporting on Vessels						
3.1.	Res. 10/08	List of Active vessels	C	Has vessels on the RECORD OF AUTHORISED VESSELS, List received and information provided at IOTC Standard.	Received [Date]	2017
			P/C	Has vessels on the RECORD OF AUTHORISED VESSELS, List received but information not provided at IOTC standard.	Received [Date]; Information not provided at IOTC standard; missing [e.g. IRCS; NRN].	
			N/C	Has vessels on the RECORD OF AUTHORISED VESSELS, No list received.	Has XX vessels on the RECORD OF AUTHORISED VESSELS; no information provided	
			N/A	No vessel on the RECORD OF AUTHORISED VESSELS.	Does not have vessel on the IOTC RECORD OF AUTHORISED VESSELS.	
3.2.	Res. 15/11	Fleet Development Plan (FDP)	C	A FDP has been provided wth information at IOTC standard.	Received [Date]	2009-2017
			P/C	A FDP has been provided wth information not at IOTC standard.	Received [Date]; Information not provided at IOTC standard; missing [e.g. GT].	
			N/C	No FDP was provided.	No FDP provided.	
			N/A	The CPC has indicated that it will not submit a FDP.	Has confirmed it will not submit a FDP.	
3.3.	Res. 15/11	Reference Capacity				
		C	List has been provided with information at IOTC Standard.	Received [Date]		

N°	Source	Information required	Status Content	Result of assessment Note: Causes mentioned below are not exhaustive and are only example; other causes can apply depending of the context and information available.	Observations Note: Observations mentioned below are not exhaustive and are only example, other observations can apply depending of the context and information available.	Year reporting on/Year assessed		
		List of vessels for Tropical Tuna during 2006	P/C	List has been provided with information not at IOTC Standard.	Received [Date]; Information not provided at IOTC standard; missing [e.g. GT].	Since 2007		
			N/C	No list was provided	List not provided.			
			N/A	No vessel on the RECORD OF AUTHORISED VESSELS in 2006 or some vessels but not active.	No active vessels in 2006.			
				List of vessels for SWO and ALB during 2007	C	List has been provided with information at IOTC Standard.	Received [Date]	Since 2008
					P/C	List has been provided with information not at IOTC Standard.	Received [Date]; Information not provided at IOTC standard; missing [e.g. GT].	
					N/A	No vessel on the RECORD OF AUTHORISED VESSELS in 2007 or some vessels but not active.	No active vessels in 2007.	
3.4.	Res. 15/04	List of Authorized vessels 24 metres in length overall or more	C	List has been provided with information at IOTC Standard.	Last update [Date]	Since 01/03 2016		
			P/C	List has been provided with information not at IOTC Standard.	Last update [Date]; Information not provided at IOTC standard; missing [e.g. owner].			
			N/C	No list was provided.	List not provided.			
			N/A	No vessel > 24 operating in the Indian Ocean	No vessels of 24 metres in length overall or more in the IOTC RECORD OF AUTHORISED VESSELS.			
				List of Authorized vessels (less than 24m, operating in waters outside EEZ of the flag state)	C	List has been provided with information at IOTC Standard.	Last update [Date]	Since 01/03 2016
					P/C	Received [Date]	Last update [Date]; Information not provided at IOTC standard; missing [e.g. owner].	
					N/C	No list was provided.	List not provided.	
					N/A	No vessel < 24 operating outside EEZ. No vessels in the RECORD OF AUTHORISED VESSELS..	No vessel < 24 operating outside EEZ. No vessels in the IOTC RECORD OF AUTHORISED VESSELS.	
3.5.		List of foreign vessels licensed in EEZ	C	Has licensed FFV, List has been provided with information at IOTC Standard	Received [Date]: has licensed XX FFV in 2015.	2017		
			P/C	Has licensed FFV, List has been provided with information not at IOTC Standard	Received [Date]: has licensed XX FFV in 2015. Information not provided at IOTC standard; missing [e.g. GT].			
			N/C	Has licensed FFV, list has not been provided	List not provided.			
			N/A	CPC does not license FFV	Does not license foreign fishing vessel/ not an IOTC Coastal State			
3.6.	Res. 14/05	List of foreign vessels denied a licence	C	Has licensed FFV, has or has not denied license and information was reported	Received [Date]; has licensed XX FFV in 2015.	2017		
			P/C	Has denied licence to FFV.	Received [Date]; has licensed XX FFV in 2015. Did not provide reason for denial of licence to FFV. XX FFV denied licence(s).			
			N/C	Has licensed FFV, no information reported on denial of license.	No information provided.			
			N/A	CPC does not license FFV or CPC is not an IOTC Coastal State	Does not license foreign fishing vessel / Not an IOTC Coastal State			
3.7.		Access Agreement information	C	Information on access agreement and copy of agreement provided	Received [Date]; CPC-CPC agreement with [Country code]	2017		

N°	Source	Information required	Status Content	Result of assessment Note: Causes mentioned below are not exhaustive and are only example; other causes can apply depending of the context and information available.	Observations Note: Observations mentioned below are not exhaustive and are only example, other observations can apply depending of the context and information available.	Year reporting on/Year assessed
			P/C	Information on access agreement provided but copy of agreement not provided	Received [Date]; Missing copy of agreement with [Country code]	
			N/C	Has agreement with [Country Code]. CPCA has provided information or copy of agreement. Information on access agreement and copy of agreement provided	No information/copy of agreement provided. [Country code] has reported to have agreement with CPC.	
			N/A	No foreign vessel are licensed or does not have CPC-CPC agreement.	Does not license foreign fishing vessel / Does not have CPC-CPC Agreement.	
3.8.		Official coastal State fishing License Mandatory information: Template license and Competent Authority information: name, name of personnel; signature of the personnel; official stamp not provided	C	Template License and Competent Authority information: name, name of personnel; signature of the personnel; official stamp provided	Received [Date] or Updated[Date]	2017
			P/C	One of the following information was not provided: Template License, Competent Authority information: name, name of personnel; signature of the personnel; official stamp	Received [Date], Missing [Template ATF, Competent Authority information: name, name of personnel; signature of the personnel; official stamp] and/or Information from other reporting requirement(s) indicate License not matching mandatory information provided (e.g. ROP/Port inspection).	
			N/C	Has licensed FFV, Template License and Competent Authority information: name, name of personnel; signature of the personnel; official stamp not provided.	No information provided.	
			N/A	CPC does not license FFV or CPC is not an IOTC Coastal State.	Does not license foreign fishing vessel / not an IOTC Coastal State.	
4. Vessel Monitoring System						
4.1.	Res. 15/03	Adoption VMS for all vessels > 24 m and < 24 m fishing high seas	C	Has a satellite-based VMS.	VMS adopted in [YEAR]. Legal Reference: Act/regulation/decreree XX	2017
			P/C	Has indicated other tracking system adopted but not satellite-based VMS. Has adopted VMS but not all vessels covered.	Source [Report Name].	
			N/C	No information provided on VMS adoption	No information provided.	
			N/A	No vessel on the RECORD OF AUTHORISED VESSELS / Has only an artisanal fleet.	Does not have vessel on the IOTC RECORD OF AUTHORISED VESSELS	
		VMS report on implementation and technical failures	C	Has provided the VMS report and full completion.	Received [Date] Had XX active vessels in 2015, has reported XX vessels fitted with VMS in 2015.	2016
			P/C	Has provided the VMS report but some section(s)/field(s) not completed.	Received [Date]; Missing information [XX]. Had XX active vessels in 2015, has reported YY vessels fitted with VMS in 2015.	
			N/C	Has not provided the VMS report.	Mandatory VMS report not provided. Had XX active vessels in 2015.	
			N/A	No vessel on the RECORD OF AUTHORISED VESSELS / Has only an artisanal fleet.	Does not have vessel on the IOTC RECORD OF AUTHORISED VESSELS.	
	C	Has provided the VMS implementation plan.	Received [Date]			

N°	Source	Information required	Status Content	Result of assessment Note: Causes mentioned below are not exhaustive and are only example; other causes can apply depending of the context and information available.	Observations Note: Observations mentioned below are not exhaustive and are only example, other observations can apply depending of the context and information available.	Year reporting on/Year assessed				
		VMS implementation plan	P/C	Has provided the VMS report but incomplete, missing information on % of coverage, less than 50% coverage.	Received [Date]; Missing information [XX]. Less than 50 % coverage.	2017				
	N/C		Has not provided the VMS plan, VMS not adopted.	No VMS, VMS not adopted and no implementation plan submitted.						
	N/A		VMS adopted [Date] and coverage 100%	VMS adopted [Date] and coverage 100%						
5. Mandatory statistical requirement – Flag State CPCs										
5.1.	Res. 15/02	Nominal Catch								
		Coastal fisheries	C	Has provided NC by gears, by species.	Data received [Date].	2016				
			P/C	Has provided NC but some gear missing/aggregated and/or some species aggregated. Has provided NC but fleet segments aggregated: coastal & surface; coastal & LL. No data collection system in place.	Data received [Date], not at IOTC Standard [Description].					
			N/C	No information provided.	Mandatory data not provided.					
			N/A	CPC is not an IOTC Coastal State.	Not an IOTC Coastal State.					
		Surface fisheries: PS, BB, GI	C	Has provided NC by gears, by species.	Data received [Date].	2016				
			P/C	Has provided NC but some gear missing/aggregated and/or some species aggregated. Has provided NC but fleet segments aggregated: coastal & surface; surface & LL	Data received [Date], not at IOTC Standard [Description].					
			N/C	No information provided.	Mandatory data not provided.					
		N/A	No PS, BB or GI vessels on the IOTC RECORD OF AUTHORISED VESSELS or active	No PS, BB or GN vessel of 24m LOA or more, or less than 24m LOA if they fish for tuna and tuna-like species outside of their EEZ on the IOTC RECORD OF AUTHORISED VESSELS or active in [year]						
		LL Provisional or Final	C	Has provided NC by species and by type of fisheries (Fresh & frozen)	Data received [Date].	2016				
			P/C	Has provided NC but some species aggregated. Has provided NC but fleet segments aggregated: coastal & LL; surface & LL Has provided NC aggregated by type of fisheries (Fresh & frozen)	Data received [Date], not at IOTC Standard [Description].					
			N/C	No information provided.	Mandatory data not provided.					
			N/A	No LL vessel on the IOTC RECORD OF AUTHORISED VESSELS or active.	No LL vessel of 24m LOA or more, or less than 24m LOA if they fish for tuna and tuna-like species outside of their EEZ on the IOTC RECORD OF AUTHORISED VESSELS or active in [year]					
		5.2.		Catch & Effort					2016	
				Coastal fisheries	C	Has provided CE by gears, by species, by month		Data received [Date].		
					P/C	Has provided CE but some gears missing/aggregated and/or some species aggregated and/or not by month		Data received [Date], not at IOTC Standard [Description].		
N/C	No information provided.	Mandatory data not provided.								

N°	Source	Information required	Status Content	Result of assessment Note: Causes mentioned below are not exhaustive and are only example; other causes can apply depending of the context and information available.	Observations Note: Observations mentioned below are not exhaustive and are only example, other observations can apply depending of the context and information available.	Year reporting on/Year assessed				
5.3.		Surface fisheries: PS, BB, GI	N/A	CPC is not an IOTC Coastal State.	Not an IOTC Coastal State.	2016				
			C	Has provided CE by gears, by species, by month, by grid	Data received [Date].					
			P/C	Has provided CE but some gears missing/aggregated and/or some species aggregated and/or not by month and/or not by grid	Data received [Date], not at IOTC Standard [Description].					
			N/C	No information provided.	Mandatory data not provided.					
		LL Provisional or Final	N/A	No PS, BB or GI vessel on the IOTC RECORD OF AUTHORISED VESSELS or active	No PS, BB or GN vessel of 24m LOA or more, or less than 24m LOA if they fish for tuna and tuna-like species outside of their EEZ on the IOTC RECORD OF AUTHORISED VESSELS or active in [year]					
			C	Has provided CE by species, by month, by grid, by type of fisheries (Fresh & frozen)	Data received [Date].					
			P/C	Has provided CE but some species aggregated and/or not by month and/or not by grid. Has provided CE aggregated by type of fisheries (Fresh & frozen)	Data received [Date], not at IOTC Standard [Description].					
			N/C	No information provided.	Mandatory data not provided.					
			Coastal fisheries	N/A	No LL vessel on the IOTC RECORD OF AUTHORISED VESSELS or active	No LL vessel of 24m LOA or more, or less than 24m LOA if they fish for tuna and tuna-like species outside of their EEZ on the IOTC RECORD OF AUTHORISED VESSELS or active in [year]	2016			
				Size Frequency						
				C	Has provided SF by gears, by species, by month, by size categories	Data received [Date].				
				P/C	Has provided SF but not for all gear, not by month, not by size categories and/or some species missing and less than 1 fish per MT measured.	Data received [Date], not at IOTC Standard [Less than 1 fish per MT].				
			Surface fisheries: PS, BB, GI	N/C	No information provided.	Mandatory data not provided.				
				N/A	CPC is not an IOTC Coastal State.	Not an IOTC Coastal State.				
				C	Has provided SF by gears, by species, by month, by grid, by size categories	Data received [Date].				
				P/C	Has provided SF but not for all gear, not by month, not by size categories, not by grid, and/or some species missing and less than 1 fish per MT measured.	Data received [Date], not at IOTC Standard [Less than 1 fish per MT].				
LL Provisional/Final	N/C	No information provided.	Mandatory data not provided.							
	N/A	No PS, BB or GI vessel on the IOTC RECORD OF AUTHORISED VESSELS.	No PS, BB or GN vessel of 24m LOA or more, or less than 24m LOA if they fish for tuna and tuna-like species outside of their EEZ on the IOTC RECORD OF AUTHORISED VESSELS or active in [year]							
		LL Provisional/Final	C	Has provided SF by species, by month, by grid, by size categories, by type of fisheries	Data received [Date].	2016				
			P/C	Has provided SF but not by month, not by size categories, not by grid and/or some species missing and less than 1 fish per MT measured and/or not by type of fisheries	Data received [Date], not at IOTC Standard [Less than 1 fish by MT].					

N°	Source	Information required	Status Content	Result of assessment Note: Causes mentioned below are not exhaustive and are only example; other causes can apply depending of the context and information available.	Observations Note: Observations mentioned below are not exhaustive and are only example, other observations can apply depending of the context and information available.	Year reporting on/Year assessed
			N/C	No information provided.	Mandatory data not provided.	
			N/A	No LL vessel on the IOTC RECORD OF AUTHORISED VESSELS or active.	No LL vessel of 24m LOA or more, or less than 24m LOA if they fish for tuna and tuna-like species outside of their EEZ on the IOTC RECORD OF AUTHORISED VESSELS or active in [year]	
		Fish Aggregating Devices (FAD)				
5.4.		Supply vessels	C	Has provided the number and characteristics of SV	Data received [Date].	2016
			P/C	Has not provided all information (the number and characteristics of SV)	Data received [Date], not at IOTC Standard [Description].	
			N/C	No information provided.	Mandatory data not provided.	
			N/A	CPC does not have supply vessels	No supply vessels on the RECORD OF AUTHORISED VESSELS or active in 2015	
		Days at sea by supply vessels	C	Has provided effort of SV by month by grid	Data received [Date].	2016
			P/C	Has provided all information but not by month and/or by grid.	Data received [Date], not at IOTC Standard [Description].	
			N/C	No information provided.	Mandatory data not provided.	
			N/A	CPC does not have supply vessels on the RECORD OF AUTHORISED VESSELS or active in [YEAR].	No supply vessels on the RECORD OF AUTHORISED VESSELS or active in 2015	
		FADs set by type	C	Has provided catch on FADs set by type, by grid, by month	Data received [Date].	2016
			P/C	Has provided catch on FADs set but not by type, not by grid, not by month	Data received [Date], not at IOTC Standard [Description].	
			N/C	No information provided.	Mandatory data not provided.	
			N/A	CPC does not have purse seiner and/or supply vessel.	No purse seiner and/or supply vessel on the IOTC RECORD OF AUTHORISED VESSELS or active in [year]	
6. Implementation of mitigation measures and bycatch of non-IOTC species						
6.1.	Res. 17/05	Submission of data regarding Sharks – Nominal catch	C	Has provided sharks NC by gears, by species.	Data received [Date].	2016
			P/C	Has provided sharks NC but some gear missing/aggregated and/or some species aggregated.	Data received [Date], not at IOTC Standard [Description].	
			N/C	No information provided.	Mandatory data not provided.	
			N/A	CPC is not an IOTC Coastal State and no vessels in the IOTC RECORD OF AUTHORISED VESSELS.	Not an IOTC Coastal State and no vessel in the IOTC RECORD OF AUTHORISED VESSELS.	
		Submission of data regarding Sharks – Catch & effort	C	Has provided sharks CE by gears, by species.	Data received [Date].	2016
			P/C	Has provided sharks CE but some gears missing/aggregated and/or some species aggregated.	Data received [Date], not at IOTC Standard [Description].	
			N/C	No information provided.	Mandatory data not provided.	
			N/A	CPC is not an IOTC Coastal State and no vessels in the IOTC RECORD OF AUTHORISED VESSELS.	Not an IOTC Coastal State and no vessel in the IOTC RECORD OF AUTHORISED VESSELS.	
		Submission of data regarding Sharks – Size frequency	C	Has provided sharks SF by gears, by species.	Data received [Date].	2016
			P/C	Has provided sharks SF but some species missing and less than 1 fish measured by MT.	Data received [Date], not at IOTC Standard [Less than 1 fish by MT].	

N°	Source	Information required	Status Content	Result of assessment Note: Causes mentioned below are not exhaustive and are only example; other causes can apply depending of the context and information available.	Observations Note: Observations mentioned below are not exhaustive and are only example, other observations can apply depending of the context and information available.	Year reporting on/Year assessed
			N/C	No information provided.	Mandatory data not provided.	
			N/A	CPC is not an IOTC Coastal State and no vessels in the IOTC RECORD OF AUTHORISED VESSELS.	Not an IOTC Coastal State and no vessel in the IOTC RECORD OF AUTHORISED VESSELS.	
6.2.	Res. 12/09	Prohibition on thresher sharks of all the species of the family <i>Alopiidae</i>	C	Banned since [YEAR]; Information provided in IR/CQ including reference to national legislation.	Banned since [YEAR]; Legal Reference: Act/regulation/decree XX.	Since 2010
			P/C	Banned since [YEAR]; Information provided in IR/CQ, no legal reference provided, conflicting information between IR & CQ.	Has indicated prohibition is in place/No legal reference provided/Conflicting information IR/CQ.	
			N/C	No information provided in IR/CQ.	No information provided.	
			N/A	CPC is not an IOTC Coastal State and no vessels in the IOTC RECORD OF AUTHORISED VESSELS.	CPC is not an IOTC Coastal State and no vessels in the IOTC RECORD OF AUTHORISED VESSELS.	
6.3.	Res. 13/06	Prohibition on oceanic whitetip sharks	C	Banned since [YEAR]; Information provided in IR/CQ including reference to national legislation.	Banned since [YEAR]; Legal Reference: Act/regulation/decree XX.	Since 2013
			P/C	Banned since [YEAR]; Information provided in IR/CQ, no legal reference provided, conflicting information between IR & CQ.	Has indicated prohibition is in place/No legal reference provided/Conflicting information IR/CQ.	
			N/C	No information provided in IR/CQ.	No information provided.	
			N/A	CPC is not an IOTC Coastal State and no vessels in the IOTC RECORD OF AUTHORISED VESSELS.	CPC is not an IOTC Coastal State and no vessels in the IOTC RECORD OF AUTHORISED VESSELS.	
6.4.	Res. 12/04	Sea turtles report	C	Has provided information on interactions by species by gears and information on Status of implementation of FAO guidelines and this resolution, or has reported no interaction has occurred	Data received [Date]; Total of [XX] interactions reported in [YEAR]. Information on implementation of FAO guideline /this Resolution received [Date]	2016
			P/C	Has provided information on interactions aggregated, not for all gears and no information on Status of implementation of FAO guidelines and this resolution.	Data received [Date]; data not by species. Information on implementation of FAO guidelines received [Date] or No information received on the status of implementation of the FAO guidelines	
			N/C	No information provided	Mandatory data not provided	
			N/A	CPC is not an IOTC Coastal State and no vessels in the IOTC RECORD OF AUTHORISED VESSELS.	Not an IOTC Coastal State and no vessels in the IOTC RECORD OF AUTHORISED VESSELS.	
6.5.		Carry line cutters and de-hookers on board (Longliners)	C	Obligation in place since [YEAR]; Information provided in IR/CQ including reference to national legislation.	Has indicated obligation is in place since [YEAR]; Legal Reference: Act/regulation/decree XX.	Since 2009
			P/C	Obligation in place since [YEAR]; Information provided in IR/CQ, no legal reference provided, conflicting information between IR & CQ.	Has indicated obligation in place since [YEAR] / No legal reference provided/Conflicting information IR/CQ.	
			N/C	No information provided in IR/CQ.	No information provided.	
			N/A	CPC does not have LL on RECORD OF AUTHORISED VESSELS or active	No LL operating in the Indian Ocean.	
6.6.		Carry dip nets (Purse seiners)	C	Obligation in place since [YEAR]; Information provided in IR/CQ including reference to national legislation.	Has indicated obligation is in place since [YEAR]; Legal Reference: Act/regulation/decree XX.	Since 2009
			P/C	Obligation in place since [YEAR]; Information provided in IR/CQ, no legal reference provided, conflicting information between IR & CQ.	Has indicated obligation in place since [YEAR] / No legal reference provided/Conflicting information IR/CQ.	
			N/C	No information provided in IR/CQ.	No information provided.	

N°	Source	Information required	Status Content	Result of assessment Note: Causes mentioned below are not exhaustive and are only example; other causes can apply depending of the context and information available.	Observations Note: Observations mentioned below are not exhaustive and are only example, other observations can apply depending of the context and information available.	Year reporting on/Year assessed
			N/A	CPC does not have PS in RECORD OF AUTHORISED VESSELS or active	No PS operating in the Indian Ocean.	
6.7.	Res. 12/06	Seabirds report	C	Has provided information on interactions by species, or has reported no interaction has occurred.	Data received [Date]. Total of [XX] interactions reported in [YEAR].	2016
			P/C	Has provided information on interactions but aggregated, not by species.	Data received [Date]; data not by species.	
			N/C	No information provided	Mandatory data not provided	
			N/A	CPC does not have LL in RECORD OF AUTHORISED VESSELS or active	No LL operating in the Indian Ocean.	
6.8.		Implementation of mitigation measures south of 25°S	C	Obligation in place since [YEAR]; Information provided in IR/CQ including reference to national legislation.	Has indicated obligation is in place since [YEAR]; Legal Reference: Act/regulation/decree XX.	Since 2010
			P/C	Obligation in place since [YEAR]; Information provided in IR/CQ, no legal reference provided, conflicting information between IR & CQ.	Has indicated obligation in place since [YEAR] / No legal reference provided/Conflicting information IR/CQ.	
			N/C	No information provided in IR/CQ.	No information provided.	
			N/A	CPC does not have LL in RECORD OF AUTHORISED VESSELS or active or LL operating south of 25°S	No LL operating in the Indian Ocean, operating south of 25°S.	
6.9.	Res. 13/04	Data on interactions with Cetaceans (All gears)	C	Has provided interactions by gears by species, or has reported no interaction has occurred	Data received [Date].	2016
			P/C	Has provided interactions but not by gears and/or by species	Data received [Date]; data not by species, not at IOTC standard.	
			N/C	Has not provided the data	No information provided.	
			N/A	CPC does not have vessels in RECORD OF AUTHORISED VESSELS	No vessel on the Record of Authorised Vessels or active in 2014	
		Instances of Cetaceans encircled (PS only)	C	Has provided information on instances of cetaceans encircled by species	Data received [Date]. Total of [XX] instances reported in [YEAR].	2017
			P/C	Has provided information on instances of cetaceans encircled but aggregated, not by species.	Data received [Date]; data not by species.	
			N/C	No information provided.	Mandatory data not provided.	
			N/A	CPC does not have PS in RECORD OF AUTHORISED VESSELS	No purse seiner on the Record of Authorised Vessels or active in 2015	
6.10.	Res 13/05	Data on interactions with Whale Sharks (All gears)	C	Has provided interactions by gears, or has reported no interaction has occurred	Data received [Date].	2016
			P/C	Has provided interactions but not by gears	Data received [Date]; data not at IOTC standard.	
			N/C	Has not provided the data.	No information provided.	
			N/A	CPC does not have vessels in RECORD OF AUTHORISED VESSELS	No vessel on the Record of Authorised Vessels or active in 2014	
		Instances Whale Sharks encircled (PS only)	C	Has provided information on instances of Whale Sharks encircled	Data received [Date]. Total of [XX] instances reported in [YEAR].	2017
			P/C	Has provided information on instances of Whale Sharks encircled, some information missing.	Data received [Date]; data not at IOTC standard.	
			N/C	No information provided.	Mandatory data not provided	

N°	Source	Information required	Status Content	Result of assessment Note: Causes mentioned below are not exhaustive and are only example; other causes can apply depending of the context and information available.	Observations Note: Observations mentioned below are not exhaustive and are only example, other observations can apply depending of the context and information available.	Year reporting on/Year assessed
			N/A	CPC does not have PS in RECORD OF AUTHORISED VESSELS or active	No purse seiner on the Record of Authorised Vessels or active in 2015	
7. Illegal, Unreported and Unregulated (IUU) Vessels						
7.1.	Res. 17/03	IUU listing (at previous session)	C	CPC had no vessel listed at the previous session of the Commission	No vessel listed on IOTC IUU list in [Year]	Listed in 2017
			P/C			
			N/C	CPC had vessel listed at the previous session of the Commission	Had [XX] vessels listed in [Year]	
			N/A			
7.2.	Res. 07/01	Compliance by nationals (at previous session)	C	CPC had no nationals involved on vessels listed at the previous session of the Commission.	No nationals on board vessel listed on IOTC IUU list in [Year].	Listed in 2017
			P/C			
			N/C	CPC had nationals involved on vessel listed at the previous session of the Commission.	Had [XX] nationals on vessels listed in [Year].	
			N/A			
8. Transshipments						
8.1.		At sea transshipments – CPC report Flag State report concerning information on TRX at sea under the ROP	C	Has provided the 2 mandatory reports (quantity transhipped by specie, list of LSTLVs and comments on the observer report).	Reports received [Date]	2016
			P/C	Has provided only one of the 2 mandatory reports (quantity transhipped by species, list of LSTLVs and comments on the observer report). Or Quantity declared and/or list of LSTLVs not matching information in the ROP database	Report received [Date]; Report on [XX] missing. Has reported total quantity transhipped [XX] T but ROP database records [YY] T. Has reported [XX] LSTLVs but ROP database records [YY] LSTLVs	
			N/C	Has not provided the 2 mandatory reports (quantity transhipped by specie, list of LSTLVs and comments on the observer report).	Mandatory reports not provided.	
			N/A	CPC is not participating in the ROP.	Not participating in the IOTC ROP.	
8.2.	Res. 17/06	Transshipments in port report	C	Has provided the mandatory report: quantity transhipped by specie by LSTLVs).	Reports received [Date]	2017
			P/C	Has provided the mandatory report but quantity transhipped is aggregated not by species, and/or aggregated by LSTLVs.	Report received [Date]; quantity not reported by species but aggregated and /or aggregated by LSTLVs. Information from other reporting requirement(s) indicate some vessels have conducted TRX in ports (e.g. Res 10/10/Port inspection). Source – [Country code] report XX TRX in [Port Name]: information not reported.	
		Flag State report concerning information on TRX in foreign ports	N/C	CPC has not provided the mandatory report.	Mandatory report not provided. Information from other reporting requirement(s) indicate some vessels have conducted TRX in ports (e.g. Res 10/10/Port inspection). Source – [Country code] report XX TRX in [Port Name]: information not reported.	
			N/A	CPC does not have vessels on the RECORD OF AUTHORISED VESSELS and/or not active.	Does not have vessels on the Record of Authorised Vessels and/or not active	

N°	Source	Information required	Status Content	Result of assessment Note: Causes mentioned below are not exhaustive and are only example; other causes can apply depending of the context and information available.	Observations Note: Observations mentioned below are not exhaustive and are only example, other observations can apply depending of the context and information available.	Year reporting on/Year assessed
8.3.		List of Authorised carrier vessels	C	Has provided a list of authorised carrier vessels, and all mandatory information provided	Last update [Date]	2017
			P/C	Has provided a list of authorised carrier vessels but some mandatory information missing	Last update [Date]; information not at IOTC standard; missing [GT]	
			N/C	CPC is participating in the ROP but has not provided a list of authorised carrier vessels	No list of Carrier vessels provided	
			N/A	CPC is not participating in the ROP.	Not participating in the IOTC ROP.	
8.4.		Report on results of investigations on possible infractions	C	CPC has provided a response to all the possible infractions	Possible infractions: XX. Response received: XX.	2017
			P/C	CPC has not provided a response to all the possible infractions	Possible infractions: XX. Response received: YY.	
			N/C	CPC has not provided a response to the possible infractions	Possible infractions: XX. Response received: 0.	
			N/A	CPC is not participating in the ROP.	Not participating in the IOTC ROP.	
8.5.		ROP fee	C	CPC has paid the ROP fee	Received [Date].	2017
			P/C	CPC has paid the ROP fee but still outstanding	Received [Date]; has outstanding payment.	
			N/C	CPC has not paid the ROP fee	Has not paid the IOTC ROP fee.	
			N/A	CPC is not participating in the ROP.	Not participating in the IOTC ROP.	
9. Observers						
9.1.		Regional Observer Scheme (No. of vessels monitored and coverage by gear type)	C	CPC has provided the No. of vessels monitored and coverage by gear type	Had [XX] vessels active in 2015; No. of vessels monitored: [XX]; Coverage by gear A [XX] %	2016
			P/C	CPC has provided the No. of vessels monitored and coverage by gear type, CPC has provided only one of the information No. of vessels monitored and coverage by gear type	Had [XX] vessels active in 2015; Has provided No of vessel monitored [XX] but no coverage provided. or Has provided coverage by gear A [XX] % but No of vessel monitored not provided	
			N/C	CPC has not provided the No. of vessels monitored and coverage by gear type,	Had [XX] vessels active in 2015; no information provided.	
			N/A	CPC has no vessel in the RECORD OF AUTHORISED VESSELS or active	No vessel on the RECORD OF AUTHORISED VESSELS or active in 2014.	
9.2.	Res. 11/04	5% Mandatory, at sea (> 24m) ²	C	CPC has provided coverage => 5% for vessel >24 m	Coverage by gear A [XX] %	2016
			P/C	CPC has provided coverage but below 5% for vessel >24 m.	Coverage by gear A [XX] %	
			N/C	CPC has not provided information on coverage.	No information provided.	
			N/A	CPC has no vessel > 24m in the RECORD OF AUTHORISED VESSELS or active	No vessel > 24 m in the RECORD OF AUTHORISED VESSELS or active in 2014.	
9.3.		5% Mandatory, at sea (< 24m)	C	CPC has provided coverage => 5% for vessel < 24 m	Coverage by gear A [XX] %	2016
			P/C	CPC has provided coverage but below 5% for vessel <24 m	Coverage by gear A [XX] %	
			N/C	CPC has not provided information on coverage.	No information provided.	
			N/A	CPC has no vessel > 24m in the RECORD OF AUTHORISED VESSELS or active	No vessel < 24 m in the RECORD OF AUTHORISED VESSELS or active in 2015.	
9.4.		5 % Phasing in Artisanal landings	C	CPC has provided data on landings and coverage => 5 %.	Coverage by gear A [XX] %	2016
			P/C	CPC has provided data on landings and coverage < 5 %.	Coverage by gear A [XX] %	

N°	Source	Information required	Status Content	Result of assessment Note: Causes mentioned below are not exhaustive and are only example; other causes can apply depending of the context and information available.	Observations Note: Observations mentioned below are not exhaustive and are only example, other observations can apply depending of the context and information available.	Year reporting on/Year assessed
9.5.		Observer reports	N/C	CPC has not provided data on landing and information on coverage.	No information provided.	2016
			N/A	CPC is not an IOTC coastal State	Not an IOTC coastal State	
			C	CPC has provided observer reports	[XX] Observer reports provided	
			P/C	CPC has provided observer report but not according to the template Or with substantial amount of information missing	[XX] Observer reports provided; not at IOTC standard	
			N/C	CPC has not provided observer reports	No observer report provided	
			N/A	CPC has no vessel in the RECORD OF AUTHORISED VESSELS or active	No vessel on the RECORD OF AUTHORISED VESSELS or active in 2014.	
10. Statistical document programme						
10.1.	Res. 01/06	1 st Semester report	C	CPC import BET and has provided the report	Report received [Date]	1 st semester 2017
10.2.			P/C	CPC import BET and has provided the report but some information missing	Report received [Date]; Not at IOTC standard	
10.3.			N/C	CPC import BET but has not provided the report	Mandatory report not provided.	
10.4.			N/A	CPC does not import BET	Does not import BET.	
10.5.		2 nd Semester report	C	CPC import BET and has provided the report	Report received [Date]	2 nd semester 2016
10.6.			P/C	CPC import BET and has provided the report but some information missing	Report received [Date]; Not at IOTC standard	
10.7.			N/C	CPC import BET but has not provided the report	Mandatory report not provided.	
10.8.			N/A	CPC does not import BET.	Does not import BET.	
10.9.		Annual report	C	CPC has provided the annual report.	Report received [Date]	2016
10.10.			P/C	CPC has provided the annual report but some information missing.	Report received [Date]; Not at IOTC standard	
10.11.			N/C	CPC has not provided the annual report	Mandatory report not provided.	
10.12.			N/A	CPC does not export BET, or does not have authorised or active LSTLV.	No authorised or active LSTLV in 2014	
10.13.		Information on authorised institutions and personnel	C	CPC has provided information on authorised institutions and personnel.	Last update [Date]	2017
10.14.			P/C	CPC has provided information on authorised institutions and personnel but some information missing.	Last update [Date]; Missing information [XX]	
10.15.			N/C	CPC has not provided information on authorised institutions and personnel.	Mandatory information not provided. Exported [XX] kg to [Country code].	
10.16.			N/A	CPC does not export BET, or does not have authorised or active LSTLV.	No authorised or active LSTLV in 2014.	
11. Port inspection						
11.1.	Res. 05/03	Port inspection programme	C	CPC has provided report on landings of foreign vessels in its ports	Report received [Date]	2016
			P/C	CPC has provided report on landings of foreign vessels in its ports; but some missing information, or aggregated by species or by vessel or gear	Report received [Date]; Missing information [XX]	
			N/C	CPC has not provided report on landings of foreign vessels in its ports	Mandatory report not provided.	
			N/A	CPC is not an IOTC port State or has indicated it does not authorise landings by FFV in its ports	Not an IOTC coastal State/ does not authorise landings by FFV in its ports.	
11.2.	Res. 16/11	List of designated ports	C	CPC has designated ports	Has designated [XX] ports: [Name]	
			P/C	CPC has designated ports, but some information missing	Report received [Date]; Missing information [XX]	
			N/C	CPC is receiving FFV in port, but has not designated ports	Has received FFV in port, but has not designated port	

N°	Source	Information required	Status Content	Result of assessment Note: Causes mentioned below are not exhaustive and are only example; other causes can apply depending of the context and information available.	Observations Note: Observations mentioned below are not exhaustive and are only example, other observations can apply depending of the context and information available.	Year reporting on/Year assessed
			N/A	CPC is not an IOTC port State	Not an IOTC port State.	Since 2010
11.3.		Designated competent Authority	C	Details of CA reported	Report received [Date]	Since 2010
			P/C	Details of CA reported, but some information missing	Report received [Date]; Missing information [XX]	
			N/C	CPC is receiving FFV in port, but has not designated CA	Mandatory information not provided.	
			N/A	CPC is not an IOTC port State	Not an IOTC port State.	
11.4.		Prior notification periods	C	CPC has reported notification period	Report received [Date]	Since 2010
			P/C	CPC has reported notification period, but not for all designated ports.	Missing notification period for port [XX]	
			N/C	CPC is receiving FFV in port, but has not defined notification period	Mandatory information not provided.	
			N/A	CPC is not an IOTC port State	Not an IOTC port State.	
11.5.		Inspection report	C	CPC has provided inspection report	Source - IOTC-2016-CoC1X-CQxx: Call in port: XX ; Foreign vessel inspected: YY ; LAN/TRX monitored: ZZ. XX reports provided in 2014.	2017
			P/C	CPC has provided inspection report but not at IOTC standard	Source - IOTC-2016-CoC1X-CQxx: Call in port: XX ; Foreign vessel inspected: YY ; LAN/TRX monitored: ZZ. XX reports provided in 2014; not at IOTC standard (Annex 3 of Res 10/11).	
			N/C	CPC is receiving FFV in port, but has not provided inspection report.	No inspection report provided.	
			N/A	CPC is not an IOTC port State.	Not an IOTC port State.	
11.6.		At least 5% inspection of LAN or TRX	C	CPC has inspected 5% or more of LAN/TRX	Source - IOTC-2016-CoC1X-CQxx: =>5% LAN/TRX inspected.	2017
			P/C	CPC has inspected less that 5% of LAN/TRX	Source - IOTC-2016-CoC1X-CQxx: <5% LAN/TRX inspected.	
			N/C	CPC has not conducted inspection of LAN/TRX.	No information provided.	
			N/A	CPC is not an IOTC port State.	Not an IOTC port State.	
11.7.		Denial of entry in port	C	CPC has provided information on denial.	Source – CQ 201X: has reported [xx] or no foreign vessel was denied entry in port.	2017
			P/C	CPC has denied FFV entry to its port, but did not communicate the denial to the IOTC Secretariat in a timely manner.	Source – CQ 201X: has reported [xx] FFV were denied entry into port.its port, but did not communicate the denial to the IOTC Secretariat.	
			N/C	CPC has not provided information on denial.	No information provided.	
			N/A	CPC is not an IOTC port State.	Not an IOTC port State.	
12. Market						
12.1.	Res. 10/10	Report on import, landing and transshipment of tuna and tuna-like fish products in ports	C	CPC has provided the mandatory report	Report received [Date]	2017
			P/C	CPC has provided the mandatory report but information is aggregated (gear, species).	Report received [Date]; not at IOTC standard	
			N/C	CPC has not provided the mandatory report	Mandatory report not provided.	

N°	Source	Information required	Status Content	Result of assessment Note: Causes mentioned below are not exhaustive and are only example; other causes can apply depending of the context and information available.	Observations Note: Observations mentioned below are not exhaustive and are only example, other observations can apply depending of the context and information available.	Year reporting on/Year assessed
			N/A	CPC has no port or has indicated it does not authorise LAN/TRX by FFV in its ports.	Has no port. Does not authorise landings by FFV in its ports.	

APPENDIX VIII
TEXT TO AMEND RESOLUTION 15/04

RESOLUTION 15/04
CONCERNING THE IOTC RECORD OF VESSELS AUTHORISED TO OPERATE IN THE IOTC AREA OF COMPETENCE

Keywords: Authorised vessels; active vessels; auxiliary, supply and support vessels; IMO number; IUU fishing vessels.

The Indian Ocean Tuna Commission (IOTC),

RECALLING that IOTC has been taking various measures to prevent, deter and eliminate the IUU fisheries conducted by large-scale tuna fishing vessels;

FURTHER RECALLING that IOTC adopted the [Resolution 01/06](#) *Concerning the IOTC Bigeye Tuna Statistical Document Programme* at its 2001 meeting;

FURTHER RECALLING that IOTC adopted the Resolution 01/02 ~~[superseded by Resolution 13/02, then Resolution 14/04]~~ *Relating to control of fishing activities* at its 2001 meeting;

NOTING that large-scale fishing vessels are highly mobile and easily change fishing grounds from one ocean to another, and have high potential to operate in the IOTC area of competence without timely registration with the Commission;

NOTING that supply or support vessels can increase the fishing capacity of purse seine vessels in an uncontrolled manner by setting fish aggregating devices [in areas closed to fishing];

RECALLING that the FAO Council adopted on 23 June 2001 an International Plan of Action aiming to prevent, to deter and to eliminate illegal, unregulated and unreported fishing (IPOA), that this plan stipulates that the regional fisheries management organisations should take action to strengthen and develop innovative ways, in conformity with international law, to prevent, deter and eliminate IUU fishing and in particular to establish records of vessels authorised and records of vessels engaged in IUU fishing;

RECALLING that the IOTC Record of Active Vessels was established by the Commission on 1 July 2003, via Resolution 02/05 *Concerning the establishment of an IOTC record of vessels authorised to operate in the IOTC area of competence* ~~[superseded by Resolution 05/02, then Resolution 07/02, then Resolution 13/02, then Resolution 14/04]~~;

RECOGNISING the need to take further measures to effectively eliminate the IUU large scale tuna fishing vessels;

ADOPTS, in accordance with paragraph 1 of Article IX of the IOTC Agreement, that:

1. The Commission shall maintain an IOTC Record of fishing vessels that are:
 - a) 24 metres in length overall or above; or
 - b) in case of vessels less than 24 meters, those operating in waters outside the Economic Exclusive Zone of the Flag State; and that are authorised to fish for tuna and tuna-like species in the IOTC area of competence (hereinafter referred to as ‘authorised fishing vessels’, or AFVs).

For the purpose of this Resolution, fishing vessels including auxiliary, supply and support vessels that are not entered in the IOTC Record are deemed not to be authorised to fish for, retain on board, tranship or land tuna and tuna-like species or supporting any fishing activity or set drifting fish aggregation devices (DFADs) in the IOTC area of competence. This provision shall not apply to vessels less than 24 m in length overall operating inside the EEZ of the flag state.

2. Each Contracting Party and Cooperating Non-Contracting Party (hereinafter referred to as "CPC") shall submit electronically, where possible, to the IOTC Executive Secretary for those vessels referred to 1.a) and for those vessels referred to 1.b), the list of its AFVs that are authorised to operate in the IOTC area of competence. This list shall include the following information:

- a) Name of vessel(s), national register number(s);
- b) IMO number (if eligible under IMO requirements); To allow the necessary time for CPCs to obtain an IMO number for eligible vessels that do not already have one, the requirement in this paragraph ~~2.b on IMO number~~ is effective as of 1 January 2016~~16~~ for those vessels that were not previously eligible. For vessels of less than 100 GT that are at least 12 m in length overall, the requirement in this paragraph is effective as of [1st January 2020]. As of this date, CPCs shall ensure that all their fishing vessels that are registered on the IOTC Record of fishing vessels have IMO numbers issued to them. This requirement~~Paragraph 2.b on IMO number~~ does not apply to vessels which are not eligible to receive IMO numbers.
- c) Previous name(s) ~~(if any) or indication of non-availability~~;
- d) Previous flag(s) ~~(if any) or indication of non-availability~~;
- e) Previous details of deletion from other registries ~~(if any) or indication of non-availability~~;
- f) International radio call sign(s) ~~(if any) or indication of non-availability~~;
- g) Port of Registration;
- h) Type of vessel(s), length overall (m) and gross tonnage (GT);
- i) Name and address of owner(s);
- ~~j) Name and address of operator(s) (indicate if same as owner(s));~~
- k) Name and address of beneficial owner(s) (indicate if same as owner(s) and/or operators(s)) (Applicable as of 1st January 2020);
- ~~l) Gear(s) used;~~
- m) Time period(s) authorised for fishing and/or transhipping (From date. To date).
- n) Good quality colour photographs of the vessel showing (Applicable as of [1st January 2020]):
 - a. the starboard side and portside of the vessel each showing the whole structure;
 - b. the stern and bow of the vessel.

and at least one photograph clearly showing the national register number.

In assessing compliance with the paragraph above, the Commission shall take into account exceptional circumstances in which a vessel owner is not able to obtain an IMO number despite following the appropriate procedures. Flag CPCs shall report any such exceptional situations to the IOTC Secretariat.

For new vessels to be included in the IOTC Record of Authorised Vessels, a copy of the national certificate of registration of the vessel shall be provided with the request for inclusion in the IOTC Record of Authorised Vessels.

3. For the vessel's attributes referred to 2 a), b), g), h), i), j), k), l), m), n):

- a) When all attributes are provided by the CPC, the IOTC Secretariat shall include the vessel into the IOTC Record of Authorised Vessels within 2 working days.
- b) When any attribute is not provided by the CPC, the IOTC Secretariat shall remind the CPC of the requirement; if the missing attribute(s) is/are not provided within 5 working days following the initial date of the request for inclusion, the IOTC Secretariat shall not register the new vessel in the IOTC Record of Authorised Vessels and shall communicate the decision to the CPC. It is only when the Secretariat has received all attributes that the new vessel shall be included in the IOTC Record of Authorised Vessels.

4. For the vessel's attributes referred to 2 c), d), e), f):

- a) When any attribute is not provided by the CPC or the CPC has not provided indication of non-availability, the IOTC Secretariat shall remind the CPC of the requirement.
- b) When any attribute is not provided by the CPC or the CPC has not provided indication of non-availability within 5 working days following the initial date of the request, the IOTC Secretariat shall not register the new vessel in the IOTC Record of Authorised Vessels and shall communicate the decision to the CPC. It is only when the Secretariat has received all attributes that the new vessel shall be included in the IOTC Record of Authorised Vessels.

5. All CPCs which issue authorisations to fish to their flag vessels to fish for species managed by the IOTC shall submit to the IOTC Executive Secretary, an updated template of the official authorisation to fish outside National Jurisdictions, and update this information whenever this information changes. This information includes:

- a) name of the Competent Authority;
- b) name and contact of personnel of the Competent Authority;
- c) signature of the personnel of the Competent Authority;
- d) official stamp of the Competent Authority.

The IOTC Executive Secretary shall publish the above information in a secure part on the IOTC website for MCS purpose.

- 4. The template in paragraph 3 shall be used exclusively for monitoring, control and surveillance purposes and a difference between the template and the authorisation carried onboard the vessel does not constitute an infraction, but will prompt the controlling State to clarify the issue with the identified Competent Authority of the flag State of the vessel in question.
- 5. Each CPC shall promptly notify, after the establishment of their initial IOTC Record, the IOTC Executive Secretary of any addition to, any deletion from and/or any modification of the IOTC Record at any time such changes occur.
- 6. The IOTC Executive Secretary shall maintain the IOTC Record, and take any measure to ensure publicity of the Record through electronic means, including placing it on the IOTC website, in a manner consistent with confidentiality requirements noted by CPCs.
- 7. The flag CPCs of the vessels on the record shall:
 - a) authorise their vessels to operate in the IOTC area of competence only if they are able to fulfil in respect of these vessels the requirements and responsibilities under the IOTC Agreement and its Conservation and Management Measures;
 - b) take necessary measures to ensure that their AFVs comply with all the relevant IOTC Conservation and Management Measures;

- c) take necessary measures to ensure that their AFVs on the IOTC Record keep on board valid certificates of vessel registration and valid authorisation to fish and/or tranship;
 - d) ensure that their AFVs on the IOTC Record have no history of IUU fishing activities or that, if those vessels have such a history, the new owners have provided sufficient evidence demonstrating that the previous owners and operators have no legal, beneficial or financial interest in, or control over those vessels; the parties of the IUU incident have officially resolved the matter and sanctions have been completed; or that having taken into account all relevant facts, their AFVs are not engaged in or associated with IUU fishing;
 - e) ensure, to the extent possible under domestic law, that the owners and operators of their AFVs on the IOTC Record are not engaged in or associated with tuna fishing activities conducted by vessels not entered into the IOTC Record in the IOTC area of competence;
 - f) take necessary measures to ensure, to the extent possible under domestic law, that the owners of the AFVs on the IOTC Record are citizens or legal entities within the flag CPCs so that any control or punitive actions can be effectively taken against them.
8. CPCs shall review their own internal actions and measures taken pursuant to paragraph 7, including punitive actions and sanctions and, in a manner consistent with domestic law as regards disclosure, report the results of the review to the Commission annually. In consideration of the results of such review, the Commission shall, if appropriate, request the flag CPCs of AFVs on the IOTC Record to take further action to enhance compliance by those vessels with IOTC Conservation and Management Measures.
9. a) CPCs shall take measures, under their applicable legislation, to prohibit the fishing for, the retaining on board, the transshipment and landing of tuna and tuna-like species by the vessels which are not entered into the IOTC Record.
- b) To ensure the effectiveness of the IOTC Conservation and Management Measures pertaining to species covered by Statistical Document Programs:
- i. Flag CPCs shall validate statistical documents only for the vessels on the IOTC Record;
 - ii. CPCs shall require that the species covered by Statistical Document Programs caught by AFVs in the IOTC area of competence, when imported into the territory of a Contracting Party, be accompanied by statistical documents validated for the vessels on the IOTC Record; and
 - iii. CPCs importing species covered by Statistical Document Programs and the flag States of vessels shall cooperate to ensure that statistical documents are not forged or do not contain misinformation.
10. Each CPC shall notify the IOTC Executive Secretary of any factual information showing that there are reasonable grounds for suspecting vessels not on the IOTC Record to be engaged in fishing for and/or transshipment of tuna and tuna-like species in the IOTC area of competence.
11. a) If a vessel mentioned in paragraph 10 is flying the flag of a CPC, the IOTC Executive Secretary shall request that Party to take measures necessary to prevent the vessel from fishing for tuna and tuna-like species in the IOTC area of competence;
- b) If the flag of a vessel mentioned in paragraph 10 cannot be determined or is of a non-Contracting Party without cooperating status, the IOTC Executive Secretary shall compile and circulate such information to all CPCs, without delay.
12. The Commission and the CPCs concerned shall communicate with each other, and make the best effort with FAO and other relevant regional fishery management bodies to develop and implement appropriate measures, where feasible, including the establishment of records of a similar nature in a timely manner so as to avoid adverse effects

upon tuna resources in other oceans. Such adverse effects might consist of excessive fishing pressure resulting from a shift of the IUU fishing vessels from the Indian Ocean to other oceans.

13. Each Contracting Party and Cooperating Non-Contracting Party with the IOTC shall:
 - a) Ensure that each of its fishing vessels carry on board documents issued and certified by the competent authority of that Contracting Party or of that Cooperating Non-Contracting Party with IOTC, including, at a minimum, the following:
 - i. License, permit or authorisation to fish and terms and conditions attached to the licence, permit of authorisation;
 - ii. Vessel name;
 - iii. Port in which registered and the number(s) under which registered;
 - iv. International call sign;
 - v. Names and addresses of owner(s) and where relevant, the charterer;
 - vi. Overall length;
 - vii. Engine power, in KW/horsepower, where appropriate.
 - b) Verify above documents on a regular basis and at least every year;
 - c) Ensure that any modification to the documents and to the information referred to in 13.a) is certified by the competent authority of that Contracting Party or of that Cooperating Non-Contracting Party with the IOTC.
14. Each Contracting Party and Cooperating Non-Contracting Party with the IOTC shall ensure that its fishing vessels authorised to fish in the IOTC area of competence are marked in such a way that they can be really identified with generally accepted standards such as the FAO Standard Specification for the Marking and Identification of Fishing vessels.
15.
 - a) Each Contracting Party and Cooperating Non-Contracting Party with the IOTC shall ensure that each gear used by its fishing vessels authorised to fish in the IOTC area of competence is marked appropriately, e.g., the ends of nets, lines and gear in the sea, shall be fitted with flag or radar reflector buoys by day and light buoys by night sufficient to indicate their position and extent;
 - b) Marker buoys and similar objects floating and on the surface, and intended to indicate the location of fixed fishing gear, shall be clearly marked at all time with the letter(s) and/or number(s) of the vessel to which they belong;
 - c) Fish aggregating devices shall be clearly marked at all time with the letter(s) and / or number(s) of the vessel to which they belong.
16. Each Contracting Party and Cooperating Non-Contracting Party with the IOTC shall ensure that all their respective fishing vessels of 24 meters or above and vessels less than 24 meters if fishing outside their EEZ, and are registered on the IOTC Record of fishing vessels and authorised to fish in the IOTC area of competence, keep a bound fishing national logbook with consecutively numbered pages. The original recordings contained in the fishing logbooks shall be kept on board the fishing vessel for a period of at least 12 months.
17. This Resolution supersedes Resolution 14/04 *Concerning the establishment of an IOTC record of vessels authorised to operate in the IOTC area.*

APPENDIX IX

CONSOLIDATED SET OF RECOMMENDATIONS ARISING FROM WPICMM01

Decisions of the Commission related to the work of the Compliance Committee WPICMM01.01 ([Para. 12](#)) : The WPICMM **RECOMMENDED** that as part of its workplan, the WPICMM identify the compliance issues that it should address and priorities set.

Use of terms and definitions in IOTC CMMs

WPICMM01.02 ([Para. 16](#)): The WPICMM **RECOMMENDED** that the Compliance Committee (CoC15) consider revising the list of active IOTC CMMs to improve its legal soundness based, on terms of reference to be developed by the WPICMM to harmonise terms and definitions and to use terms of legal art.

Review of the glossary of terms and definitions

WPICMM01.03 ([Para. 18](#)): The WPICMM **NOTED** the significance of this document and **ACKNOWLEDGED** that due to the late availability of the document the WPICMM did not have sufficient time to review the document and **RECOMMENDED** that CPCs be allowed six months from the close of WPICMM01 to provide comments and observations on each of the definitions listed in paper IOTC–2018–WPICMM–04, and that the glossary be discussed again at the next meeting of the WPICMM.

WPICMM01.04 ([Para. 19](#)): The WPICMM **RECOMMENDED** that the Compliance Committee (CoC15) reaffirms the intended use of the glossary of terms and definitions (para. 71 of CoC11).

Work Plan for the WPICMM for the next five years

WPICMM01.05 ([Para. 26](#)) : The WPICMM **RECOMMENDED** that the Compliance Committee (CoC15) consider and endorse the WPICMM work plan (2018–2023), as provided in Appendix VI.

Review of assessment criteria

WPICMM01.06 ([Para. 29](#)): The WPICMM **ADOPTED** the assessment criteria in Appendix VII and **RECOMMENDED** that the IOTC Secretariat compile the Compliance Reports for the CoC15 with the assessment criteria endorsed by the WPICMM01.

WPICMM01.07 ([Para. 30](#)): The WPICMM **RECOMMENDED** that the Compliance Committee (CoC15) should consider assessing CPCs for compliance with Article XIII of the IOTC Agreement.

WPICMM01.08 ([Para. 31](#)): The WPICMM **RECOMMENDED** that the partially compliance assessment status be given a weight to distinguish between the level of compliance achieved by CPCs.

WPICMM01.09 ([Para. 32](#)): The WPICMM **RECOMMENDED** a complete review of the list of active CMMs at its next session to identify reporting requirements and implementation obligations that are not currently being assessed and submit its recommendations to the Compliance Committee in 2019.

Review of Resolution 15/04

WPICMM01.10 ([Para. 38](#)): The WPICMM **RECOMMENDED** that the CoC consider the new texts to amend Resolution 15/04, as provided in Appendix VIII, and that the CoC recommend that the Commission (S22) consider the amendment.

Review of Resolution 15/11

WPICMM01.11 ([Para. 44](#)): For these reasons and until alternative measures are in place to manage capacities in the two fisheries, the WPICMM **RECOMMENDED** that the Commission extends the applicability of Resolution 15/11, noting that the extension of this resolution should not be seen as a means to maintain the status quo.

Other business

WPICMM01.12 ([Para. 48](#)): The WPICMM **NOTED** the low attendance rate of CPCs to this meeting (14 CPCs) and **RECOMMENDED** that the Compliance Committee **URGE** CPCs to participate in the work of the WPICMM.

WPICMM01.13 ([Para. 50](#)): The WPICMM NOTED the large number of items in its agenda and **RECOMMENDED** on the need to avoid excessive strain on the number of items in its agenda of future meetings to allow for effective discussions.

Review of the draft, and adoption of the Report of the 1st Session of the Working Party on implementation of CMMs

WPICMM01.14 ([Para. 52](#)): The WPICMM **RECOMMENDED** that the Compliance Committee consider the consolidated set of recommendations arising from WPICMM01, provided at Appendix IX.