

Use of CPCs Compliance Assessment results to determine common challenges and difficulties with compliance

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PURPOSE

To assist participants at the second Working Party on the Implementation of Conservation and Management Measures (WPICMM02) to determine common challenges and difficulties with compliance and to further prioritise Conservation and Management Measures (CMMs) with lowest implementation levels.

BACKGROUND

Component 1, sub-component 1.2, of the Work Plan of the WPICMM comprise of the following activities:

1	Examine all aspects of CPCs technical implementation of CMMs and recommending ways to enhance the level of implementation
1.2	Prioritise CMMs with lowest implementation levels to determine common issues with compliance
1.2.1	Use CPCs Compliance Assessment results to determine common challenges and difficulties with compliance
1.2.2	Follow up with interviews with CPCs to gather more detail
1.2.3	Recommend a plan to improve compliance could include; specific training events, amendments to reporting requirements, data analysis assistance

DISCUSSION

CPCs compliance assessment is used to identify common areas where there are compliance issues. Figure A, in Appendix A, present the level of compliance by Resolutions for the last year that the compliance assessment was performed; 2017 (CoC15). In 2017, the overall level of compliance of the Commission was at 66.5 %. It is noted that the level of compliance of eight (8) Resolutions are below the overall level of compliance of the Commission; these are presented below. The level of compliance with these Resolutions also include the results of previous assessments.

- **Resolution 10/10 – Concerning market related measures**

There is only one reporting requirement in Resolution 10/10:

Paragraph 1: For CPCs that import tuna and tuna-like fish products, or in whose ports those products are landed or transhipped, should report, a range of information annually (e.g. information on vessels / owners, product data (species, weight), point of export).

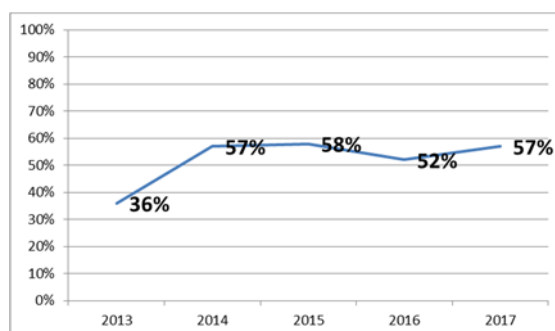


Figure 1 - Level of compliance with Resolution 10/10 from 2013 to 2017

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A reporting template exist to assist CPCs to report the required data. Additionally, since 2016 transshipment and landing data can be extracted automatically from the e-PSM application provided that port inspection reports and transshipment declarations have been processed into the application.

Avenue for improvement:

- Review the data standard of the requirement (Species, Products and Vessel data)
- Review the deadline of the reporting requirement (60 days before the Commission meeting),
- It is noted that, in part, there is duplication of reporting of landing data with Resolution 05/03.

- **Resolution 05/03 – Relating to the establishment of an IOTC Programme of Inspection in Port**

There is only one reporting requirement in the Resolution 05/03:

Paragraph 8: Each CPC shall submit electronically to the IOTC Executive Secretary by 1 July of each year, the list of foreign fishing vessels which have landed in their ports tuna and tuna-like species caught in the IOTC Area in the preceding year. This information shall detail the catch composition by weight and species landed.

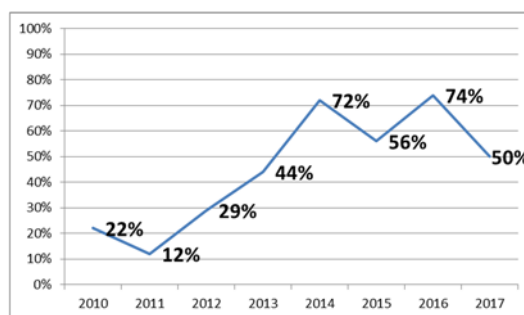


Figure 2 - Level of compliance with Resolution 05/03 from 2010 to 2017

A reporting template exist to assist CPCs to report the required data. Additionally landing data can be extracted automatically from the e-PSM application provided that port inspection reports have been processed into the application.

Avenue for improvement:

- Review the data standard of the reporting requirement (Species and Vessel data)
- It is noted that, in part, there is duplication of reporting of landing data with Resolution 10/10.

- **Resolution 01/06 – Concerning the IOTC Big Eye Tuna Statistical Document Programme**

There are four reporting requirements in the Resolution 01/06:

- Provide bigeye tuna (BET) import data during the 1st semester,
- Provide BET import data during the 2nd semester,
- Provide BET annual report (Comparison of import /export data),
- Provide information on authorised institutions and personnel.

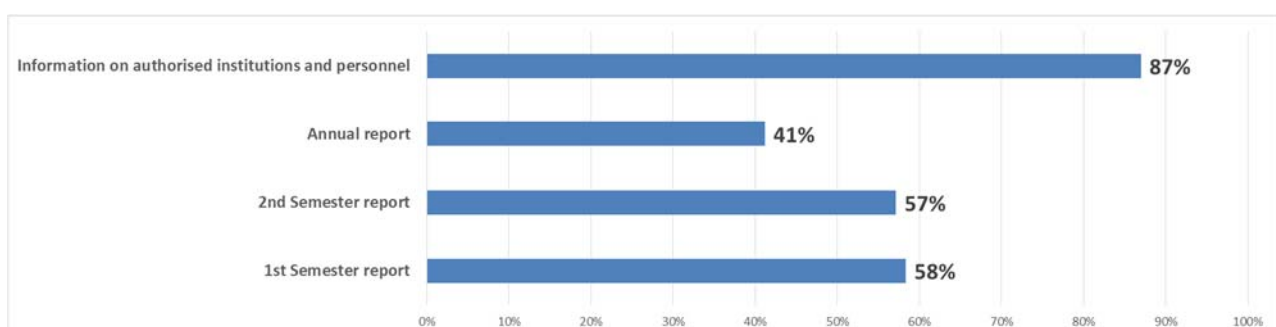


Figure 3 - Level of compliance of reporting requirements of Resolution 01/06 for 2017

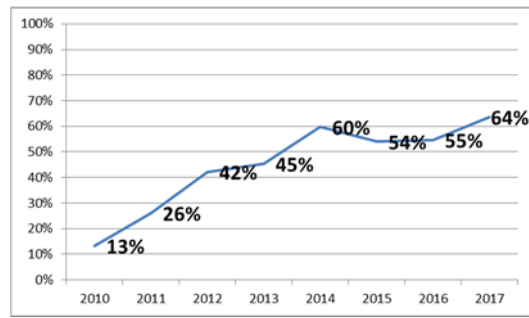


Figure 4 - Level of compliance with Resolution 01/06 from 2010 to 2017

A reporting template exist for each of the requirements to assist CPCs to report the mandatory data.

As shown in Figure 3, the major compliance concerns is with the submission of the BET annual report, where exporting CPCs are required to compare their export data with import data declared by importing CPCs or third parties.

Additionally, some CPCs are submitting information on fresh BET which is not the target of the Resolution.

Avenue for improvement:

- Review the deadline of the BET annual reporting requirement (60 days before the Commission meeting).

- **Resolution 11/04 – On a Regional Observer Scheme**

The level of implementation of the IOTC Regional Observer Scheme (ROS) has been relatively low since many years. Some capacity building activities have been undertaken by the IOTC Secretariat. The current set of tools and materials developed by the IOTC Secretariat to assist CPCs to implement Resolution 11/04, includes an observer manual, species identification guides, and a set of data collection forms and data reporting templates.

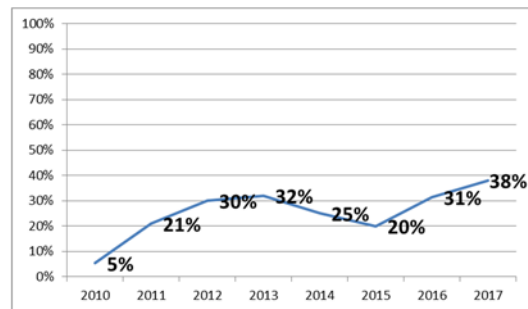


Figure 5 - Level of compliance with Resolution 11/04 from 2010 to 2017

Starting in January 2019, a project will build on and improve these to produce a clear, well-documented, consistent, comprehensive and coherent set of tools and materials for use by observer programme practitioners in the Indian Ocean. This will be delivered in the form of a training package for observer programme coordinators and for observers. A new IOTC observer database has recently been developed and an electronic reporting tool and national observer database template have also been developed to improve the quality of data reported and support IOTC Members with their data management processes. This project will involve the trial and testing in selected CPCs (Sri Lanka, Tanzania, I.R. Iran, Indonesia, Pakistan and Mauritius) and subsequent roll-out of these new tools and technologies in IOTC Member countries through capacity building activities tailored to meet specific needs with the ultimate aim of leaving these in ongoing operational use

- **Resolution 18/06 – On Establishing a Programme for Transshipment by Large-Scale Fishing Vessels**

There are three reporting requirements and one obligation in Resolution 18/06 which relates to at-sea transshipments:

- At sea transshipments – CPC reports
- List of Authorised carrier vessels
- Report on results of investigations on possible infractions
- Payment of the ROP fee

There is one reporting requirement in the Resolution 18/06 which relate to in port transshipment:

- Transshipments in port report

Annex I paragraph 6:

In-port transshipment by LSTV - Each flag CPC of the LSTV shall include in its annual report each year to IOTC the details on the transshipments by its vessels.

A reporting template exist for 3 of the 4 requirements, to assist CPCs to report the mandatory data.

It is noted that in 2017 compliance with the at-sea transshipment requirements (68%) is above the level of compliance of the Commission (66.5%), which is not the case for the in-port transshipment reporting requirement (57%).

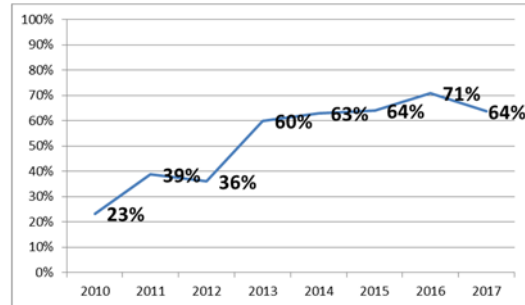


Figure 6 - Level of compliance with Resolution 18/06 from 2010 to 2017

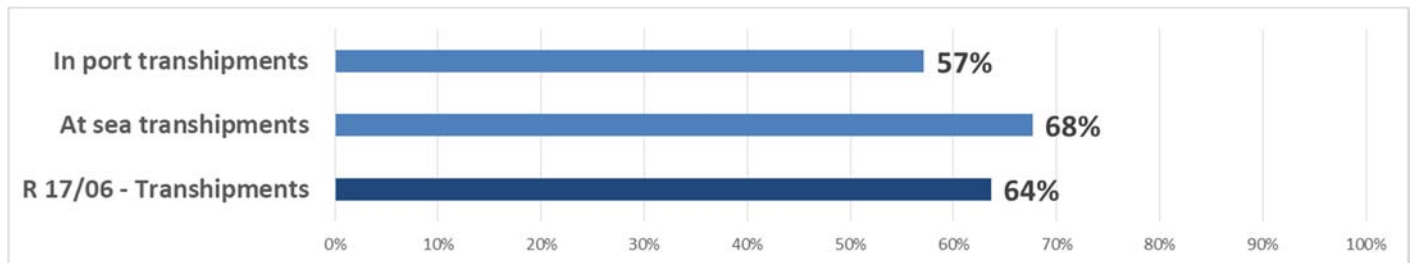


Figure 7 - Level of compliance of reporting requirements of Resolution 18/06 (previously Resolution 17/06) for 2017

Avenue for improvement:

- Develop a data standard for the in-port transshipment reporting requirement (based on the format of the Transshipment Declaration),
- Change the reporting deadline of the in-port transshipment report to a fixed date (e.g. XX Month every year), instead to be align with the reporting deadline of the implementation report (60 days before Commission meeting).

- **Resolution 15/02 – Mandatory statistics (Flag State; NC, CE, SF)**

The level of reporting of IOTC mandatory statistics continues to be very low despite some, albeit small, improvements in recent years. Compliance levels amongst developing coastal states are particularly low given the resources and expertise required for routine fisheries data collection, in addition to the challenges of collecting data from small-scale coastal fisheries that account for the majority of catches in many of the IOTC coastal states.

The low levels of submission of mandatory statistics has been duly noted by the Compliance Committee since 2010. The IOTC has also been proactive in implementing capacity building activities to support CPCs implementation of 15/02, in collaboration with a number of organizations including OFCF, WWF, EU-DG Mare, BOBLME, and the ABNJ Project². Specific initiatives include:

- i. IOTC Data compliance and support missions: aimed at facilitating improvements in the validation and reporting of IOTC mandatory datasets to the IOTC Secretariat. Recent missions have included visits to Indonesia, I.R. Iran, Sri Lanka and Tanzania.

² Overseas Fishery Cooperation Foundation of Japan (OFCF); The Bay of Bengal Large Marine Ecosystem (BOBLME); World Wide Fund for nature; European Union Directorate-General for Maritime Affairs and Fisheries.

- ii. **Technical assistance activities:** capacity building activities focused on improvements in data collection, and support for development of national fisheries database and statistical systems. Recent examples include implementation of a pilot sampling projects of artisanal fisheries in Indonesia, support and evaluation of Kenya’s catch assessment survey, and development of data collection tools for the collection of sports and recreational fisheries in selected CPCs.

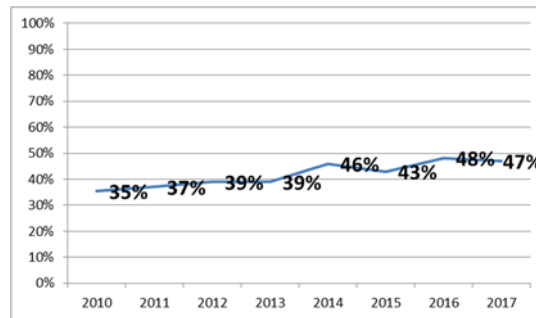


Figure 10 - Level of compliance with Resolution 15/02 from 2010 to 2017.

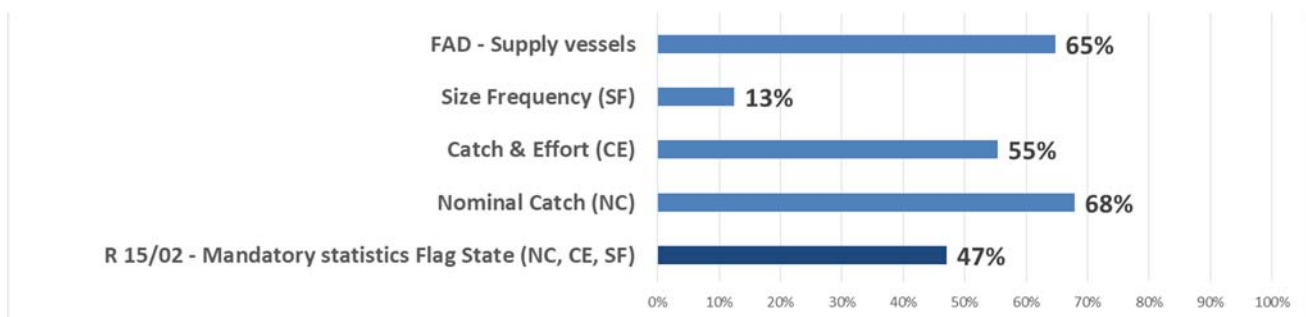


Figure 11 - Level of compliance of reporting requirements of Resolution 15/02 for 2017.

- **Resolution 17/05 – Sharks Mandatory statistics (Flag State; NC, CE, SF)**

The level of reporting of sharks mandatory statistics continues to be extremely low, and which has been duly noted by the Compliance Committee since 2010. The IOTC Secretariat continues to support the implementation of Resolution 17/05, mostly through IOTC Data compliance and support missions aimed at improving the data collection and reporting of IOTC mandatory statistics for sharks (in addition to the mandatory data required by Resolutions 15/02 and 11/04).

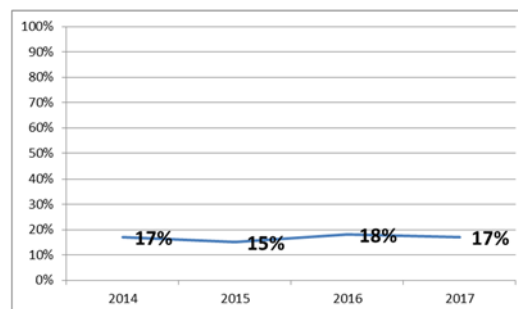


Figure 8 - Level of compliance with Resolution 17/05 from 2014 to 2017.

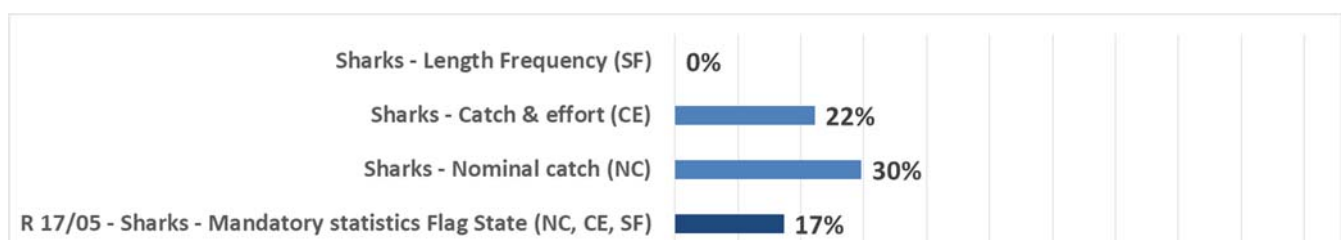


Figure 9 - Level of compliance of reporting requirements of Resolution 17/05 for 2017.

- **Resolution 18/08 – Procedures on a fish aggregating devices (FADs) management plan, including a limitation on the number of FADs, more detailed specifications of catch reporting from FAD sets, and the development of improved FAD designs to reduce the incidence of entanglement of non-target species**

There are two reporting requirements in the Resolution 18/08, which target CPCs with purse seine fleets making use of FADs:

- Provide a FADs management plan
- Provide a report of progress on implementation of the FADs management plan

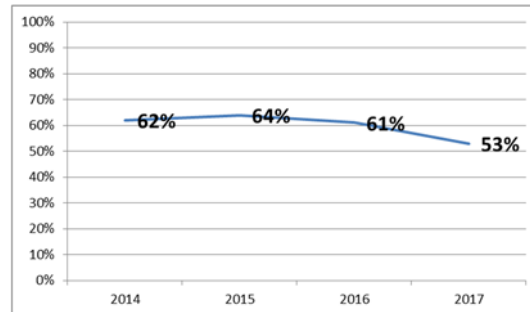


Figure 12 - Level of compliance with Resolution 18/08 from 2014 to 2017.

A guideline for the FAD management plan is provided in Annex 1 of Resolution 18/08. Some CPCs have submitted a FAD management plan which does not follow the structure of the guideline. This constitute the primary compliance issue for Resolution 18/08.

Avenue for improvement:

- CPC to strictly follow the guideline of the FAD management plan, which is considered as the IOTC Standard for the FAD management plan.
- Consider deleting Annex II of this resolution, and subsequently delete the reference to Annex II in paragraphs 10, 11 and 14.

RECOMMENDATIONS

That the WPICMM02:

- 1) **NOTE** paper IOTC–2019–WPICMM02–04, including Appendix A, which aims to provide information to CPCs to determine common challenges and difficulties with compliance;
- 2) **PROVIDE** more details and identify the root causes associated with the challenges and difficulties with compliance for the Resolutions presented in paper IOTC–2019–WPICMM02–04, to respond to action 1.2.2 of the WPICMM Work Plan, and
- 3) **RECOMMEND** a way forward regarding specific training events, amendments to reporting requirements and deadlines and assistance for data collection, processing and submission to the IOTC Secretariat.

APPENDIX A

Figure A: Level of compliance by Resolutions (year assessed 2017; CoC15)