

## Review compliance requirements to identify reporting and implementation obligations that should be included in the Compliance Assessment Process

PREPARED BY: IOTC SECRETARIAT<sup>1</sup>, 25 JANUARY 2019

### PURPOSE

To encourage participants at the Working Party on The Implementation of Conservation and Management Measures (WPICMM) to review the draft list of compliance requirements not included in the compliance assessment.

### BACKGROUND

The component 18 / sub-component 18.1 of the work Plan of the WPICMM comprise the following activities:

<b>18</b>	<b>Review compliance requirements to identify reporting and implementation obligations that should be included in the Compliance Assessment Process</b>
<b>18.1</b>	<i>Identify reporting and implementation obligations</i>
<b>18.1.1</b>	EU to provide a draft list of compliance requirements not included in the compliance assessment process
<b>18.1.2</b>	Review of the list by the WPICMM
<b>18.1.3</b>	Submission of the recommendations to the Compliance Committee to include additional reporting and implementation obligations in the Compliance Assessment Process

### DISCUSSION

The work plan of the Working Party on Implementation of Conservation and Management measures (WPICMM), component 18 “Review compliance requirements to identify reporting and implementation obligations that should be included in the Compliance Assessment Process”, sub-component 18.1 makes provision for the European Union to provide a draft list of compliance requirements not included in the compliance assessment process.

On 7 September 2018, the European Union (EU) was invited to provide the draft list of compliance requirements no later than 31<sup>st</sup> December 2018. The overall objective is to include additional reporting and implementation obligations in the Compliance Assessment Process of the Compliance Committee for its consideration and possible recommendation to the Commission.

The EU has provided the paper “STRENGTHENING THE IOTC COMPLIANCE ASSESSMENT PROCESS” of which an explanatory memorandum is reproduced below. The paper is available in full at Appendix I.

Please note that the paper IOTC–2019–WPICMM02–13\_Rev1 does not contain the list of compliance requirements not included in the compliance assessment process.

#### *Explanatory Memorandum*

The Working party on the implementation of Conservation and Management Measures (WPICMM) recommended a complete review of the list of active CMMs to identify reporting requirements and implementation obligations that are not currently being assessed, to be submitted to the Compliance

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Committee (CoC) in 2019. The Compliance Committee at its 15<sup>th</sup> meeting adopted this recommendation.

Point 18.1.1 of the WPICMM workplan tasked the EU to provide a list of compliance requirements not included in the current compliance assessment process in order to make the process more comprehensive and exhaustive.

At the 22<sup>nd</sup> Session of the Indian Ocean Tuna Commission, the EU proposed to amend appendix V of the Compliance Committee terms of reference and rules of procedure. The purpose of the proposal was to streamline and strengthen the CPCs compliance assessment in IOTC, as well as to improve the existing IOTC compliance assessment procedure and ensure appropriate follow-up when instances of non-compliance are detected. The Commission recommended the proposal be referred to the WPICMM and the CoC for further deliberations.

The report from the independent consultant *Strengthening the IOTC Compliance Assessment Methodology* makes a set of recommendations, notably on a graduated approach to issues of non-compliance and on possible corrective actions and incentives to improve compliance.

In view of the above, the EU is putting forward this document as basis for discussion on the way forward. The aim of the proposals contained in this paper is to ensure first: an assessment of the compliance status that take into account different levels of non-compliance and related follow-up; and second: a more comprehensive analysis of obligations for conservation and management, by breaking down obligations by paragraphs and looking into the concrete implementation of measures.

The first component of this document is a table that defines the criteria to assess compliance by CPCs with the IOTC obligations. The table is the same that was annexed to the proposal presented by the EU at the 22<sup>nd</sup> Commission meeting with some modifications to take into account comments received. The purpose is to differentiate between different categories and seriousness of non-compliance and define an appropriate follow-up for each of the cases.

The second component of the document is an example of the compliance assessment that would result from the approach proposed (Table 2). Resolution 17/05 on the conservation of sharks caught in association with fisheries managed by IOTC; Resolution 17/04 on a ban on discards of bigeye tuna, skipjack tuna, yellowfin tuna, and non-targeted species caught by purse seine vessels in the IOTC area of competence; Resolution 13/06 on a scientific and management framework on the conservation of shark species caught in association with IOTC managed fisheries; and Resolution 11/04 on a Regional Observer Scheme, have been used as illustrations.

For each Resolution, the table contains a breakdown by paragraph and related obligations. In addition, examples are given of elements to be taken into account in order to establish the compliance status.

It is also suggested that the assessment would be based on the following criteria:

- (i) For a CPC-level quantitative limit or collective CPCs quantitative limit, such as a limit on fishing capacity, fishing effort, or catch, verifiable data indicating that the limit has not been exceeded.
- (ii) For other obligations:
  - a. Implementation – where an obligation applies, the CPC is required to provide information showing that it has adopted, in accordance with its own national policies and procedures, binding measures that implement that obligation; and
  - b. Monitor and ensure compliance – the CPC is required to provide information showing that it has a system or procedures to monitor compliance of vessels and persons with these binding measures, a system or procedures to respond to instances of non-compliance and has taken action in relation to potential infringements.

The IOTC Secretariat would be therefore required to prepare the assessment based on those criteria and highlight any possible infringements of those obligations on the basis of suitably documented information available (i.e. observer reports, inspection reports, etc).

Based on the WPICMM discussions and recommendations on the best approach to be followed, a revised and more comprehensive proposal will be submitted to the CoC and the Commission.

We would like to invite the WPCIMM02 to review the paper of the European Union.

**RECOMMENDATION**

That the WPICMM02:

- 1) **NOTE** paper IOTC–2019–WPICMM02–13, Review compliance requirements to identify reporting and implementation obligations that should be included in the Compliance Assessment Process,
- 2) **REVIEW AND DISCUSS** the proposal to strengthen the IOTC compliance assessment process and make a **RECOMMENDATION** on the way forward to strengthen the IOTC compliance assessment process.

**APPENDIX I****STRENGTHENING THE IOTC COMPLIANCE ASSESSMENT PROCESS*****Explanatory Memorandum***

The Working party on the implementation of Conservation and Management Measures (WPICMM) recommended a complete review of the list of active CMMs to identify reporting requirements and implementation obligations that are not currently being assessed, to be submitted to the Compliance Committee (CoC) in 2019. The Compliance Committee at its 15<sup>th</sup> meeting adopted this recommendation.

Point 18.1.1 of the WPICMM workplan tasked the EU to provide a list of compliance requirements not included in the current compliance assessment process in order to make the process more comprehensive and exhaustive.

At the 22<sup>nd</sup> Session of the Indian Ocean Tuna Commission, the EU proposed to amend appendix V of the Compliance Committee terms of reference and rules of procedure. The purpose of the proposal was to streamline and strengthen the CPCs compliance assessment in IOTC, as well as to improve the existing IOTC compliance assessment procedure and ensure appropriate follow-up when instances of non-compliance are detected. The Commission recommended the proposal be referred to the WPICMM and the CoC for further deliberations.

The report from the independent consultant *Strengthening the IOTC Compliance Assessment Methodology* makes a set of recommendations, notably on a graduated approach to issues of non-compliance and on possible corrective actions and incentives to improve compliance.

In view of the above, the EU is putting forward this document as basis for discussion on the way forward. The aim of the proposals contained in this paper is to ensure first: an assessment of the compliance status that take into account different levels of non-compliance and related follow-up; and second: a more comprehensive analysis of obligations for conservation and management, by breaking down obligations by paragraphs and looking into the concrete implementation of measures.

The first component of this document is a table that defines the criteria to assess compliance by CPCs with the IOTC obligations. The table is the same that was annexed to the proposal presented by the EU at the 22<sup>nd</sup> Commission meeting with some modifications to take into account comments received. The purpose is to differentiate between different categories and seriousness of non-compliance and define an appropriate follow-up for each of the cases.

The second component of the document is an example of the compliance assessment that would result from the approach proposed (Table 2). Resolution 17/05 on the conservation of sharks caught in association with fisheries managed by IOTC; Resolution 17/04 on a ban on discards of bigeye tuna, skipjack tuna, yellowfin tuna, and non-targeted species caught by purse seine vessels in the IOTC area of competence; Resolution 13/06 on a scientific and management framework on the conservation of shark species caught in association with IOTC managed fisheries; and Resolution 11/04 on a Regional Observer Scheme, have been used as illustrations.

For each Resolution, the table contains a breakdown by paragraph and related obligations. In addition, examples are given of elements to be taken into account in order to establish the compliance status.

It is also suggested that the assessment would be based on the following criteria:

- (i) For a CPC-level quantitative limit or collective CPCs quantitative limit, such as a limit on fishing capacity, fishing effort, or catch, verifiable data indicating that the limit has not been exceeded.

- (ii) For other obligations:
  - a. Implementation – where an obligation applies, the CPC is required to provide information showing that it has adopted, in accordance with its own national policies and procedures, binding measures that implement that obligation; and
  - b. Monitor and ensure compliance – the CPC is required to provide information showing that it has a system or procedures to monitor compliance of vessels and persons with these binding measures, a system or procedures to respond to instances of non-compliance and has taken action in relation to potential infringements.

The IOTC Secretariat would be therefore required to prepare the assessment based on those criteria and highlight any possible infringements of those obligations on the basis of suitably documented information available (i.e. observer reports, inspection reports, etc).

Based on the WPICMM discussions and recommendations on the best approach to be followed, a revised and more comprehensive proposal will be submitted to the CoC and the Commission.

TABLE 1. COMPLIANCE STATUS CATEGORIES

Compliance status <sup>2</sup>	Criteria	Suggested action
<b>Compliant</b>	<p>A CPC will be deemed Compliant with an obligation if the following criteria have all been met:</p> <ol style="list-style-type: none"> <li>reporting or submission deadlines;</li> <li>implementation of obligations through national laws or regulations and no infraction detected in the implementation;</li> <li>submission of all mandatory information or data required, in the agreed format, as applicable.</li> </ol>	No action required
<b>Non-Compliant</b>	<p>A CPC will be deemed Non Compliant with an obligation if any of the following have occurred, as applicable:</p> <ol style="list-style-type: none"> <li>a CPC has failed to comply with an obligation or category of obligations not specifically identified as Priority Non-Compliant;</li> <li>information or data for the obligation has been submitted or reported in a way that is incomplete, incorrect.</li> <li>a CPC has failed to meet reporting or submission deadlines.</li> </ol>	<p><b>No further action:</b> the CPC demonstrates that it has already taken appropriate response and no further action is required;</p> <p><b>Corrective action needed:</b> the CPC shall address the non-compliance situation within a given period of time, and at the latest before the following annual meeting, unless otherwise decided by the Commission.</p> <p>The corrective action shall be appropriate to the relevant infraction and shall include one or more, but are not limited to, of the following responses taking into account the history, circumstances, extent, and gravity of the act or omission:</p> <p><b><i>Remedies to be applied by the CPC</i></b></p> <ul style="list-style-type: none"> <li>- remedies proposed by the CPC and endorsed by the CoC;</li> <li>- the completion of an investigation by the CPC regarding a non-compliance situation and reporting back to the Commission;</li> <li>- enhanced monitoring of the fleet including increased VMS frequency, the placement of observers, increased inspection requirements, restrictions on landings and others;</li> <li>- amendments to the domestic procedures, legislation or policy including sanctions and penalties;</li> </ul> <p><b><i>Remedies to be applied by the Commission</i></b></p> <ul style="list-style-type: none"> <li>- the provision of capacity building or technical assistance to address structural needs to ensure compliance;</li> <li>- the undertaking of an external review of the domestic system in relation with the IOTC obligations;</li> <li>- any other remedy as deemed appropriate.</li> </ul>

<sup>2</sup> For the purposes of the IOTC Provisional Compliance Report, "Compliance Status" refers to compliance with the IOTC provisions by CPCs vessels and administrations, and "suggested action" takes into account CPCs' responses and corrective actions to address compliance issues identified.

<b>Serious non-compliant</b>	<p>A CPC will be serious Non-Compliant with an obligation if any of the following have occurred, as applicable:</p> <ul style="list-style-type: none"> <li>a. exceeding quantitative limit established by the Commission;</li> <li>b. repeated failure to provide nominal catch data, including zero catches, for one or more species for a given year;</li> <li>c. failure to submit the standard questionnaire on compliance;</li> <li>d. failure to report back on how previous instances of non-compliance have been addressed;</li> <li>e. repeated non-compliance with an obligation for two or more consecutively assessed years; or</li> <li>f. any other non-compliance identified as Serious Non-Compliance by the Commission.</li> </ul>	<p>In addition to the remedies applicable for the cases of non-compliant, the Commission will determine additional remedies/corrective actions to address serious issues of non-compliance, including possible sanctions.</p>
<b>Additional information needed</b>	Where there exists no/insufficient information for verification and assessment of CPC compliance	Review by the Compliance Committee and Commission and seek further information and action(s) by the CPC
<b>CMM Review</b>	There is lack of clarity on the requirement of an obligation	The Commission shall review that obligation and clarify its requirements
<b>N/A</b>	The measure does not apply to the CPC	

**TABLE 2. Assessment criteria for the compliance report**

Rec.	Para.	Obligation	Status of Compliance	Result of the assessment (examples)	Action / Follow-up
Resolution 17/05  On the conservation of sharks caught in association with fisheries managed by IOTC	Res. 17/05	Transposition into national legislation	Compliant	Information provided in IR/CQ including reference to national legislation	No action required
			Non-compliant	Information provided in IR/CQ no legal reference provided, conflicting information between IR/CQ; no information provided; no transposition into national legislation	No action needed / illustration of corrective action needed
			Serious non-compliant	No information provided or no transposition into national legislation for at least 2 consecutive years	Illustration of corrective action and/or additional remedies required
			Additional information required	It is not clear from the information provided whether the measure has been transposed or not	Review by COC
			CMM review		Review by the Commission
			Not applicable	This measure would apply to all CPCs so in this case this is not applicable	No action required
	3a	Sharks landed fresh: CPCs shall prohibit the removal of shark fins on board vessels. CPCs shall prohibit the landing, retention on-board, transshipment and carrying of shark fins which are not naturally attached to the shark carcass until the first point of landing.	Compliant	No evidence of finning	No action required
			Non-compliant	Evidence (e.g. Observer reports, inspections) revealed than finning occurred on board vessels.	No action needed / illustration of corrective action needed
			Serious non-compliant	Evidence (e.g. Observer reports, inspections) revealed than finning occurred on board vessels, for at least 2 consecutive years.  No action taken and/or reported on measures taken to correct infringement	Illustration of corrective action and/or additional remedies required
			Additional information required	There is some ambiguity on whether the CPC has respected the obligation and clarification is needed	Review by COC
			CMM review	The obligation is clear, this category in this case would not apply	Review by the Commission
			Not applicable	CPC does not land fresh sharks.	No action required
	3b	Sharks landed frozen: CPCs shall require their vessels to not have on	Compliant	Evidence has been given on the compliance and no infringement has been detected	No action required



Rec.	Para.	Obligation	Status of Compliance	Result of the assessment (examples)	Action / Follow-up
		board fins that total more than 5% of the weight of sharks on board, up to the first point of landing.	Non-compliant	Evidence (e.g. Observer reports, inspections) revealed fins on board for more than 5% of the weight of sharks on board.	No action needed / illustration of corrective action needed
			Serious non-compliant	Observer reports, inspections revealed fins on board for more than 5% of the weight of sharks on board for at least 2 consecutive years	Illustration of corrective action and/or additional remedies required
			Additional information required	There is some ambiguity on whether the CPC has respected the obligation and clarification is needed	Review by COC
			CMM review		Review by the Commission
			Not applicable	CPC does not land frozen sharks	No action required
	6	CPCs shall report data for catches of sharks no later than 30 June of the following year, including all available historical data, estimates and life status of discards (dead or alive) and size frequencies.	Compliant	Has provided sharks NC by gears, by species	No action required
			Non-compliant	Has provided sharks NC but some gear missing/aggregated and/or some species aggregated; no information provided	No action needed / illustration of corrective action needed
			Serious non-compliant	No information provided for at least 2 consecutive years	Illustration of corrective action and/or additional remedies required
			Additional information required		Review by COC
			CMM review		Review by the Commission
			Not applicable	CPC is not an IOTC Coastal State and no vessels in the IOTC record of authorised vessels.	No action required
	7	CPCs shall prohibit the purchase, offer for sale and sale of shark fins which have been removed on-board, retained on-board, transhipped or landed, in contravention to this Resolution.	Compliant	Information provided in IR/CQ including reference to national legislation and no infringement detected.	No action required
			Non-compliant	Information provided in IR/CQ no legal reference provided, conflicting information between IR/CQ; No information provided; Infringement detected.	No action needed / illustration of corrective action needed
			Serious non-compliant	No information provided for at least 2 consecutive years	Illustration of corrective action and/or additional remedies required
			Additional information required	It is not clear from the information provided whether the measure has been transposed or not	Review by COC

Rec.	Para.	Obligation	Status of Compliance	Result of the assessment (examples)	Action / Follow-up
			CMM review		Review by the Commission
			Not applicable	CPC does not land frozen sharks	No action required
	11	CPCs shall undertake research to a) identify ways to make fishing gears more selective, where appropriate, including research into the effectiveness of prohibiting wire leaders; b) improve knowledge on key biological/ecological parameters, life-history and behavioural traits, migration patterns of key shark species; c) identify key shark mating, pupping and nursery areas; and d) improve handling practices for live sharks to maximise post-release survival.	Compliant	Information provided in IR/CQ including reference to national program of research showing compliance with the obligation	No action required
			Non-compliant	Information provided in IR/CQ with no reference provided, conflicting information between IR/CQ, No information provided. No compliance with the obligation.	No action needed / illustration of corrective action needed
			Serious non-compliant	No information provided for at least 2 consecutive years	Illustration of corrective action and/or additional remedies required
			Additional information required		Review by COC
			CMM review		Review by the Commission
			Not applicable	CPC is not an IOTC Coastal State and no vessels in the IOTC record of authorised vessels.	No action required
Resolution 17/04  On a ban on discards of bigeye tuna, skipjack tuna, yellowfin tuna, and non-targeted species caught by purse seine vessels in the IOTC area of competence	Res. 17/04	Transposition into national legislation	Compliant	Information provided in IR/CQ including reference to national legislation	No action required
			Non-compliant	Information provided in IR/CQ no legal reference provided, conflicting information between IR/CQ, No information provided	No action needed / illustration of corrective action needed
			Serious non-compliant	No information provided for at least 2 consecutive years	Illustration of corrective action and/or additional remedies required
			Additional information required	It is not clear from the information provided whether the measure has been transposed or not	Review by COC
			CMM review		Review by the Commission
			Not applicable	No PS vessel on the IOTC record of authorised vessels	No action required
	1	CPCs shall require all purse seine	Compliant	(Recording of discard not mandatory according to resolution 15/02 making	-
			Non-compliant		-

Rec.	Para.	Obligation	Status of Compliance	Result of the assessment (examples)	Action / Follow-up
		vessels to retain on board and then land all bigeye tuna, skipjack tuna, and yellowfin tuna caught, except fish considered unfit for human consumption	Serious non-compliant	the exercise of compliance on the implementation impossible)	-
			Additional information required		
			CMM review	Need to amend Resolution 15/02	Review by the Commission
			Not applicable	No PS vessel on the IOTC record of authorised vessels	No action required
	5	Where the captain of the vessel determines that fish should not be retained on board in accordance with Clause 4.b (i) and (ii), the captain shall record the event in the relevant logbook including estimated tonnage and species composition of discarded fish; and estimated tonnage and species composition of retained fish from that set.	Compliant	Information recorded in the logbook (estimated tonnage, species of discarded and retained fish)	No action required
			Non-compliant	Information recorded in the logbook but partial ; No information recorded in the logbook	No action needed / illustration of corrective action needed
			Serious non-compliant	No information provided for at least 2 consecutive years	Illustration of corrective action and/or additional remedies required
			Additional information required		Review by COC
			CMM review		Review by the Commission
			Not applicable	No PS vessel on the IOTC record of authorised vessels	No action required
Resolution 13/06  On a scientific and management framework on the conservation of shark species caught in association with IOTC managed fisheries	Res. 13/06	Transposition into national legislation	Compliant	Information provided in IR/CQ including reference to national legislation	No action required
			Non-compliant	Information provided in IR/CQ no legal reference provided, conflicting information between IR/CQ; No information provided	No action needed / illustration of corrective action needed
			Serious non-compliant	No information provided for at least 2 consecutive years	Illustration of corrective action and/or additional remedies required
			Additional information required	It is not clear from the information provided whether the measure has been transposed or not	Review by COC
			CMM review		Review by the Commission
			Not applicable	CPC is not an IOTC Coastal State and no vessels in the IOTC record of authorised vessels	No action required

Rec.	Para.	Obligation	Status of Compliance	Result of the assessment (examples)	Action / Follow-up
	3	CPCs shall prohibit, as an interim pilot measure, all fishing vessels flying their flag and on the IOTC Record of Authorised Vessels, or authorised to fish for tuna or tuna-like species managed by the IOTC on the high seas to retain onboard, tranship, land or store any part or whole carcass of oceanic whitetip sharks with the exception of paragraph 7. The provisions of this measure do not apply to artisanal fisheries operating exclusively in their respective Exclusive Economic Zone (EEZ) for the purpose of local consumption.	Compliant	Nominal catch data reveal no transshipment or landing of oceanic whitetip sharks. No infringement detected.	No action required
			Non-compliant	Nominal catch data reveal transshipment or landing of oceanic whitetip sharks or no information is provided. Infringement detected.	No action needed / illustration of corrective action needed
			Serious non-compliant	Nominal catch data reveal transshipment or landing of oceanic whitetip sharks or no information is provided for at least 2 consecutive years	Illustration of corrective action and/or additional remedies required
			Additional information required		Review by COC
			CMM review		Review by the Commission
			Not applicable	State and no vessels in the IOTC record of authorised vessels	No action required
	8	The CPCs, especially those targeting sharks, shall submit data for sharks, as required by IOTC data reporting procedures.	See reporting obligation resolution 17/05, paragraph 6.		
Resolution 11/04 On a Regional Observer Scheme	2	At least 5 % of the number of operations/sets for each gear type by the fleet of each CPC while fishing in the IOTC area of competence of 24 meters overall length and over shall be covered by this observer scheme.	Compliant	CPC has provided coverage => 5% for vessel >24 m	No action required
			Non-compliant	CPC has provided coverage but below 5% for vessel >24 m. ; CPC has not provided information on coverage.	No action needed / illustration of corrective action needed
			Serious non-compliant	Coverage below 5% or no information provided for at least 2 consecutive years	Illustration of corrective action and/or additional remedies required
			Additional information required	It is not clear from the information provided whether the measure has been complied with or not	Review by COC
			CMM review		Review by the Commission
			Not applicable	CPC has no vessel > 24m in the record of authorised vessels or active	No action required

Rec.	Para.	Obligation	Status of Compliance	Result of the assessment (examples)	Action / Follow-up
	2	At least 5 % of the number of operations/sets for each gear type by the fleet of each CPC for vessels under 24 meters if they fish outside their Exclusive Economic Zone (EEZ) shall be covered by this observer scheme.	Compliant	CPC has provided coverage => 5% for vessel < 24 m	No action required
			Non-compliant	CPC has provided coverage but below 5% for vessel<24 m ; CPC has not provided information on coverage.	No action needed / illustration of corrective action needed
			Serious non-compliant	Coverage below 5% or no information provided for at least 2 consecutive years	Illustration of corrective action and/or additional remedies required
			Additional information required		Review by COC
			CMM review		Review by the Commission
			Not applicable	CPC has no vessel > 24m in the record of authorised vessels or active	No action required
	4	The number of the artisanal fishing vessels landings shall also be monitored at the landing place by field samplers. The indicative level of the coverage of the artisanal fishing vessels should progressively increase towards 5% of the total levels of vessel activity (i.e. total number of vessel trips or total number of vessels active).	Compliant	CPC has monitored and provided data on landings and coverage => 5 %.	No action required
			Non-compliant	CPC has not monitored or not provided data on landings and coverage < 5 %. CPC has not provided data on landing and information on coverage.	No action needed / illustration of corrective action needed
			Serious non-compliant	Coverage below 5% or no information provided for at least 2 consecutive years	Illustration of corrective action and/or additional remedies required
			Additional information required		Review by COC
			CMM review		Review by the Commission
			Not applicable	CPC is not an IOTC coastal State	No action required
	5 c	CPCs shall:  c) Take all necessary measures to ensure that observers are able to carry out their duties in a competent and safe manner;	Compliant	No evidence of infringement	No action required
			Non-compliant	Evidence (e.g. in observer report) of infringements	No action needed / illustration of corrective action needed
			Serious non-compliant	One or several observer reports reveals important security issues, or important security issues have been reported for at least 2 consecutive years.	Illustration of corrective action and/or additional remedies required
			Additional information required		Review by COC
			CMM review		Review by the Commission

Rec.	Para.	Obligation	Status of Compliance	Result of the assessment (examples)	Action / Follow-up
			Not applicable	CPC has no vessel in the record of authorised vessels or active	No action required
	5 d	CPCs shall: d) Endeavour to ensure that the observers alternate vessels between their assignments. Observers are not to perform duties, other than those described in paragraphs 10 and 11 below;  NOT SURE THAT THIS IS A REAL OBLIGATION AS IT'S ONLY "ENDEAVOUR"	Compliant	Evidence provided that efforts have been made to ensure that observers alternate vessels between assignments and they did not perform duties other than those of paras 10 and 11	No action required
			Non-compliant	In more than 10% of the case, observers did not alternate vessels	No action needed / illustration of corrective action needed
			Serious non-compliant	In more than 10% of the case, observers did not alternate vessels, for at least 2 consecutive years	Illustration of corrective action and/or additional remedies required
			Additional information required		Review by COC
			CMM review		Review by the Commission
			Not applicable	CPC has no vessel in the record of authorised vessels or active	No action required
	5 e	CPCs shall: e) Ensure that the vessel on which an observer is placed shall provide suitable food and lodging during the observer's deployment at the same level as the officers, where possible. Vessel masters shall ensure that all necessary cooperation is extended to observers in order for them to carry out their duties safely including providing access, as required, to the retained catch, and catch which is intended to be discarded.	Compliant	Evidence provided that the obligation is being complied with/ No infringement detected	No action required
			Non-compliant	Infringement are detected, e.g. an observer report reveals cooperation issues	No action needed / illustration of corrective action needed
			Serious non-compliant	One or several observer reports reveals important cooperation issues, or important cooperation issues have been reported for at least 2 consecutive years.	Illustration of corrective action and/or additional remedies required
			Additional information required		Review by COC
			CMM review		Review by the Commission
			Not applicable	CPC has no vessel in the record of authorised vessels or active	No action required
	9	CPCs shall provide to the IOTC Executive Secretary and the IOTC Scientific Committee annually a report of	Compliant	CPC has provided the report of the No. of vessels monitored and coverage by gear type	No action required
			Non-compliant	CPC has not provided the report of the No. of vessels monitored and coverage	No action needed / illustration of

Rec.	Para.	Obligation	Status of Compliance	Result of the assessment (examples)	Action / Follow-up
		the number of vessels monitored and the coverage achieved by gear type in accordance with the provisions of this Resolution.		by gear type, CPC has provided only one of the information No. of vessels monitored and coverage by gear type. CPC has not provided the No. of vessels monitored and coverage by gear type	corrective action needed
			Serious non-compliant	CPC has not provided the No. of vessels monitored and coverage by gear type for at least 2 consecutive years	Illustration of corrective action and/or additional remedies required
			Additional information required		Review by COC
			CMM review		Review by the Commission
			Not applicable	CPC has no vessel in the record of authorised vessels or active	No action required
	11	The CPCs shall send within 150 days at the latest each report, as far as continuous flow of report from observer placed on the longline fleet is ensured	Compliant	CPC has provided observer reports within the deadline and in the format required	No action required
			Non-compliant	CPC has provided observer report but not according to the template, or late or with substantial amount of information missing. CPC has not provided observer reports	No action needed / illustration of corrective action needed
			Serious non-compliant	CPC has not provided observer reports for at least 2 consecutive years	Illustration of corrective action and/or additional remedies required
			Additional information required		Review by COC
			CMM review		Review by the Commission
			Not applicable		No action required
			Compliant	CPC has no active vessel in the record of authorised vessels	No action required