SUMMARY REPORT ON COMPLIANCE SUPPORT ACTIVITIES

Prepared by: IOTC Secretariat, 30 May, 2019

This document provides a summary of the activities undertaken by the IOTC Secretariat in support of implementation of Conservation and Management Measures adopted by the Indian Ocean Tuna Commission (IOTC).

1.   General and specific objectives of the activities

The general and specifics objectives of the capacity building activities have been presented in previous versions of this document and presented at previous sessions of the Compliance Committee (IOTC-2013-CoC10-09).

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

2.1. Activities and methodology

The activities and the methodology to implement the capacity building activities have been presented in previous versions of this document and presented at previous sessions of the Compliance Committee (IOTC-2013-CoC10-09).

2.2. Implementation – Compliance Support Mission

The implementation of capacity building activities have been presented in previous versions of this document and presented at previous sessions of the Compliance Committee (IOTC-2013-CoC10-09).

The countries that have benefited from the Compliance Support Mission (CSM) or follow up missions during the intersessional period are listed in Table 1.

Country	Bangladesh	Madagascar	Somalia
Date of CSM	2/4 April 2019	20/22 Nov. 2018	10/12 Dec 2018

Table 1 – Follow up of Compliance Support Missions conducted during the 2018/19 intersessional period.

In the 2018/19 intersessional period, follow up CSMs shall be conducted for 3 to 6 CPCs that had previously benefited from similar missions from 2013 to 2018.

The results following the Compliance Support Missions are presented in Appendix 1 (Note: 2018 compliance assessment on-going).

2.3. Implementation – Data Compliance Support Mission

The countries that have benefited from the data Compliance Support Mission (Data CSM) during the intersessional period are listed in Table 2.

Country	Indonesia	Pakistan	Mauritius
Date of CSM	5/7 July 2018	17/19 December 2018	15/19 April 2019

Table 2 – Data Compliance Support Missions conducted during the 2018/19 intersessional period.

2.4. CMMs training package

The CMMs training package which is composed of two manuals and 31 implementation sheets have not been updated to include the Resolutions adopted by the Commission in 2018.

The CMMs training package (updated with Resolutions adopted in 2017) is available for download at http://www.iotc.org/compliance/capacity-building-compliance, where each individual implementation sheet can be also downloaded separately.

2.5. Guide to IOTC data and information reporting requirements

The Guide to IOTC data and information reporting requirements is updated yearly.

The guide is available at the below links:

https://www.iotc.org/compliance/reporting-templates

3. Implementation of the IOTC port State measures Resolution (16/11): activities and methodology

3.1. National port State measures training

With regards to the IOTC port State measures Resolution (PSMR), the activities are related to the administrative and operational aspects of the implementation of Resolution 16/11. The training and training package have been presented in previous versions of this document and presented at previous sessions of the Compliance Committee (IOTC-2013-CoC10-09). The PSM training package is available for download at http://www.iotc.org/compliance/port-state-measures.

The methodology comprises as well of follow up missions to provide support to the implementation of Resolution 16/11, and to assess the progress of its implementation.

The countries that have benefited of the PSM national training course (follow up) during the intersessional period are listed in Table 3.

Country	Kenya	Madagascar	Mozambique	South Africa
Date of PSM	3/5 July 2018	20/22 Nov 2018	01/05 Oct. 2018	31 Oct / 6 Nov 2018
Officers trained	11	8	12	6

Table 3 –PSM training course and number of officers trained during the 2018/2019 intersessional period.

In 2019/20, follow up of PSM national training course shall be conducted in 2 to 4 CPCs that have benefited from the national PSM training course.

4. Legal assistance to CPCs to transpose IOTC obligations into binding national legal instruments

Article X of the IOTC Agreement focuses on the implementation of the decisions of the Commission. In practice, the Members have the obligation to transpose, into their national law, relevant Conservation and Management Measures adopted by the Commission.

Since 2015, 11 CPCs (Comoros, Kenya, Madagascar, Maldives; Mauritius, Mozambique, Seychelles, Somalia, South Africa, Tanzania and Yemen) have been assisted to transpose the relevant obligations of IOTC Resolutions into their national legislation, in order to enhance the implementation and compliance to IOTC Resolutions.

Follow up legal assistance have been provided during the intersessional period for two CPCs; Madagascar and, Seychelles.

4.1. Madagascar

The legal assistance, which is ongoing, consists in the support to the drafting of a Ministerial Order on tuna fishing with the aim of implementing IOTC Resolutions and strengthening relevant regulations.

4.2. Seychelles

The legal assistance, which is ongoing, consists in the support to the drafting/amendment of the fisheries legislation, including the Fisheries Act (Subsidiary legislation); 2010 Regulations (Vessels, licensing, gear, protected areas); the Fisheries Amendment Regulations 2007 (amending 1987 Regulations); the Fisheries (Shark Finning) Regulations, 2006; the Fisheries Regulations 1987 (1991 edition), and a PSM regulation, with the aim of implementing IOTC Resolutions and strengthening relevant regulations.

In 2019/20, legal assistance shall be provided to CPCs that have benefited from the initial legal assistance. Malaysia has made a request for legal assistance in March 2019.

5. e-PSM application

With the support of the Global Partnership for Oceans (GPO) of the World Bank, the Secretariat has developed the e-PSM application, which is accessible through the IOTC website, to support the implementation of IOTC Resolutions on

PSM. Technical information on e-PSM and the training programme have been presented in a previous version of this document tothe Compliance Committee (IOTC-2017-CoC14-09_Rev1).

5.1 Training of CPCs and users of e-PSM

The countries that have benefited from the e-PSM national training courses during the 2018/19 intersessional period are listed in Table 4.

CPC	Kenya	Madagascar	Mozambique	South Africa
Date of PSM training	3/5 July 2018	20/22 Nov 2018	01/05 Oct. 2018	31 Oct / 6 Nov 2018
No. of Agents trained	10	6	6	12
No. of Officers trained	11	4	12	6

Table 4 –Number of e-PSM training course conducted and number of agents/officers trained during the 2018/2019 intersessional period.

In the 2019/20 intersessional period, the e-PSM training course is planned to be conducted in the Maldives following formal approval, and complementary training will be conducted for other CPCs that have already benefited from the initial e-PSM training course.

Over 400 individuals, from 13 IOTC member States (Port States and industry), have been trained to use the e-PSM application.

5.2. Use of the e-PSM application

As of 2 May 2019, through the e-PSM application: 5,153 vessel files have been created and 12,437 PSM forms have been submitted; of which; 4,978 are advance request of entry into port (AREP), 3,778 are notifications (NFV) of entry into port authorised, 3 notifications (NFV) of entry into port denied and 2,340 are port inspection reports. The application is being used by 41 flag States, 13 IOTC port States and more than 1,500 vessels' representatives (fishing agents/vessel master).

The ICCAT Secretariat is also receiving inspection reports through this application for vessels operating in the ICCAT Area and calling into South African ports.

The implementation of the IOTC port State measures resolution, which reflects almost in its entirety the FAO Agreement on port State measures, have led to the identification and listing of nine vessels in the IOTC IUU Vessels List.

The number of vessel files by port State CPCs created in the e-PSM application is presented in Table 5 (From 6 May 2016 to 2nd May 2019).

Port State CPC	Mauritius	Seychelles	South Africa	Thailand	Sri Lanka	Madagascar	Mozambique
Vessel files	2,437	1,049	649	201	291	118	125

Port State CPC	Malaysia	Kenya	Maldives	EU (France)	Tanzania	Indonesia	Oman
Vessel files	69	35	24	14	4	3	0

Table 5 – Number of vessel files by port State CPCs.

The number of calls by flag State registered through the e-PSM application is presented in Table 6 (From 6 May 2016 to 2nd May 2019).

Flag State	China	Taiwan, Province of China	EU ESP	EU FRA	EU UK	EU PRT	EU ITA	EU NLD	EU LTU	Indonesia	Iran
Call in port	380	2,210	424	310	21	34	7	1	7	10	4

Flag State	Japan	Kenya	Korea	Liberia	Madagascar	Malaysia	Maldives	Mozambique
Call in port	271	22	169	28	15	90	23	17

Flag State	Mauritius	Oman	Philippines	Seychelles	Tanzania	Thailand	Panama	Other
Call in port	179	13	1	631	5	26	120	120

Note: Other vessels that have made port calls through the e-PSM application are flagged to the following countries (NCP): Kiribati (5), Micronesia (1), Bahamas (32), Singapore (9), Netherlands Antilles (19), Norway (4), Samoa (1), Cook Island (4), Togo (1), Belize (16), Georgia (7), Namibia (2), Cameroon (4),Vanuatu (13)and Ukraine (2).

Table 6 – Number of calls by flag State.

5.3. Improvement of the e-PSM application

Since the launch of the e-PSM application in 2016, in accordance with the paragraph 3.3 of the Resolution 16/11, the IOTC Secretariat has received feedback and inputs from stakeholders of CPCs (vessel representatives, port States and flag States) who have been using the application. Feedbacks from all stakeholders have been taken into consideration to correct some bugs and improve the application. With the support of the SWIOFISH 2 project, two developers have been recruited to implement those improvements in 2019.

6. Sharing of experience on port State measures.

The activity provides a mechanism for the sharing of experiences between port State Competent Authorities in charge of the implementation of IOTC port State measures, at national level. The activity involves the relocation of one PSM supervisor/administrator and two port inspectors from a port State Competent Authority to another port State CPC, to work and share experiences on the implementation of port State measures on the following topics: port State Competent Authority (Structure, personnel, budget, challenges, etc.); Legal provision at national level to implement port State measures (exchanges of legislation); Inter-agency cooperation at national level; Port inspection procedures adopted at national level, including monitoring of offloading; Use of the e-PSM application, work flow processes, including analysis of AREP and vessel's risk assessment.

During the exchange, port inspectors conduct inspection and monitor offloading. The inspection/monitoring team is composed of inspectors from the two port State Competent Authorities.

PSM exchange were conducted between the following CPCs:
- Sri Lanka / Mauritius (September 2018),
- Seychelles / Thailand (March 2019).

7. Professional internship programme.

During the intersessional period, the IOTC Professional Internship Programme was launched under the support of the SWIOFISH 2 Project. It is a learning opportunity aimed to attract talented young women and men who are strongly motivated to share their new perspectives, innovative ideas and latest fisheries experience in IOTC's domain. The programme provides selected professional with the opportunity to supplement, their working knowledge with a practical work assignments in a field related to the work and mandate of the IOTC Secretariat. This will enable them to gain a better understanding of IOTC's mandate and programmes. At the same time, the Programme provides the IOTC Secretariat with the assistance of qualified individuals specializing in relevant fisheries management fields.

The internship assignment is for a duration of 3 months and the intern is assigned to different fields of work according to his/her profile and to the needs of the IOTC Secretariat. These may include working with: i) the record of authorized vessels; ii) the at-sea transhipment programme; iii) Port State Measures, including the e-PSM application; iv) the bigeye tuna Statistical Document programme; v) assisting the IOTC Compliance Section to organise meetings, seminars, training and workshops or any event with stakeholders and partners related to the IOTC Secretariat's activities; undertaking other relevant activities that the IOTC Secretariat considers will impart positive and beneficial experience to the candidate.

The following country has benefited from the internship programme:
- Madagascar 15 January to 15 April 2019.

The following countries have nominated national officers to benefit from the internship programme: Mozambique, Comoros, Somalia and Tanzania.

8. Electronic Monitoring and Reporting Information System (e-MARIS)

In 2013 the Indian Ocean Tuna Commission (IOTC) Performance Review made two major recommendations related to compliance with data collection and reporting, and following up on infringements, those recommendations prompted the project e-MARIS, presented in previous versions of this document and presented at previous sessions of the Compliance Committee (IOTC-2018-CoC15-11).

At its 15th session the Compliance Committee made the following recommendations:

> CoC15.23 (Para 105)   The CoC **ACKNOWLEDGED** the funds secured by the Secretariat for e-MARIS and **RECOMMENDED** the Commission endorsed the IOTC Secretariat pursuit of the development of e-MARIS application.

This recommendation was endorsed by the Commission (S22) in 2018. In connection with the cost associated with the development of the e-MARIS, the IOTC Secretariat, under the mandate provided to it through IOTC Resolution 16/10, has already secured financial support for developing this system from the World Bank, under the SWIOFISH2 Project. It is expected that the development phase starts in June/July 2019, following the recruitment of one User Interface Design (UI) / User Experience Design (UX) expert, one software architect expert and one quality assurance expert in May 2019.

9. Assessment of flag State performance.

During the intersessional period, under the support of the SWIOFISH 2 Project, in line with the FAO guideline, assessment of flag State performance will be performed with the objective to identify constraints/gap in the exercise of flag State responsibilities and provide further technical assistance to CPCs to enhance their flag State performance, thus increasing the level of compliance and enhancing contribution of CPCs to the work of the IOTC.

Using the performance assessment criteria (Para 23/38) and procedure for carrying out assessment (para 44/46) as defined in the FAO voluntary guideline, assessment of flag State performance will be conducted with the objective to identify constraints/gaps in the exercise of flag State responsibilities. Based on the results of the assessment and the identification of corrective actions, a detailed road map/action plan will be drafted in order to enhance flag State performance of CPCs.

The following countries have volunteered to benefit from this activity in 2019/2020: Tanzania, Seychelles and South Africa.

10. Organisations/donors supporting IOTC capacity building activities

The compliance related capacity building activities (CSM and PSM) have been financially supported by: the European Union (DG Mare), the Second South West Indian Ocean Fisheries Governance and Shared Growth Project (SWIOFish 2 Project, IOTC Component) of the World Bank and the IOTC regular budget.
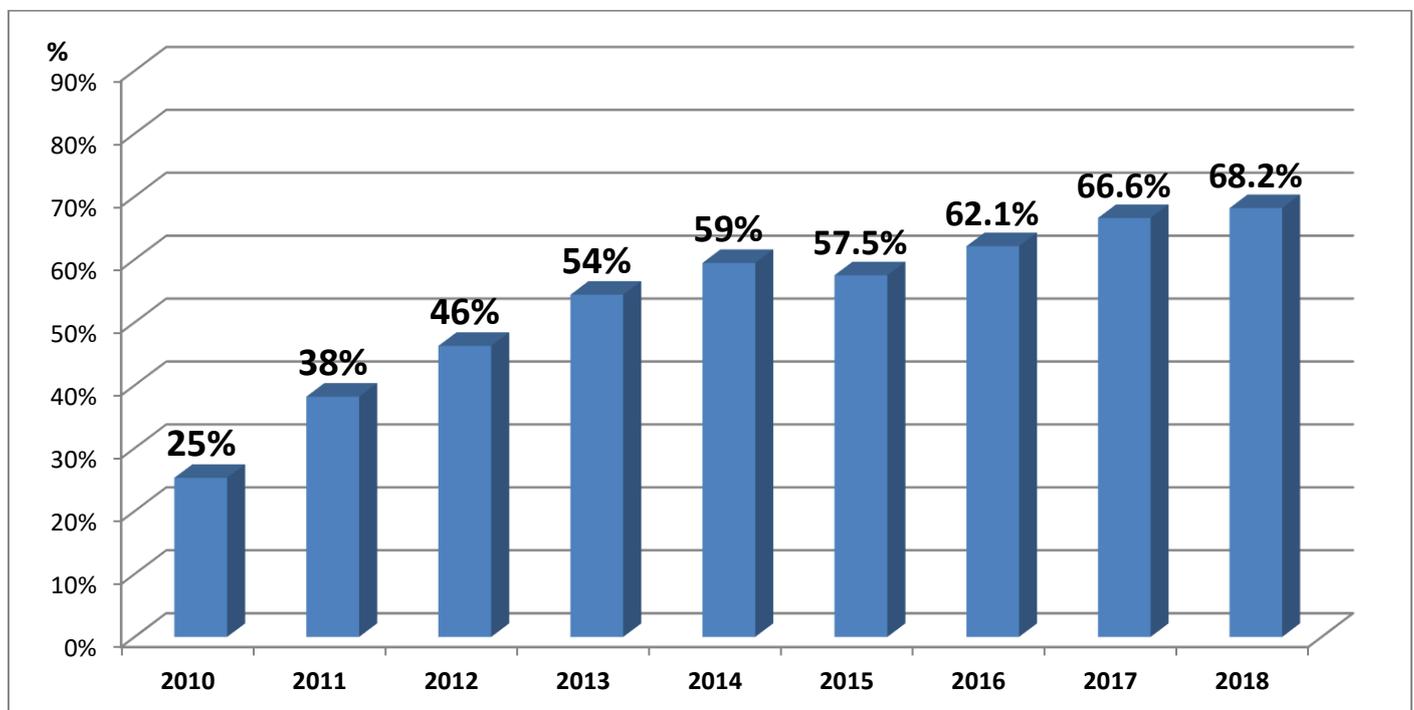
The World Wide Fund for Nature (WWF) provided support to recruit consultants to undertake a VMS study and to develop a ToR for the legal scrubbing of IOTC CMMs.

11.   Trends in Compliance Level of the Commission

The methodology described in the previous sections has allowed presenting the comparison of 8 years of compliance assessment for the Commission, by fisheries management tools.

8.1. IOTC compliance

The level of compliance of the Commission is presented in Figures 1 and 2, below, and for individual CPCs compliance level from 2010 to 2018, these are presented in Appendix 1.

Figure 1: Level of compliance of the Commission from 2010 to 2018.
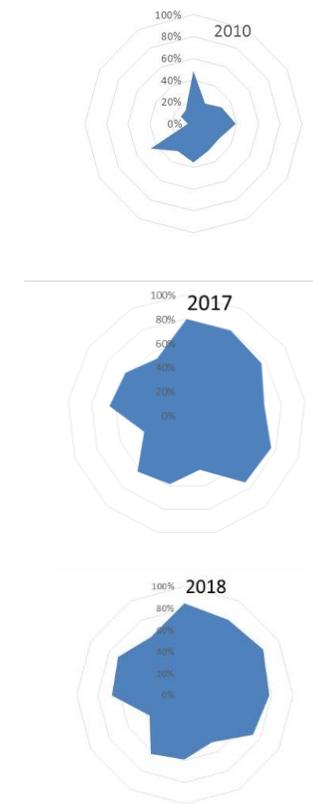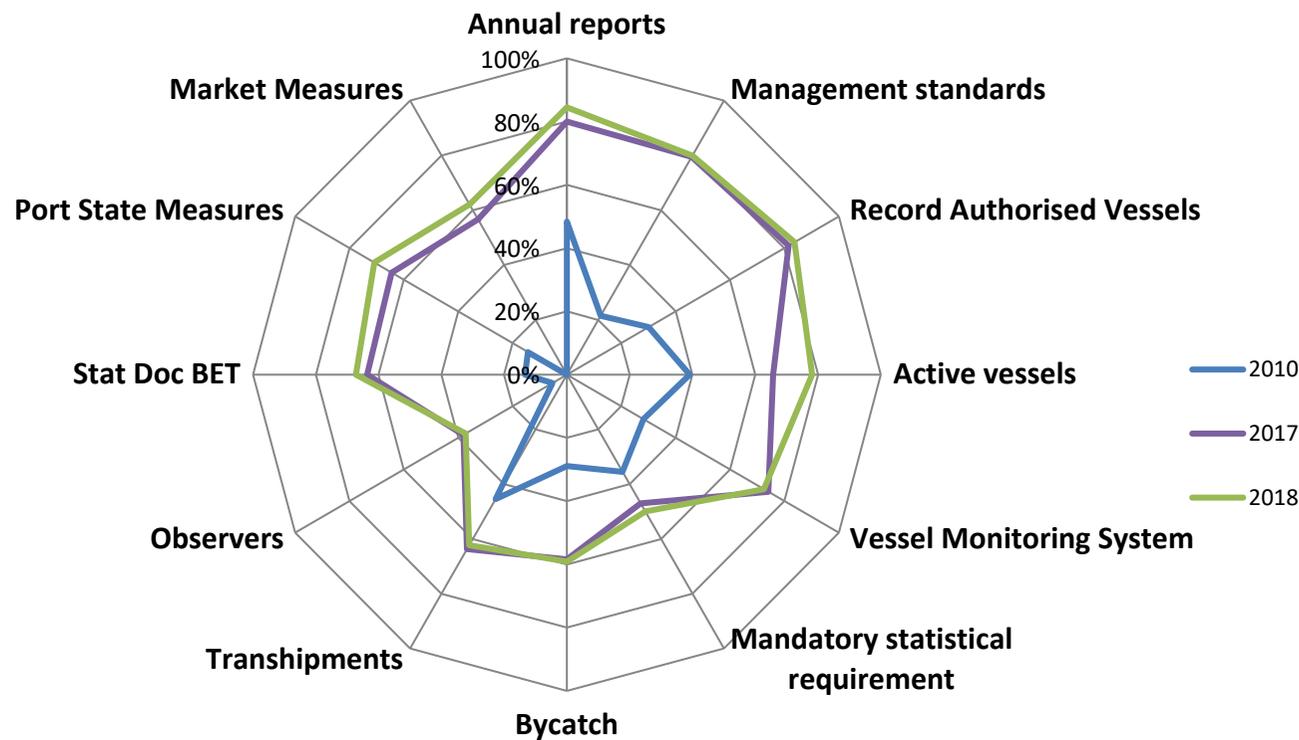
Note: The level of compliance is expressed in percentage – 86 reporting requirements in 2018.

RECOMMENDATION/S

That the CoC16:

1) **NOTE** the information provided in document IOTC–2019–CoC16–11,
2) **NOTE** the continued implementation of capacity building activities by the IOTC Secretariat to improve compliance to CMMs and strengthen the implementation of port State measures,
3) **NOTE** the implementation of training programme for port State CPCs in accordance with the paragraph 3 of Resolution 16/11 and the increasing use of the IOTC e-PSM application by port State CPCs,
4) **NOTE**, in accordance with the recommendations of CoC15, the progress made by the IOTC Secretariat towards the work related to the development of the e-MARIS.

Figure 2. Trends in compliance levels with the different fisheries management tools

Notes

Annual reports = Implementation report, compliance questionnaire, national scientific report, feedback letter - 4 reporting requirements.

Management Standard = Resolutions 18/01, 18/10, 15/04, 15/01, 17/07, 17/08, 14/05 (Denial of license, agreement, coastal State license) – 24 reporting requirements.

Domestic and foreign active vessels = Resolution 10/08, 14/05 (list of foreign vessels licensed in EEZ) – 2 reporting requirements.

Vessel Monitoring System = Resolution 15/03 -3 reporting requirements.

Mandatory statistical requirement = Resolution 15/02 - 12 reporting requirements.

Bycatch = Resolutions 17/05, 12/09, 13/06, 12/04, 12/06, 13/04, 13/05 – 16 reporting requirements.

Transhipment = Resolution 18/06 – 5 reporting requirements.

Observers = Resolution 11/04 – 4 reporting requirements.

Stat Doc BET = Resolution 01/06 – 4 reporting requirements.

Port State Measures = Resolutions 05/03, 16/11 – 7 reporting requirements.

Market State measures – 1 reporting requirement.

Note: Market related measures only for year 2015, 2016 and 2017 (Res. 10/10). Resolutions 18/03 and 07/01 not included.

Appendix 1: Individual CPCs level of compliance between 2010 and 2018.

Compliance Rate = number of requirements compliant / number of requirements applicable.

CPCs / year	Compliance Rate									Trend
	2010	2011	2012	2013	2014	2015	2016	2017	2018	
Australia	47%	85%	78%	84%	85%	88%	93%	96%	96%	↔
Bangladesh						10%	9%	16%	39%	↑
China	55%	74%	76%	85%	96%	90%	88%	96%	100%	↑
Comoros	29%	43%	79%	55%	61%	75%	96%	85%	91%	↑
Eritrea	0%	0%	0%	7%	7%	8%	8%	8%	6%	↓
European Union	71%	73%	80%	83%	88%	83%	88%	77%	77%	↔
France (OT)	61%	55%	72%	77%	80%	90%	100%	100%	100%	↔
India	29%	24%	32%	38%	23%	9%	6%	39%	64%	↑
Indonesia	13%	7%	47%	45%	62%	60%	68%	73%	77%	↑
Iran, Islamic Republic of	11%	52%	60%	65%	69%	75%	76%	71%	70%	↑
Japan	82%	97%	93%	93%	91%	97%	92%	95%	85%	↓
Kenya	3%	8%	31%	66%	71%	66%	49%	42%	39%	↓
Korea, Republic of	77%	84%	92%	89%	96%	97%	91%	95%	95%	↔
Liberia						100%	100%	100%	100%	↔
Madagascar	13%	18%	22%	75%	81%	66%	81%	65%	74%	↑
Malaysia	11%	26%	17%	40%	57%	56%	75%	74%	79%	↑
Maldives	3%	33%	50%	57%	79%	78%	76%	69%	72%	↑
Mauritius	15%	48%	54%	69%	80%	81%	88%	81%	82%	↑
Mozambique		47%	58%	72%	82%	80%	89%	92%	81%	↓
Oman, Sultanate of	10%	11%	27%	33%	53%	57%	78%	58%	45%	↓
Pakistan	0%	11%	5%	7%	5%	6%	19%	53%	53%	↔
Philippines	18%	52%	48%	61%	80%	67%	79%	60%	67%	↑
Senegal	0%	0%	50%	60%	56%	67%	75%	75%	100%	↑
Seychelles	36%	47%	41%	56%	74%	73%	72%	78%	70%	↓
Sierra Leone	0%	0%	0%	18%	18%	18%	18%	18%	20%	↑
Somalia					80%	71%	73%	44%	48%	↑
South Africa	38%	48%	64%	54%	65%	76%	77%	87%	85%	↓
Sri Lanka	5%	18%	47%	51%	60%	74%	77%	82%	87%	↑
Sudan	0%	0%	0%	6%	6%	6%	6%	6%	23%	↑
Tanzania	0%	7%	4%	45%	60%	56%	63%	54%	62%	↑
Thailand	28%	38%	43%	44%	45%	68%	66%	85%	84%	↓
United Kingdom (OT)	86%	100%	100%	100%	100%	100%	100%	100%	100%	↔
Yemen			0%	3%	3%	2%	2%	2%	2%	↔
Commission (All CPCs)	**25%**	**38%**	**46%**	**54%**	**59%**	**57.5%**	**62.1%**	**66.6%**	**68.2%**	↑

Cells in green indicate CPCs that have benefited from the Compliance Support Mission (CSM) and follow up of CSM and the year it was conducted.