

## PROGRESS ON THE IMPLEMENTATION OF PERFORMANCE REVIEW RECOMMENDATIONS

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### ABOUT THIS REVISION

This document was revised to include the latest information from the Compliance Committee (CoC16) and the Standing Committee on Administration and Finance (SCAF16) meetings which concluded on 13 June 2019.

### PURPOSE

To provide the Commission with an opportunity to consider the current status of implementation for each of the recommendations arising from the Report of the 2nd IOTC Performance Review Panel (PRIOTC02). And the status, timeline and priority for each of the actions being led by the Commission.

### BACKGROUND

The second performance review panel made 24 recommendations, and the 63 actions related to these recommendations were allocated to one or more of the following bodies: the Commission, the Secretariat, the Compliance Committee, the Scientific Committee, the Standing Committee on Administration and Finance, the Technical Committee on Performance Review and the Technical Committee on Allocation Criteria.

The Commission has tasked the Technical Committee on Performance Review (TCPR) to monitor the progress on the implementation of the recommendations arising from the report of the 2nd Performance Review Panel (IOTC-2016-PRIOTC02-R). The TCPR met in March 2019 (IOTC-2019-TCPR02-R) and noted that 4 of the 63 actions had not yet started while almost all of the completed actions had become ongoing activities for IOTC. The TCPR also noted that a priority has not yet been set for 4 of the 63 actions.

Table 1 shows the allocation and current status of the PR2 actions to each of the IOTC bodies. Table 2 lists the individual actions and indicates their respective priority.

The PR2 progress table (Appendix 1) has been updated since S22 to include the latest information from the SC21, TCPR02, TCAC05, CoC16, SCAF16 and Secretariat. Currently 2 of the 63 actions have not yet started while almost all of the 32 completed actions have become ongoing activities for IOTC. A priority still has not been set for 1 action.

**Table1. Allocation and implementation status of the IOTC performance review actions.**

	Allocation and number of actions	Not started	Ongoing	Completed
Commission	18	2	11	5
Compliance Committee	12	0	6	6
Scientific Committee	17	0	2	15
SCAF	4	0	2	2
TCPR	6	0	6	0
TCAC	1	0	1	0
Secretariat	5	0	1	4
<b>Total</b>	<b>63</b>	<b>2</b>	<b>29</b>	<b>32</b>

Table2. Priority of actions arising from the IOTC performance review.

	Not started	Ongoing	Completed (*ongoing)
<b>No priority set</b>	129b, - Comm	228b(v) - Comm 136 - TCAC	228b(ii)* - SCAF
<b>Low priority</b>	163b— Comm	159 — Comm	175* — Comm 112c* - SC
<b>Medium priority</b>		144a, 144b, 198, 204b – Comm 81c- TCPR 211b - Secr 102d, 149a, 149b — CoC	153b* - CoC 86a*, 86b*, 86c*, 96e*, 112a*, 112e* – SC
<b>High priority</b>		112f, 112g, 228a, 228c, 233 – Comm 81a, 81b, 81d, 81e, 139 – TCPR 228b(i), 228b(iv)– SCAF 153a, 163a, 204a –CoC 96b, 123b – SC	104a*, 123a*, 211a*, 228b(vi)*- Comm 228b(iii) - SCAF 96c*, 96d*, 104b*, 133* - Secr 102a*, 102b*, 102c*, 153c *, 169* – CoC 86d*, 96a*, 96f*, 106*, 112b* 112d*, 123c*, 129a* - SC

**PROGRESS RELATED TO ACTIONS BEING LED BY THE COMMISSION**

Each of the actions being led by the Commission is highlighted in red in the PR2 progress table (Appendix 1). The status of these actions is summarised in the below table. Of the 18 actions being led by the Commission, two actions have yet to start and one action has yet to have its priority set.

	Not started	Ongoing	Completed (*ongoing)
<b>No priority set</b>	129b	228b(v)	
<b>Low priority</b>	163b	159	175*
<b>Medium priority</b>		144a, 144b, 198, 204b	
<b>High priority</b>		112f, 112g, 228a, 228c 233	104a*, 123a*, 211a*, 228b(vi)*

The actions not yet started are:

129b: the Commission undertake a formal process to develop transfer mechanisms to developing coastal States, and in particular the least developed among them, with a view to realising their fleet development aspirations within sustainable levels.

163b: the Commission considers strengthening the market related measure (Resolution 10/10 Concerning market related measures) to make it more effective.

**RECOMMENDATION/S**

That the Commission:

- a) **NOTE** paper IOTC-2019-S23-06\_Rev1 and the current status of implementation for each of the recommendations arising from the Report of the 2nd IOTC Performance Review Panel.
- b) **NOTE** the information on the status, timeline and priority for each of the actions allocated to the Commission; and that the Commission is responsible for two actions that have not yet started, and one of these, currently, has no priority set.
- c) **CONSIDER** updating the timelines and priorities for its allocated actions and reflect any new information in the PR2 progress table.
- d) **CONSIDER** recommending that the implementation of actions continue to be monitored by the TCPR at its next meeting.

## APPENDIX 1

## UPDATE ON PROGRESS REGARDING RESOLUTION 16/03 – ON THE SECOND PERFORMANCE REVIEW FOLLOW-UP

(NOTE: NUMBERING AND RECOMMENDATIONS AS PER ANNEX I OF RESOLUTION 16/03 – LAST UPDATED IN MARCH 2019)

REFERENCE #	RECOMMENDATION	RESPONSIBILITY	UPDATE/STATUS AS OF MAY 2018	TIMELINE	PRIORITY
PRIOTC02.01 ( <a href="#">para. 81</a> )	<p><b><i>Analysis of the IOTC Agreement against other international instruments</i></b></p> <p>NOTING <a href="#">para 80</a>, the PRIOTC02 <b>RECOMMENDED</b> that the Commission establish an ad-hoc Working Party on the Modernisation of the IOTC Agreement, based on the following scope:</p> <p>a) Develop proposed language for the IOTC Agreement that takes into account modern principles of fisheries management;</p>	Commission & TCPR	A drafting group under the TCPR has been formed and work has commenced on the IOTC Agreement text.	2018-2020	High
	<p>b) Develop a multi-year Program of Work that outlines the specific priority issues to be discussed using the legal analysis contained in <a href="#">Appendix III</a> of this report to inform the working party deliberations;</p>	Commission & TCPR	The TCPR has adopted a work program for 2018-2020.	2018-2020	High
	<p>c) Proposals to enable the participation of all fishing players with direct fishing interests in IOTC;</p>	Commission & TCPR	The TCPR is focusing on a first phase of modernizing and adapting the IOTC Agreement text, while seeking direction from the Commission on matters related to the institutional linkages between FAO and IOTC.	Pending the Commissions direction	Medium
	<p>d) That all CPCs should participate in the Working Party and that funds be provided to support the participation of developing coastal States in the meetings;</p>	Commission & ad-hoc Working Party	The meeting participation fund is operating to support participation at TCPR meetings	Ongoing	High
	<p>e) That the working group meet at least annually and to the extent possible progress its work inter-sessionally using electronic means.</p>	Commission & ad-hoc Working Party	An annual meeting and intersessional work using electronic means is reflected in the TCPR work plan	2018-2020	High

REFERENCE #	RECOMMENDATION	RESPONSIBILITY	UPDATE/STATUS AS OF MAY 2018	TIMELINE	PRIORITY
PRIOTC02.02 ( <a href="#">para. 86</a> )	<p><b><i>Status of living marine resources</i></b></p> <p>The PRIOTC02 <b>RECOMMENDED</b> that:</p> <p>a) while continuing to work on improving data collection and reporting, the Scientific Committee should continue to utilise qualitative stock assessment methodologies for species where there is limited data available, including ecological risk based approaches, and support the development and refinement of data poor fisheries stock assessment techniques to support the determination of stock status.</p>	<i>Scientific Committee</i>	<p>Updated by SC, 7 December 2018.</p> <p>Ongoing. Since 2013, data-poor approaches to determining stock status have been applied to a range of billfish and neritic tuna species. The WPM has an item in their programme of work specifically related to this: 2.1, Explore potential methods of presenting stock status advice to managers from a range of data limited scenarios, e.g. through the development of a 'Tier' approach for providing stock status advice, based on the type of indicators used to determine stock status (e.g. CPUE series, stock assessment model)</p> <p>A project has been developed with EU funding to further this work and it will be conducted and presented in 2019.</p> <p>A capacity-building workshop was held in collaboration with ABNJ in 2017 on the DLM tool.</p> <p>Ecological risk assessments have been conducted in 2018 for the main shark species as well as for marine turtles in the Indian Ocean.</p>	Completed and ongoing	Medium

REFERENCE #	RECOMMENDATION	RESPONSIBILITY	UPDATE/STATUS AS OF MAY 2018	TIMELINE	PRIORITY
	b) confidentiality provisions and issues of accessibility to data by the scientists involved needs to be clearly delineated, and/or amended if necessary, so that stock assessment analysis can be replicated.	<i>Scientific Committee &amp; Commission</i>	<p>Updated by SC, 7 December 2018.</p> <p>Ongoing. Input, output and executable files for the assessment of major stocks are archived with the Secretariat to allow replication of analyses. Access to operational data under cooperative arrangements, and those subject to confidentiality rules is still limited. In some cases, the Secretariat is bound by the domestic data confidentiality rules of Members and Cooperating Non–Contracting Parties.</p> <p>Ongoing developments to the new integrated IOTC database are improving the accessibility of IOTC data sets for users outside the Secretariat, while ensuring that confidentiality rules are fully respected.</p> <p>IOTC has contributed and provided support to the BlueBridge initiative for the development and implementation of a collaborative environment to be used by scientists to replicate and execute stock assessments within the BlueBridge distributed infrastructure.</p> <p>The outputs of CPUE standardisation are available but access to the raw data may not be provided.</p>	Completed and ongoing	Medium

REFERENCE #	RECOMMENDATION	RESPONSIBILITY	UPDATE/STATUS AS OF MAY 2018	TIMELINE	PRIORITY
	c) chairpersons and Vice-Chairpersons of the Scientific Committee and respective Working Parties, in conjunction with the IOTC Secretariat, develop guiding principles for the provision of papers to ensure that they are directly related to the Program of Work of the respective Working Party and/or Scientific Committee, as endorsed by the Commission, while still encouraging for new and emerging issues to be presented.	<i>Scientific Committee &amp; Working Party Chairs and Vice-Chairs</i>	Updated by SC, 7 December 2018. Ongoing. Given the substantial increase in the quantity of documents submitted for WP meetings in recent years (often reaching 60) the IOTC Secretariat is working closely with Chairs to filter through the papers of most relevance to the agreed agenda items based on the priorities of the SC and Commission for that year, and requesting authors to resubmit their paper for an alternative meeting or as a reference “information” document.	Completed and ongoing	Medium

REFERENCE #	RECOMMENDATION	RESPONSIBILITY	UPDATE/STATUS AS OF MAY 2018	TIMELINE	PRIORITY
	d) ongoing peer review and input by external scientific experts should be incorporated as standard best practice for Working Parties and included in the Commission's regular budget.	<i>Scientific Committee &amp; Commission</i>	<p>Updated by SC, 7 December 2018.</p> <p>Ongoing. External experts (Invited Experts) are regularly invited to provide additional expertise at Working Party meetings. The SC requested that at least one 'Invited Expert' be brought to each of the science Working Parties in 2017 and in each subsequent year, so as to further increase the capacity of the Working Parties to undertake the work detailed in the Program of Work (para 178 IOTC-2016-SC19-R)</p> <p>In 2018 an Invited Expert attended all the WP meetings except for the WPDCS. The budget allocated to this by the Commission has been doubled as it is considered a priority.</p> <p>The SC agreed that once stock assessment models were considered robust, that peer review would be advantageous, and funds will be requested to undertake peer reviews of stock assessments.</p>	Completed and ongoing	High
PRIOTC02.03 ( <a href="#">para. 96</a> )	<p><b><i>Data collection and reporting</i></b></p> <p>The PRIOTC02 <b>RECOMMENDED</b> that:</p> <p>a) the Commission make further investments in data collection and targeted capacity building, which is necessary for further improvement in the provision and quality of data in support of the Commission's objectives, as well as to identify the sources of the uncertainty in data and work towards reducing that uncertainty.</p>	<i>Commission Scientific Committee</i>	<p>Updated by SC, 7 December 2018.</p> <p>Ongoing. There are multiple opportunities and sources of funding for capacity building on data collection and scientific analyses, both within the IOTC budget and in the context of other partnerships.</p>	Completed and ongoing	High



REFERENCE #	RECOMMENDATION	RESPONSIBILITY	UPDATE/STATUS AS OF MAY 2018	TIMELINE	PRIORITY
	b) while there are budgetary implications, the IOTC Secretariat staffing dedicated to data collection and data capacity building activities should be increased from 3 to 5 full-time data staff.	<i>Commission</i>	Updated by SC, 7 December 2018. Ongoing. Recruitment of a P1 (Fisheries Officer) began in late-2017 and is still ongoing. However, the IOTC Data Section still remains severely understaffed given the increasing work loads. These include monitoring data compliance and technical support missions, support to the implementation of the Regional Observer Scheme, development of the IOTC database and dissemination systems, and new work streams taking place in 2018 (e.g., E-monitoring, ROS Pilot Project, support for implementation of skipjack HCR [Res 16/02], and yellowfin catch reduction [Res.17/01].	Ongoing	High
	c) the IOTC Secretariat should facilitate discussions with coastal State non-CPCs and other non-CPCs fishing within the IOTC area of competence to formalise long-term strategies for data submission to the IOTC Secretariat, including all relevant historical data sets.	<i>IOTC Secretariat</i>	Updated by SC, 7 December 2018. Ongoing. This is partially being addressed by the programme of work allocated to the IOTC Data Compliance and Support missions.	Completed and ongoing	High

REFERENCE #	RECOMMENDATION	RESPONSIBILITY	UPDATE/STATUS AS OF MAY 2018	TIMELINE	PRIORITY
	d) steps to gain access to fine-scale data to be used in joint analysis, with sufficient protection of confidentiality, should be taken.	<i>IOTC Secretariat</i>	<p>Updated by SC, 7 December 2018.</p> <p>Ongoing. This capability should be part of the improved functionalities provided by the new IOTC database, depending on the quality of these fine-scale data and confidentiality restrictions.</p> <p>The collaborative longline CPUE (involving Japan, Rep. of Korea, and Taiwan, China and an independent fisheries consultant) has involved the sharing of operational level data. While the results of analyses, and joint-CPUE, have been published, the fine-scale data remains confidential.</p> <p>In 2017, the collaborative workshop explored the feasibility of including data from other CPCs (i.e. Seychelles Industrial longline) and discussed the possibilities and potential options of allowing more flexibility in data access (e.g. the possibility of remote access).</p>	Completed and ongoing	High
	e) where budgets and other resources permit, to encourage data preparatory meetings preceding stock assessment review meetings (Working Parties).	<i>Scientific Committee</i>	<p>Updated by SC, 7 December 2018.</p> <p>Ongoing. The SC has considered this in previous years and for WPTmT a preparatory meeting in 2019 will be held before the stock assessment update later in the year.</p>	Completed and ongoing	Medium

	<p>f) innovative and/or alternative means of data collection and reporting should be explored and, as appropriate, implemented, including a move towards electronic data collection and reporting for all fleets.</p>	<p><i>Scientific Committee</i></p>	<p>Updated by SC, 7 December 2018.</p> <p>Ongoing. The IOTC Secretariat has developed an electronic tool for the Regional Observer Scheme to facilitate collection and reporting of ROS data.</p> <p>A pilot E-monitoring project was initiated in 2018, focused on small-scale fisheries (e.g., gillnet, gillnet-longline multi-gear vessels) for which there are practical difficulties placing on-board observers, and for which there is currently little or no data reported to the IOTC Secretariat.</p> <p>In October 2017 a consultation and validation workshop was held in South Africa to discuss with CPCs the future implementation of e-MARIS, an electronic Monitoring And Reporting Information System that will streamline - among others - the submission of mandatory statistical data to the Secretariat. As of November 2018, three international teams have submitted their expression of interest for the implementation of the system, and the selection process is under way with the expected start of development scheduled for Q1 2019.</p> <p>The Scientific Committee is developing minimum standards for the implementation of electronic observation systems and determining how they can be used to increase levels of observer coverage for Indian Ocean fisheries as requested by Res. 16/04.</p>	<p>Completed and ongoing</p>	<p>High</p>
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REFERENCE #	RECOMMENDATION	RESPONSIBILITY	UPDATE/STATUS AS OF MAY 2018	TIMELINE	PRIORITY
PRIOTC02.04 ( <a href="#">para. 102</a> )	<p><b><i>Compliance with data collection and reporting requirements</i></b></p> <p>The Commission, through its Compliance Committee, needs to strengthen its compliance monitoring in relation to the timeliness and accuracy of data submissions. To that end, the PRIOTC02 <b>RECOMMENDED</b> that:</p> <p>a) the Commission review its compliance monitoring program conducted by the Compliance Committee, including identification of priority obligations (e.g. timely and accurate data reporting, catch and effort limits, accuracy of the supplied registered fishing vessel information, etc.).</p>	<i>Commission and Compliance Committee</i>	<p>Completed/Ongoing. The IOTC should further develop a scheme for the assessment of compliance of a structured approach for cases of infringements, better reflecting partial compliance and critical compliance issues. However, since the 2011 Compliance Committee meeting, country-based reports have been prepared for this purpose on the basis of Resolution 10/09, which is now integrated into the IOTC Rules of Procedure, Appendix V.</p> <p>A proposal to amend Appendix V of the IOTC Rules of Procedure has been submitted for the consideration of S22.</p>	Completed and ongoing.	High
	<p>b) the compliance monitoring program review all priority obligations and undertake the compliance review by obligation and by CPCs and that the Commission publish a report of each CPCs compliance by obligation and CPC. The reports of all Compliance Missions should be appended to the compliance report of that relevant CPC and where the CPC has identified an action plan, that they not be assessed for that obligation.</p>	<i>Compliance Committee</i>	Ongoing. To be implemented in 2018 onwards for the concerned CPCs.	Completed. Review annually at the Compliance Committee meeting.	High

REFERENCE #	RECOMMENDATION	RESPONSIBILITY	UPDATE/STATUS AS OF MAY 2018	TIMELINE	PRIORITY
	c) the Commission develop a scheme of responses (in accordance with the IOTC Rules of Procedure (2014) Appendix V, para. 3b (iv)) to priority non-compliance areas, including the preparation of CPC Implementation Action Plans that outline how the CPC will, over time, implement its obligations and alternative responses to serious violations of IOTC CMMs taking into account the FAOs Voluntary Guidelines for Flag State Performance. Reforms to the compliance monitoring program should include the ability of developing CPCs to identify (through the preparation of an Implementation Action Plan) and seek assistance for obligations that they are currently non-compliant with, including for example requesting capacity assistance, capacity building, resources, etc., to enable, overtime, implement its obligations.	<i>Commission and Compliance Committee</i>	Completed/Ongoing. The IOTC should further develop a scheme for the assessment of compliance of a structured approach for cases of infringements, better reflecting partial compliance and critical compliance issues, however, a scheme of response to priority non-compliance areas is done through the Feedback Letter issued during the Commission meeting and forms the basis for the Secretariat, together with concerned CPCs, to develop the Compliance Action Plan.  A proposal to amend Appendix V of the IOTC Rules of Procedure has been submitted for the consideration of S22.	Completed and ongoing.	High
	d) to facilitate thorough reviews of compliance, the Commission should invest in the development and implementation of an integrated electronic reporting program. This should include automatic integration of data from CPCs into the IOTC Secretariat's databases and automatic cross-referencing obligations and reports for the various obligations, in particular related to the provision of scientific data.	<i>Commission and Compliance Committee</i>	Ongoing. Draft technical specifications of an application has been developed. . A validation workshop was conducted in October 2017 and the recommendations from the workshop will be presented to the 2018 meeting of the Compliance Committee, for its consideration and recommendation to the Commission.	Ongoing	Medium

REFERENCE #	RECOMMENDATION	RESPONSIBILITY	UPDATE/STATUS AS OF MAY 2018	TIMELINE	PRIORITY
PRIOTC02.05 ( <a href="#">para. 104</a> )	<p><b>Capacity building (Data Collection)</b></p> <p>The PRIOTC02 <b>RECOMMENDED</b> that:</p> <p>a) the Commission expand its current data support and data compliance missions and that the IOTC Secretariat should be granted increased autonomy to seek and attract external donor funds to support the work approved by the Commission, including supporting actions and/or capacity building initiatives from Compliance Missions that are applicable to more than two CPCs.</p>	<i>Commission</i>	<p>Updated by SC, 7 December 2018.</p> <p>Ongoing. The IOTC Secretariat is actively engaged in a programme of data compliance and support missions but is constrained by current staffing resources within the Data Section.</p> <p>During 2018, data compliance and support missions were conducted in Sri Lanka (February and ongoing for e-monitoring), Indonesia (April/May), Indonesia/Bali (July). and a trip to Pakistan is planned for December. The trip to Sri Lanka included a second (follow-up) training workshop for the adoption of the ROS electronic tools to facilitate the data entry, validation and reporting of observer data to the IOTC Secretariat.</p> <p>External funding for the missions was provided by EU DG-MARE.</p>	Completed and ongoing	High

REFERENCE #	RECOMMENDATION	RESPONSIBILITY	UPDATE/STATUS AS OF MAY 2018	TIMELINE	PRIORITY
	b) the IOTC should continue the workshop series aimed at Connecting the IOTC Science and Management processes. The aims of the workshop series should be to: 1) improve the level of comprehension among IOTC CPCs on how the scientific process informs the management process for managing of IOTC species and ecosystem-based management; 2) increase the awareness of IOTC Contracting Parties to their obligations, as stipulated in the Commissions' Conservation and Management Measures which are based on rigorous scientific advice; 3) improve the decision making process within the IOTC; and 4) to provide direct assistance in the drafting of proposals for Conservation and Management Measures.	<i>Commission &amp; Secretariat</i>	Updated by SC, 7 December 2018. Ongoing. Although this has been replaced by the IOTC Technical Committee on Management Procedures which met for first time in May 2017, TCMP recommended that this meeting is extended from its current one-day format and that more time is spent developing appropriate science-related capacity to facilitate mutual understanding.  An ABNJ-funded capacity building workshops took place in 2017 and another was planned for 2018 to support the TCMP with more direct capacity building for managers from developing CPCs.	Completed and ongoing	High
PRIOTC02.06 ( <a href="#">para. 106</a> )	<b><i>Non-target species</i></b> The PRIOTC02 <b>RECOMMENDED</b> that the Commission should continue to improve upon the requirements of data collection and reporting mechanisms of non-IOTC species that interact with IOTC fisheries.	<i>Commission and Scientific Committee</i>	Updated by SC, 7 December 2018. Ongoing. A new discard data reporting form, which allows the reporting of discards with spatial information and by month, has been established for the collection of data on non-retained bycatch species. Various aspects of the Pilot Project under Res 16/04 also intend to address this issue, including a workshop held in 2018 to review the data collection and reporting standards.	Completed and ongoing	High

REFERENCE #	RECOMMENDATION	RESPONSIBILITY	UPDATE/STATUS AS OF MAY 2018	TIMELINE	PRIORITY
PRIOTC02.07 ( <a href="#">para. 112</a> )	<p><b><i>Quality and provision of scientific advice</i></b></p> <p>The PRIOTC02 <b>RECOMMENDED</b> that:</p> <p>a) the Scientific Committee should continue the good work undertaken since the PRIOTC01 and strive to make further improvements in the way it communicates information about stock status and future prospects for the stocks to the Commission.</p>	<i>Scientific Committee &amp; Working Parties</i>	Updated by SC, 7 December 2018. Ongoing. Revisions and amendments to the Species Executive Summaries are ongoing through various proposals from the WPs and SC that are intended to improve communication. These have been discussed at every SC meeting for the last few years and changes to the documents have been made accordingly. This issue will be further addressed by a project in 2019 specifically addressing the way the uncertainty in stock assessment advice based on data-limited methods is presented.	Completed and ongoing	Medium
	<p>b) an independent peer review process (and budgeting mechanism) for stock assessments should be implemented if IOTC science is to be considered to be in line with best practice and to maintain a high standard of quality assurance.</p>	<i>Scientific Committee &amp; Commission</i>	Updated by SC, 7 December 2018. Ongoing. Invited external experts are routinely invited to participate in the meetings of the WP to provide additional expertise.	Completed and ongoing	High



REFERENCE #	RECOMMENDATION	RESPONSIBILITY	UPDATE/STATUS AS OF MAY 2018	TIMELINE	PRIORITY
	c) the Scientific Committee, through its Working Party on Ecosystems and Bycatch should pursue the application of ecosystem modelling frameworks.	<i>Scientific Committee &amp; Working Party on Ecosystems and Bycatch</i>	Updated by SC, 7 December 2018. Ongoing. The WPEB has recently added an item into its Program of Work on the development for a plan for ecosystem-based fisheries management approaches in the IOTC and has requested the development of a preliminary ecosystem report card template. SC representatives and the Secretariat participated in the tRFMO joint workshop on operationalisation of the EAFM in 2017 and are planning to do so in 2019 and at future meetings. The ecosystem report card methodology was discussed during the 2018 meeting of the WPEB and subsequent workshops to advance the process are being planned for 2019.	Completed and ongoing	Low
	d) continue to develop and adopt robust target and limit reference points, and species or fishery specific harvest control rules through management strategy evaluations, noting that this process has commenced for several species and is specified in IOTC Resolution 15/10 <i>on target and limit reference points and a decision framework</i> . The mandated Resolution 14/03 [superseded by <u>Resolution 16/09</u> ] <i>on enhancing the dialogue between fisheries scientists and managers</i> , will benefit from having communication between the Scientific Committee and the Commission more formally structured, facilitated dialogue to enhance understanding and inform decision making.	<i>Scientific Committee &amp; Commission</i>	Updated by SC, 7 December 2018. Ongoing. The 2 <sup>nd</sup> Meeting of the Technical Committee on Management Procedures took place in 2018 and is due to continue to take place prior to each Commission meeting with the discussion of reference points on the agenda.	Completed and ongoing	High

REFERENCE #	RECOMMENDATION	RESPONSIBILITY	UPDATE/STATUS AS OF MAY 2018	TIMELINE	PRIORITY
	e) the Commission and its subsidiary bodies continue to ensure that meeting schedules and activities are rationalised so that the already heavy workload of those involved, and budgeting constraints, are taken into account.	<i>Commission &amp; Scientific Committee</i>	Updated by SC, 7 December 2018. Ongoing. All Working Parties have ranked the activities in their respective programs of work as high, medium or low and allocated a numerical ranking within the high priority category. These are further prioritised and summarised in paper IOTC-2018-SC21-09.  The Scientific Committee will also discuss the potential to reduce the heavy yearly meeting schedule (by combining intersessional meetings with stock assessment meetings) to reduce the workload of the Secretariat and WPs.	Completed and ongoing	Medium
	f) the Commission fully implements Resolution 12/01 <i>On the implementation of the precautionary approach</i> , so as to apply the precautionary approach, in accordance with relevant internationally agreed standards, in particular with the guidelines set forth in the UNFSA, and to ensure the sustainable utilisation of fisheries resources as set forth in Article V of the IOTC Agreement, including ensuring that a lack of information or increased uncertainty in datasets/stock assessment, is not used as a justification to delay taking management actions to ensure the sustainability of IOTC species and those impacted by IOTC fisheries.	<i>Commission</i>	Updated by SC, 7 December 2018. Ongoing. The precautionary approach is used by SC in the provision of the scientific advice for fishery management.  A harvest control rule was adopted for skipjack tuna, and work is progressing on yellowfin, bigeye and albacore tunas, with support of external funding (FAO ABNJ Tuna Project)  An MSE for swordfish is considered a high priority by the Commission (para. 40, IOTC-2017-S21-R).	Ongoing	High

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	g) while there are budgetary implications, the IOTC Secretariat staffing dedicated to scientific analysis should be increased from 2 to 4 full-time science staff.	<i>Commission</i>	Updated by SC, 7 December 2018. Ongoing. The IOTC science staff section has now increased to 3 persons as the science manager position has been filled since July 2018. A further science coordinator position will be discussed and presented to the 2019 meeting of the Commission	Ongoing	High
PRIOTC02.08 ( <a href="#">para. 123</a> )	<b><i>Adoption of Conservation and Management Measures</i></b> The PRIOTC02 <b>RECOMMENDED</b> that: a) the Commission acknowledge the inherent difficulty in managing small scale and data poor fisheries and continue efforts to adopt adequate fisheries management arrangements and to assist developing coastal States to overcome constraints to implement the CMMs.	<i>Commission</i>	Ongoing: A workshop on data limited methods has been conducted in May 2017.	Completed and ongoing	High
	b) as the IOTC has faced the management of the main targeted stock under its purview only through a regulation of the fishing effort; other approaches should be explored, such as those envisioned in Resolutions 05/01 and 14/02, including catch limits, total allowable catch (TAC) or total allowable effort (TAE).	<i>Commission &amp; Scientific Committee</i>	Updated by SC, 7 December 2018. Ongoing. While TCAC has progressed this work, WPTT agenda has also included the option of alternative management tools. This should be continued in light of Res 17/01 and 16/02 revisions.	Ongoing	High

REFERENCE #	RECOMMENDATION	RESPONSIBILITY	UPDATE/STATUS AS OF MAY 2018	TIMELINE	PRIORITY
	c) the Science-Management Dialogue is strengthened to improve understanding of modern approaches to fisheries management, including the implementation of Harvest Strategies through the use of Management Strategy Evaluation. The Commission adopt a formal process of developing and implementing Harvest Strategies within a prescribed timeframe.	<i>Commission &amp; Scientific Committee</i>	Updated by SC, 7 December 2018. Completed. The Commission adopted Resolution 16/09, establishing a Technical Committee on Management Procedures, formalising a process to facilitate discussion and adoption of harvest strategies. The first meeting of the TCMP took place in May 2017 with a second meeting taking place in May 2018.  The Commission adopted the schedule of work of TCMP including the timelines and process for the development of MSE and adoption of HCR for IOTC Species (Appendix 9 of IOTC-2017-S21-R[E])	Completed and ongoing	High
PRIOTC02.09 ( <a href="#">para. 129</a> )	<b><i>Fishing capacity management</i></b> The PRIOTC02 RECOMMENDED that: a) the IOTC should establish a stronger policy on fishing capacity to prevent or eliminate all excess fishing capacity, including options to freeze capacity levels as an interim measure, while alternative management measures are considered. As current capacity limits are generic and apply across all fleets and their ability to control catch of particular species is limited, therefore alternative management measures should be considered which may include spatial-temporal area closures, quota allocation, etc.	<i>Commission and Scientific Committee</i>	Ongoing: For yellowfin tuna since January 2017 through Resolution 17/01, which superseded Resolution 16/01. For skipjack tuna, Resolution 16/02 sets the Harvest Control Rules	Completed and ongoing	High
	b) the Commission undertake a formal process to develop transfer mechanisms to developing coastal States, and in particular the least developed among them, with a view to realising their fleet development aspirations within sustainable levels.	<i>Commission</i>	No comment from S22	TBD	TBD

REFERENCE #	RECOMMENDATION	RESPONSIBILITY	UPDATE/STATUS AS OF MAY 2018	TIMELINE	PRIORITY
PRIOTC02.10 ( <a href="#">para. 133</a> )	<b>Compatibility of management measures</b> The PRIOTC02 <b>RECOMMENDED</b> that if needed, CPCs request assistance from other CPCs or PRIOTC02.01 (para. 81) the IOTC Secretariat to assist in the assessment of the legal needs to effectively implement IOTC CMMs, noting that this process has already commenced with a number of IOTC Contracting Parties.	<i>Secretariat &amp; CPCs, Compliance Committee</i>	Ongoing: Ten developing CPCs have benefitted from assistance to transpose IOTC resolutions into their legal framework. An additional five years of funding for this type of assistance have been secured through extra-budgetary contributions.	Completed and ongoing.	High
PRIOTC02.11 ( <a href="#">para. 136</a> )	<b>Fishing allocations and opportunities</b> The PRIOTC02 <b>RECOMMENDED</b> that the IOTC develop allocation criteria or any other relevant measures as a matter of urgency through the established Technical Committee on Allocation Criteria (TCAC) process, and that it include consideration of how catches by current non-CPCs would be accounted for. This process should not delay the development and adoption of other management measures, based on the advice of the Scientific Committee.	<i>Commission &amp; Technical Committee on Allocation Criteria</i>	Ongoing. The Technical Committee on Allocation Criteria (TCAC) has held four meetings so far.	Ongoing	TBD
PRIOTC02.12 ( <a href="#">para. 139</a> )	<b>Flag State duties</b> The PRIOTC02 <b>RECOMMENDED</b> that any amendment to or replacement of the IOTC Agreement should include specific provisions on Member's duties as flag States, drawing on the relevant provisions of the UNFSA and take due note of the FAO Guidelines on flag State performance.	<i>Commission and TCPR</i>	A drafting group under the TCPR has been formed and work has commenced on the IOTC Agreement text.	2018-2020	High
PRIOTC02.13 ( <a href="#">para. 144</a> )	<b>Port State measures</b> The PRIOTC02 <b>RECOMMENDED</b> that: a) since port State measures are critical for the control of fishing in the IOTC area and beyond, CPCs should take action to ratify the FAO Agreement on Port State Measures, and the Commission explore possible ways of including ports situated outside the IOTC area known to be receiving IOTC catches in applying port State measures established by the IOTC.	<i>Commission and Compliance Committee</i>	Ongoing. 20 of the 33 CPCs have signed or ratified or accepted or approved or acceded to the FAO PSMA.	Review annually at IOTC meetings.	Medium

REFERENCE #	RECOMMENDATION	RESPONSIBILITY	UPDATE/STATUS AS OF MAY 2018	TIMELINE	PRIORITY
	b) the Commission, through its port State measures training, support the implementation, including support from FAO and other donors, of the requirements of the FAO PSMA and the IOTC Resolution 10/11 <i>On port state measures to prevent, deter and eliminate illegal, unreported and unregulated fishing</i> .	<i>Commission</i>	The IOTC has a well-established capacity building programme for the implementation of port State measures. An online management and communications platform has been developed and in use by the major IOTC port States (13 CPCs), Flag States (19 CPCs) and 9 non-CPCs flag States. 2,466 port calls have been logged through the application.	Review annually at IOTC meetings.	Medium
PRIOTC02.14 ( <a href="#">para. 149</a> )	<b><i>Monitoring, control and surveillance (MCS)</i></b> The PRIOTC02 <b>RECOMMENDED</b> that: a) the IOTC should continue to develop a comprehensive monitoring, control and surveillance (MCS) system through the implementation of the measures already in force, and through the adoption of new measures and tools such as a possible catch documentation scheme, noting the process currently being undertaken within the FAO.	<i>Commission &amp; Compliance Committee</i>	Ongoing. A CDS Working Group for the IOTC exists, but the virtual meetings of this Working Group had been suspended awaiting results from the FAO study on best practices for implementing a CDS.  Extra budgetary are funds available for engaging a consultant to assist the IOTC on developing a comprehensive MCS system, including developing a CDS during 2018/2019.  The Terms of Reference for the recruitment of a consultant has been drafted/submitted to the FAO. It is anticipated that the consultant will conclude his work towards the end of 2018.	Ongoing.	Medium

REFERENCE #	RECOMMENDATION	RESPONSIBILITY	UPDATE/STATUS AS OF MAY 2018	TIMELINE	PRIORITY
	b) as a matter of priority review the IOTC monitoring, control and surveillance (MCS) measures, systems and processes, with the objective of providing advice and guidance on improving the integration of the different tools, identification of gaps and recommendations on how to move forward, taking into consideration the experiences of other RFMOs, and that the review should be used as a basis for strengthening MCS for the purpose of improving the ability of the Commission to deter non-compliance and IUU fishing.	<i>Commission &amp; Compliance Committee</i>	Ongoing. A review of existing IOTC MCS measures is planned to be conducted in 2018/2019  Extra budgetary are funds available for engaging a consultant to assist the IOTC on developing a comprehensive MCS system during 2018/2019.  The Terms of Reference for the recruitment of a consultant has been drafted/submitted to the FAO. It is anticipated that the consultant will conclude his work towards the end of 2018.	Ongoing.	Medium
PRIOTC02.15 ( <a href="#">para. 153</a> )	<b><i>Follow-up on infringements</i></b> The PRIOTC02 <b>RECOMMENDED</b> that: a) the IOTC should establish a scheme of responses to non-compliance in relation to CPCs obligations, and task the Compliance Committee to further develop a structured approach for cases of infringement.	<i>Commission &amp; Compliance Committee</i>	Ongoing. Notably to be implemented through IOTC Resolution 16/06 On measures applicable in case of non-fulfilment of reporting obligations in the IOTC and Resolution 10/10 On market related measures.	Ongoing	High
	b) further develop an online reporting tool to facilitate reporting by CPCs and to support the IOTC Secretariat through the automation of identification of non-compliance.	<i>Commission &amp; Compliance Committee</i>	Ongoing. Draft technical specifications of an application has been developed.  A validation workshop was conducted in October 2017 and the recommendations from the workshop will be presented to the 2018 meeting of the Compliance Committee, for its consideration and recommendation to the Commission.	Review annually at IOTC meetings	Medium

REFERENCE #	RECOMMENDATION	RESPONSIBILITY	UPDATE/STATUS AS OF MAY 2018	TIMELINE	PRIORITY
	c) reasons for the non-compliance should be identified, including whether it is related to the measure itself, a need for capacity assistance or whether it is wilful or repeated non-compliance, and that the Compliance Committee provide technical advice on obligations where there are high level of CPCs non-compliance.	<i>Commission &amp; Compliance Committee</i>	Completed/Ongoing. A scheme of response to non-compliance areas is done through the Feedback Letter issued during the Commission meeting and forms the basis for the Secretariat, together with concerned CPCs, to develop the Compliance Action Plan. This will be further addressed by the WPICMM to enhance the technical capacity of CPCs.	Completed and ongoing.	High
PRIOTC02.16 ( <a href="#">para. 159</a> )	<b><i>Cooperative mechanisms to detect and deter non-compliance</i></b> The PRIOTC02 <b>RECOMMENDED</b> that the Commission considers strengthening the intersessional decision making processes in situations where CPCs have not transmitted a response such that a decision can be taken for effective operational cooperative mechanisms and that the Commission encourages the CPCs to be more involved in decision making and for the Commission to collaborate to the greatest extent possible with other RFMOs.	<i>Commission</i>	Not required in 2017, low priority.	Ongoing	Low
PRIOTC02.17 ( <a href="#">para. 163</a> )	<b><i>Market-related measures</i></b> The PRIOTC02 <b>RECOMMENDED</b> that: a) the Commission considers strengthening the market related measure (Resolution 10/10 <i>Concerning market related measures</i> ) to make it more effective.	<i>Commission and Compliance Committee</i>	To be developed/Ongoing: The <i>ad-hoc</i> Working Group on Catch Documentation System (CDS) should resume its work intersessionally to propose a CDS scheme for the consideration of the Commission. If adopted, the CDS scheme will strengthen market related measures.	Ongoing	High
	b) the Commission considers to invite key non-CPCs market States that are the main recipient of IOTC catches as observers to its meetings with the aim of entering into cooperative arrangements.	<i>Commission</i>	Low priority	TBD	Low



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PRIOTC02.18 ( <a href="#">para. 169</a> )	<b><i>Fishing capacity</i></b> The PRIOTC02 <b>RECOMMENDED</b> that the Commission consider non-compliance with fishing capacity related measures as a priority in the scheme of responses to non-compliance, in order to ensure the sustainable exploitation of the relevant IOTC species.	<i>Commission &amp; Compliance Committee</i>	Ongoing. A scheme of response to non-compliance areas is done through the Feedback Letter issued during the Commission meeting.	Review annually at the IOTC meetings.	High
PRIOTC02.19 ( <a href="#">para. 175</a> )	<b><i>Decision-making</i></b> The PRIOTC02 <b>RECOMMENDED</b> that intersessional processes be utilised (e.g. via formal or informal subsidiary bodies, or through facilitated electronic working groups) such that proposals brought to the Commission have been subject to debate and consideration by all CPCs.	<i>Commission</i>	Ongoing. E.g. development of the new IOTC Agreement texts, review of the Strategic science Plan, review of the Regional Observer Scheme standards.	Ongoing	-
PRIOTC02.20 ( <a href="#">para. 198</a> )	<b><i>Relationship to Non-Cooperating Non-Members (Non-CPCs)</i></b> The PRIOTC02 <b>RECOMMENDED</b> that the IOTC continue to strengthen its actions towards coastal State non-CPCs to have all such coastal States included under its remit, and that Contracting Parties take diplomatic missions to coastal State non-CPCs with active vessels in the IOTC area of competence.	<i>Commission</i>	Ongoing. In addition to the above action, the Secretariat will work with RECOFI members (Bahrain, Iraq, Iran, Kuwait, Oman, Qatar, Saudi Arabia, and United Arab Emirates) to promote membership of IOTC.	Ongoing	Medium

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PRIOTC02.21 ( <a href="#">para. 204</a> )	<p><b>Cooperation with other RFMOs</b></p> <p>The PRIOTC02 <b>RECOMMENDED</b> that:</p> <p>a) the IOTC should further develop mutual recognition and possible exploration of cross-listings of IUU lists with other RFMOs to combat IUU activities globally.</p>	<i>Commission &amp; Compliance Committee</i>	<p>Ongoing. This recommendation should be addressed at the next opportunity when IOTC Resolution 11/03 <i>On establishing a list of vessels presumed to have carried out illegal, unreported and unregulated fishing in the IOTC area of competence</i> is amended.</p> <p>Resolution 11/03 was amended at the 2017 Annual Session, but the concept of cross-listing of IUU vessels was not incorporated in Resolution 17/03.</p> <p>A proposal to amend IOTC Resolution 17/03 (which superseded IOTC Resolution 11/03), to address this specific issue, has been submitted for the consideration of S22.</p>	Review annually at the IOTC meetings	High
	<p>b) The IOTC should develop cooperative mechanisms, such as MoUs, to work in a coordinated manner on issues of common interest, in particular non-target species and an ecosystem approach with other RFMOs especially with SIOFA.</p>	<i>Commission</i>	<p>Updated by SC, 7 December 2018.</p> <p>Ongoing. The IOTC is currently working with other tRFMOs, within the framework of the Kobe process, through joint meetings on the MSE, ecosystem approaches to management, harmonisation of observer schemes and a joint working group on FADs. A porbeagle risk assessment (southern hemisphere) was presented at WPEB in 2017. The IOTC Secretariat, the SC Chair and the Chair of WPEB all participated in the tRFMO joint meeting on EBFM (FAO, Rome) and the FAD Working Group (Madrid) in 2017.</p>	Ongoing	Medium

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PRIOTC02.22 ( <a href="#">para. 211</a> )	<p><b><i>Special requirements of developing States</i></b></p> <p>The PRIOTC02 <b>RECOMMENDED</b> that:</p> <p>a) the continuation and optimisation of the IOTC Meeting Participation Fund indefinitely as part of the IOTC Regular Budget, and that the MPF is used to support participation of all eligible Contracting Parties in order to create a more balanced attendance to both science and non-science meetings of the Commission.</p>	<i>Commission</i>	In 2017, 71 MPF applications were accepted by the IOTC Secretariat, the highest number to date – although a significant proportion of applicants were funded through external funding sources rather than the IOTC regular budget	Completed and ongoing	High

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	b) the IOTC Secretariat in partnership with development agencies and organisations, should develop a five-year regional fisheries capacity development program to ensure coordinated capacity building activities across the region.	<i>Secretariat &amp; Commission</i>	<p>Ongoing. Support have been made available by the World Bank, under the new SWIOFISH (2) project, for a duration of six years, with a total budget of approximately 3,000,000 USD, in order to assist eligible CPCs to strengthen their compliance with IOTC Resolutions and to build MCS capacity (IOTC Circular 2016-093). Extra budgetary funds from the European Commission is also being made available for capacity building activities during 2018/2019.</p> <p>The IOTC Secretariat has been coordinating and cooperating with capacity building opportunities around the region, although a specific plan has not been formulated.</p> <p>Updated by SC, 7 December 2018.</p> <p>Ongoing. A draft Science Strategic Plan has been developed and will be presented to the SC21 as document IOTC–2018–SC21–18. This plan includes the development plan for capacity building.</p> <p>A capacity-building workshop was held in 2018 on CPUE standardization.</p>	Review annually at the Compliance Committee meeting.	Medium

REFERENCE #	RECOMMENDATION	RESPONSIBILITY	UPDATE/STATUS AS OF MAY 2018	TIMELINE	PRIORITY
PRIOTC02.23 ( <a href="#">para. 228</a> )	<p><b><i>Availability of resources for IOTC activities &amp; Efficiency and cost-effectiveness</i></b></p> <p>The PRIOTC02 <b>RECOMMENDED</b> that:</p> <p>a) the IOTC continue to strengthen its actions towards non-paying Contracting Parties including consideration of diplomatic missions to non-paying Contracting Parties to encourage payment and to explore other mechanisms to recover the outstanding contributions (debt) and collaborate with FAO to identify the difficulties faced in recovering outstanding contributions.</p>	<i>Commission</i>	Ongoing. The issue of non-payment has been raised with FAO Permanent Representatives of the Member countries with outstanding contributions	Ongoing	High

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	b) consistent with best practice governance procedures, that the Commission:	<i>Commission &amp; Standing Committee on Administration and Finance</i>	(i) Ongoing A working group was formed- ongoing process	2020	High
	i. Amend or replace the IOTC Financial Regulations (1999) as a matter of urgency in order to increase Contracting Parties' as well as the Secretariat's control of all the budget elements, including staff costs of the budget, consistent with best practice governance procedures.		(ii) The Regional Observer Programme cost recovery system is in place	Ongoing	-
	ii. A system of cost-recovery should be considered as a possible funding mechanism for new activities and/or ongoing activities.		(iii) Completed	2019	High
	iii. An annual external financial audit of the organisation be implemented as soon as possible, and include a focus on whether IOTC is efficiently and effectively managing its human and financial resources, including those of the IOTC Secretariat.		(iv) Ongoing A working group was formed- ongoing process	2020	High
	iv. Develop guidelines for the acceptance of extra-budgetary funds to undertake elements of the Commission's Program of Work, or those of its subsidiary bodies.		(v) Ongoing		-
	v. Explore opportunities to improve efficiency concerning financial contributions, including extra-budgetary funds in support of the Commission's Program of Work, including the possibility of minimising project support costs.		(vi) Completed: The IOTC staff members are covered by the Staff Rules and Regulations, including the system of evaluation know as Performance Evaluation Monitoring System (PEMS)	Ongoing	-
	vi. Develop and implement staff development, performance and accountability evaluations and procedures, for inclusion within the IOTC Rules of Procedure (2014).			Ongoing	

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	c) the Commission, as a matter of urgency, decide whether remaining inside the FAO structure (as an Article XIV body) provides the most suitable means to effectively deliver upon the IOTC Objectives.	<i>Commission, TCPR</i>	In 2018 the TCPR was unable to meet the Commission request on making a recommendation, and requested the Commission to make a decision on this matter.	Ongoing	High
PRIOTC02.24 ( <a href="#">para. 233</a> )	<b>FAO</b> The PRIOTC02 <b>RECOMMENDED</b> that the IOTC would be more appropriate as an independent entity. As such, as a matter of the highest priority, the Commission should decide whether the IOTC should remain within the FAO framework or become a separate legal entity, and as necessary, begin consultations with the FAO on this matter.	<i>Commission</i>	Ongoing, to be further discussed at S23 to inform the new IOTC Agreement	Ongoing	High