Report of the 16th Session of the Standing Committee on Administration and Finance

Hyderabad, India, 12–13 June 2019
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Contact details:

Indian Ocean Tuna Commission
Le Chantier Mall
PO Box 1011
Victoria, Mahé, Seychelles
Tel.: +248 4225 494
Fax: +248 4224 364
Email: iotc-secretariat@fao.org
Website: http://www.iotc.org
ACRONYMS

ABNJ  Areas Beyond National Jurisdiction  
CLAV  Consolidated List of Active Vessels  
CMM  Conservation and Management Measure (of the IOTC; Resolutions and Recommendations)  
CNCP  Cooperating Non-Contracting Parties  
CoC  Compliance Committee, of the IOTC  
CPCs  Contracting Parties and Cooperating non-Contracting Parties  
CSM  Compliance Support Mission  
FAO  Food and Agriculture Organization of the United Nations  
ICRU  Improved Cost Recovery Uplift  
IOTC  Indian Ocean Tuna Commission  
MPF  Meeting Participation Fund  
MSE  Management Strategy Evaluation  
PSC  Project Servicing Costs  
SC  Scientific Committee of the IOTC  
SCAF  Standing Committee on Administration and Finance, of the IOTC  

HOW TO INTERPRET TERMINOLOGY CONTAINED IN THIS REPORT

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

Level 1:  From a subsidiary body of the Commission to the next level in the structure of the Commission:  
RECOMMENDED, RECOMMENDATION: Any conclusion or request for an action to be undertaken, from a subsidiary body of the Commission (Committee or Working Party), which is to be formally provided to the next level in the structure of the Commission for its consideration/endorsement (e.g. from a Working Party to the Scientific Committee; from a Committee to the Commission). The intention is that the higher body will consider the recommended action for endorsement under its own mandate, if the subsidiary body does not already have the required mandate. Ideally this should be task specific and contain a timeframe for completion.

Level 2:  From a subsidiary body of the Commission to a CPC, the IOTC Secretariat, or other body (not the Commission) to carry out a specified task:  
REQUESTED: This term should only be used by a subsidiary body of the Commission if it does not wish to have the request formally adopted/endorsed by the next level in the structure of the Commission. For example, if a Committee wishes to seek additional input from a CPC on a particular topic, but does not wish to formalise the request beyond the mandate of the Committee, it may request that a set action be undertaken. Ideally this should be task specific and contain a timeframe for completion.

Level 3:  General terms to be used for consistency:  
AGREED: Any point of discussion from a meeting which the IOTC body considers to be an agreed course of action covered by its mandate, which has not already been dealt with under Level 1 or level 2 above; a general point of agreement among delegations/participants of a meeting which does not need to be considered/adopted by the next level in the Commission’s structure.  
NOTED/NOTING: Any point of discussion from a meeting which the IOTC body considers to be important enough to record in a meeting report for future reference.

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

The 16th Session of the Standing Committee on Administration and Finance (SCAF) of the Indian Ocean Tuna Commission (IOTC) was held in Hyderabad, India 12-13 June 2019. A total of 66 participants attended the Session, comprising delegates from 23 Contracting Parties, 1 Cooperating Non-Contracting Party, and 3 Observers as well as 5 Invited Experts. The meeting was Chaired by the SCAF Chairperson, Mr Hussain Sinan (Maldives).

The following recommendations were made to the Commission.

Contributions Outstanding

SCAF16.01 Para 26: The SCAF EXPRESSED its concerns that the CPCs that have long-term payment problems (Eritrea, I.R Iran, Sudan and Yemen) were not present at the meeting. The SCAF RECOMMENDED that should any of these CPCs be present at the Commission meeting, they should be invited to provide the Commission with an update on their circumstances.

Programme of Work and Budget Estimates for 2020 and tentatively for 2021

SCAF16.02 Para 41: The SCAF RECOMMENDED that the Commission adopt the Programme of Work and Budget and the scheme of contributions for 2020 and 2021 (indicative) as outlined in Appendix 4 and Appendix 5 respectively, while NOTING that the Program of Work for the IOTC Secretariat is based on the assumption that the nature and extent of the activities undertaken by the IOTC Secretariat will remain within the current scope. Any new activities agreed to during the 23rd Session of the Commission (S23) that have budgetary consequences, will require an amendment of the figures.

Proposed Amendments to the IOTC Financial Regulations

SCAF16.03 Para 43: The SCAF made further amendments to the regulations and RECOMMENDED that the Commission consider the proposed amendments (Appendix 6) and forward an agreed final version to the FAO Finance Committee for consideration in 2019.

Report on the Outcomes of the FAO Internal Audit of the IOTC Secretariat

SCAF16.04 Para 49: The SCAF RECOMMENDED that the Secretariat report to SCAF17 on the actions it has taken in response to the improvements proposed in the Audit Report.

Date and place of the 17th and 18th Sessions of the Standing Committee on Administration and Finance

SCAF16.05 Para 52: The SCAF RECOMMENDED to the Commission that the 17th and 18th Sessions of the SCAF in 2020 and 2021 respectively, should be held prior to the corresponding annual Commission meetings NOTING the dates and locations will be decided during the 23rd Session of the Commission.

Review of the Draft and Adoption of the Report of the 16th Session of the Standing Committee on Administration and Finance

SCAF16.06 Para 54: The SCAF RECOMMENDED that the Commission consider the consolidated set of recommendations arising from SCAF16, provided at Appendix 8.
1. Opening of the Session

1. The 16th Session of the Standing Committee on Administration and Finance (SCAF16) of the Indian Ocean Tuna Commission (IOTC) was held in Hyderabad, India 12-13 June 2019. A total of 66 participants attended the Session, comprising delegates from 23 Contracting Parties, 1 Cooperating Non-Contracting Party, and 3 Observers including 5 Invited Experts. The list of participants is provided in Appendix 1. The meeting was conducted by the SCAF Chairperson, Mr Hussain Sinan (Maldives).

2. Adoption of the agenda and arrangements for the Session

2. The SCAF ADOPTED the Agenda as provided in Appendix 2. The documents presented to the SCAF are listed in Appendix 3.

3. Admission of observers

3. In accordance with Rule XIV of the IOTC Rules of Procedure (2014), the following observers attended the meeting:
   a. Non-governmental Organisations (NGO)
      • International Seafood Sustainable Foundation
      • Pew Charitable Trusts
   b. Invited Experts
      • Taiwan, Province of China.

4. Report of the IOTC Secretariat: 2018


4.1 Support to scientific activities

5. The SCAF NOTED that the work carried out by the IOTC Secretariat in support of the IOTC science processes in 2018 included supporting the Scientific Committee, seven scientific working party meetings and the TCMP. The Secretariat led the drafting of over 60 meeting documents, and the Secretariat’s stock assessment expert produced the 2018 yellowfin tuna assessment. The Secretariat facilitated a training workshop on CPUE for neritic tunas and the ROS standards workshop. In addition, the Science team managed and developed a range of externally funded projects.

6. The SCAF NOTED that the data team continued its work to strengthen the collection, storage and provision of IOTC data, and providing in-country capacity building to CPCs.

4.2 Support to compliance activities

7. The SCAF NOTED that the inaugural meeting of the WPICMM was held in 2018. The Compliance team continued its work maintaining the IOTC vessels lists and supporting the Compliance Committee. The team also coordinated the implementation of the Regional Observer Programme (ROP) to monitor transhipment at sea for large-scale tuna longline vessels, including developing the new ROP contract which was awarded in 2018. The Compliance team also undertook 10 in-country missions in support of the implementation of IOTC CMMs.

8. The SCAF NOTED with concern that the position of IOTC Compliance Manager was not filled in 2018, due to FAO not endorsing the recruitment process undertaken. The Executive Secretary informed the SCAF that the recruitment would be undertaken in 2019.

9. The SCAF NOTED and encouraged CPCs to raise this matter with their FAO Representatives.

4.3 Communications and public information

10. The SCAF NOTED that the Secretariat developed several externally funded projects in 2018 that will require a range of communication activities in future years.

4.4 Support to meetings
11. The SCAF NOTED that the Secretariat continued to facilitate all IOTC meetings in the form of logistical support and preparation of reports and documents. 14 meetings were held in 2018, including the inaugural meetings of the TCPR and WPICMM.

4.5 Information Technology

12. The SCAF NOTED the ongoing development of the E-Maris and e-PSM tools that will assist monitoring control and surveillance activities.

4.6 Administration

13. The SCAF NOTED that the Secretariat continued to improve processes for estimating and monitoring budgets; in addition to introducing new FAO recruitment, travel and contracting processes. The SCAF also NOTED a marked increase in the volume of project management activities undertaken within the Secretariat.

5. Financial Statements

5.1 Financial statement: Fiscal year 2018


15. The SCAF RECALLED that the total budget for 2018 was US$ 3,905,655 but the contributions received amounted to US$ 3,838,743. This constituted a short fall of US$ 66,916. The Commission expenditures in 2018 amounted to US$ 3,302,139. This was US$ 536,604 less than it received in contributions.

16. The SCAF NOTED that the 2018 budget was under spent by US$ 603,516 (a -15% variance). This under-expenditure was mainly due to reduced staff costs as the Science Manager did not commence his duties until the second half of 2018, and the P1 Data Expert post was not filled until the end of the year. In addition, two General Service posts remained vacant.

17. The SCAF NOTED that the Improved Cost Recovery Uplift (ICRU) charges that cover field project personnel costs (for staff and consultants) continued to be applied by FAO in 2018. The SCAF REITERATED its reluctance to accept these charges.

18. The SCAF NOTED an overall saving of 11% in operating expenses in 2018.

19. The SCAF NOTED that extra-budgetary funds continue to be an important part of the overall budget. The extra-budgetary contributions utilised in 2018 totalled US$ 1,644,278.

20. The SCAF NOTED that the overall balance of IOTC funds, as of 31 December 2018, was positive, at around US$ 1.3 million.

5.2 Contributions Outstanding


22. The SCAF NOTED that, as of 31 December 2018, the cumulative total of outstanding contribution payments was US$ 2,889,010 and this constituted an increase of 2% from the previous year. The SCAF also NOTED that 11 Members and 3 ex Members had contributions in arrears.

23. The SCAF NOTED that, as of the SCAF16 meeting date (12 June 2019), seven members: Eritrea, I.R. Iran, Mozambique, Sierra Leone, Federal Republic of Somalia, Sudan and Yemen had contributions that were in arrears by two years or more. The SCAF REITERATED that the financial position of the Commission is a shared responsibility of all Contracting Parties (Members) and the level of unpaid contributions merits immediate attention from those concerned.

24. The SCAF ACKNOWLEDGED a range of difficulties being faced by CPCs to pay their contributions on time and NOTED that many CPCs have financial cycles that are not compatible with the deadlines for the IOTC contribution payments.

25. The CPCs that had contributions outstanding updated the SCAF on the status of, and plans for, their pending contribution payments.
26. The SCAF **EXPRESSED** its concerns that the CPCs that have long-term payment problems (Eritrea, I.R Iran, Sudan and Yemen) were not present at the meeting. The SCAF **RECOMMENDED** that should any of these CPCs be present at the Commission meeting, they should be invited to provide the Commission with an update on their circumstances.

27. The SCAF **REQUESTED** the Executive Secretary to use the FAO network to contact the three ex-members of IOTC (Belize, Guinea and Vanuatu) and attempt to obtain their outstanding contributions.

28. The SCAF **NOTED** the Secretariat’s request for guidance on the interpretation of Regulation V.3 of the IOTC financial regulations related to the definition of arrears. The outcomes of the SCAF’s deliberations are reflected in the proposed amendments to the IOTC Financial Regulations in Appendix 6. The SCAF **NOTED** that there was no agreement on the interpretation of ‘arrears’.

29. Some CPCs informed the SCAF that they are not receiving the Call For Funds sent out by FAO (invoices for the IOTC contributions) or are receiving them late. The SCAF **REQUESTED** the Secretariat to work with CPs to confirm the addresses being used by FAO.

### 5.3 IOTC Meeting Participation Fund

30. The SCAF **NOTED** document IOTC–2019–SCAF16–06 which provides past and present details of the MPF. A total of 122 participants were supported by the MPF in 2018 and the total expenditure was US$ 250,903.

31. The SCAF also **NOTED** the importance of extra-budgetary contributions in 2018. These amounted to $50,903 and were essential in meeting the current demand for MPF support.

32. The SCAF **REITERATED** the importance of the MPF to ensure the full participation of CPCs to IOTC meetings, and to this end, the SCAF **AGREED** that the annual MPF budget should be increased to US$ 250,000.

33. The SCAF **ACKNOWLEDGED** the extra contributions to the MPF received from China and Australia in 2018 and **WELCOMED** their respective commitments to make similar contributions.

### 6. Programme of Work and Budget Estimates for 2020 and tentatively for 2021

34. The SCAF **NOTED** document IOTC–2019–SCAF16–07 which outlined the budget estimates for the IOTC Secretariat’s Program of Work for the financial period 1 January to 31 December 2020, together with indicative figures for the 2021 financial period.

35. The SCAF **NOTED** that the proposed budget for 2020 constituted a 3% overall increase from the 2019 budget.

36. The SCAF **NOTED** that the budget lines for capacity building in 2020 had been reduced. The Executive Secretary informed the SCAF that capacity building activities would not be reduced despite the reduction in the budget, as this work would continue through the use of extra budgetary sources.

37. Australia confirmed that it would contribute AUD$ 300,000 over 3 years to the IOTC’s proposed work on the yellowfin tuna MSE. The SCAF **THANKED** Australia for this extra-budgetary contribution.

38. As a result of this contribution, the SCAF **AGREED** that the Consultants/Service Providers budget line (which included some MSE work) should be reduced by US$ 50,000 and the MPF budget increased by this amount to US$ 250,000 (as proposed in para 32 above).

39. Australia informed the SCAF that it plans to contribute AUD$ 40,000 over 2 years (2020/2021) to support capacity building in VMS in the IOTC Area.

40. The SCAF **AGREED** on an Administrative Budget for 2020 of US$ 4,367,285 (Appendix 4). The SCAF also **AGREED** on the corresponding revised table of contributions (Appendix 5) and **NOTED** that Sierra Leone had been re-included in the table for 2020, **NOTING** that Sierra Leone had not paid their contributions for a number of years.

41. The SCAF **RECOMMENDED** that the Commission adopt the Programme of Work and Budget and the scheme of contributions for 2020 and 2021 (indicative) as outlined in Appendix 4 and Appendix 5, respectively, while **NOTING** that the Program of Work for the IOTC Secretariat is based on the assumption that the nature and extent of the activities undertaken by the IOTC Secretariat will remain within the current scope. Any new activities agreed to during the 23rd Session of the Commission (S23) that have budgetary consequences, will require an amendment of the figures.
7. Proposed Amendments to the IOTC Financial Regulations

42. The SCAF NOTED document IOTC-2019-SCAF16-08, produced by a SCAF working group, that provided proposed amendments for the IOTC Financial Regulations.

43. The SCAF made further amendments to the regulations and RECOMMENDED that the Commission consider the proposed amendments (Appendix 6) and forward an agreed final version to the FAO Finance Committee for consideration in 2019.

8. Report on the Outcomes of the FAO Internal Audit of the IOTC Secretariat


45. The SCAF NOTED that the main objective of the review was to assess whether the IOTC Secretariat is managing its administrative and financial operations in an economic, efficient and effective way. This included assessing:
   (i) the general control environment at the IOTC Secretariat;
   (ii) governance and the impact of the IOTC status as an Article XIV body and its relation with FAO, in the economy, efficiency and effectiveness of its operations;
   (iii) the extent to which financial and administrative operations are conducted with due care and in compliance with FAO rules.

46. The SCAF NOTED that the audit concluded that the Secretariat is now operating in a strong control environment and with general adherence to FAO’s policies and procedures; and it has a solid administrative team with a strong knowledge of FAO rules and regulations, under strong leadership. The report also identified a range of opportunities for further improvements.

47. The SCAF NOTED proposals to amend the IOTC Rules of Procedures are publicly available 60 days before Commission meetings and NOTED the FAO has participatory rights in IOTC meetings. The SCAF NOTED the FAO should make use of these processes to consult with the IOTC on amendments to its Rules of Procedures.

48. The SCAF NOTED CPCs’ ongoing commitment to develop a process for selection and appointment of the IOTC Executive Secretary that was mutually agreeable to the Commission and the FAO.

49. The SCAF RECOMMENDED that the Secretariat report to SCAF17 on the actions it has taken in response to the improvements proposed in the Audit Report.

9. Update on the SCAF Actions Related to the 2nd Performance Review (Resolution 16/03 on the second performance review follow-up)

50. The SCAF NOTED paper IOTC–2019–SCAF16–08 which outlined the four actions allocated to the SCAF by the Commission arising from the 2nd Performance Review of the IOTC (IOTC-2016-PRIOTC02-R).

51. The SCAF DISCUSSED each action and updated the status, timelines and priorities for each (Appendix 7).

10. Other business

10.1 Date and place of the 17th and 18th Sessions of the Standing Committee on Administration and Finance

52. The SCAF RECOMMENDED to the Commission that the 17th and 18th Sessions of the SCAF in 2020 and 2021 respectively, should be held prior to the corresponding annual Commission meetings NOTING the dates and locations will be decided during the 23rd Session of the Commission.

53. The SCAF was unanimous in THANKING India for hosting the 16th Session of the SCAF and commended the local authorities of Hyderabad on the warm welcome, the excellent facilities and the assistance provided to the IOTC Secretariat in the organisation and running of the Session.
11. Review of the Draft and Adoption of the Report of the 16th Session of the Standing Committee on Administration and Finance

54. The SCAF RECOMMENDED that the Commission consider the consolidated set of recommendations arising from SCAF16, provided at Appendix 8.

55. The report of the 16th Session of the Standing Committee on Administration and Finance (IOTC–2019–SCAF16–R) was ADOPTED on 13 June 2019.
Appendix 1
List of participants

Chairperson
Mr. Hussain Sinan  
Ministry of Fisheries, Marine Resources and Agriculture  
hussain.sinan@fishagri.gov.mv

AUSTRALIA
Ms. Susan Howell  
Department of Agriculture and Water Resources  
susie.howell@agriculture.gov.au

Mr. Trent Timmiss  
Tuna and International Fisheries, Australian Fisheries Management Authority  
trent.timmiss@afma.gov.au

BANGLADESH
Head of Delegation
Mr. K. M. Shahriar Nazrul  
Department of Fisheries, Ministry of Fisheries & Livestock, Bangladesh  
shahriar_rimon@yahoo.com

CHINA
Head of Delegation
Dr. Liu Liming  
Bureau of Fisheries  
397257549@qq.com

Advisor(s)
Dr. Liuxiong Xu  
Shanghai Ocean University  
lxxu@shou.edu.cn

Dr. Xiaoboing Liu  
Shanghai Ocean University  
xiaobing.liu@hotmail.com

Dr. Xiaolin Chu  
Bureau of Fisheries  
xlchu@shou.edu.cn

Mr. Li Yan  
China Overseas Fisheries Association  
liyancnfj@outlook.com

Mr. Sun Chong  
China Overseas Fisheries Association  
admin11@tuna.org.cn

COMOROS
Head of Delegation
Mr. Said Soilih Ahmed  
Direction Générale des Ressources Halieutiques  
ahmed_ndevou@yahoo.fr

Alternate
Mr. Said Boina  
Direction Générale des Ressources Halieutiques  
dalaili@live.fr

EUROPEAN UNION
Head of Delegation
Ms. Angela Martini  
European Commission  
angela.martini@ec.europa.eu

Alternate
Ms. Laura Marot  
European Commission - DG MARE  
laura.marot@ec.europa.eu

Advisor(s)
Mr. Antonio L. Palomares  
Secretaria General de Pesca  
alizcano@mapa.es

Mr. Fabien LE Galloudec  
French Ministry for agriculture and food  
fabien.le-galloudec@agriculture.gouv.fr

Mr. Anertz Muniategi  
ANABAC  
anabac@anabac.org

Dr. Hilario Murua  
AZTI TECNALIA  
HMURUA@AZTI.ES

FRANCE(OT)
Head of Delegation
Ms. Anne-France Mattlet  
Direction des pêches maritimes et de l'aquaculture, Ministère de l'agriculture et de l'alimentation  
anne-france.mattlet@agriculture.gouv.fr

Mr. Nicolas Vuillaume  
CLS  
nvuillaume@groupcls.com

Mr. Thierry CLOT  
French Southern and Antarctic Lands  
thierry.clot@taaf.fr

INDIA
Head of Delegation
Dr. P. Paul Pandian  
Department of Fisheries, Ministry of Agriculture & Farmers Welfare  
pl_pndn@yahoo.com

Advisor(s)
Dr. Sanjay Pandey  
Department of Fisheries, Ministry of Agriculture & Farmers Welfare, New Delhi  
sanjay_rpandey@yahoo.co.in

Mr. G. Srinivas  
National Fisheries Development Board (NFDB)  
srinivassgangi@gmail.com

INDONESIA
Head of Delegation
Mr. Trian Yunanda  
Ministry of Marine Affairs and Fisheries  
sdi.djpt@yahoo.com; tryand_fish@yahoo.com

Alternate
Mr. Zulkamaen Fahmi  
Ministry of Marine Affairs and Fisheries

Advisor(s)
Ms. Ismayanti  
Ministry of Marine Affairs and Fisheries  
ismayanti@kkp.go.id

Prof. Dr. Indra Jaya  
Bogo Agricultural University  
indrajaya123@gmail.com

Ms. Riana Handayani  
Ministry of Marine Affairs and Fisheries  
sdi.djpt@yahoo.com

JAPAN
Head of Delegation
Mr. Takahiro Ara  
Fisheries Agency of Japan  
takahiro_ar020@maff.go.jp
Advisor(s)
Mr. Takatsugu Kudoh
Fisheries Agency of Japan
takatsugu_kudo250@maff.go.jp

KENYA
**Head of Delegation**
Mr. Stephen Ndegwa
Kenya Fisheries Service
ndegwa@fish.co.ke

Advisor(s)
Mr. Isaac Wafula Barasa
Kenya Fisheries Service
barasawafula71@gmail.com

KOREA, REPUBLIC OF
**Head of Delegation**
Mr. Seunglyong Kim
Ministry of Oceans and Fisheries
kpoksl6868@korea.kr

Alternate
Mr. ILKANG NA
Ministry of Oceans and Fisheries
ikna@korea.kr

MADAGASCAR

MALAYSIA
**Head of Delegation**
Mr. Sallehudin Jamon
Department of Fisheries
sallehudin_jamon@dof.gov.my

MALDIVES
**Head of Delegation**
Dr. Mohamed Shiham Adam
Ministry of Fisheries, Marine Resources and Agriculture
shiham.adam@fishagri.gov.mv

Alternate
Mr. Ahmed Shifaz
Ministry of Fisheries, Marine Resources and Agriculture
ahmed.shifaz@fishagri.gov.mv

Advisor(s)
Mr. Adam Ziyad
Ministry of Fisheries, Marine Resources and Agriculture
adam.ziyad@fishagri.gov.mv

MAURITIUS

MOZAMBIQUE
**Head of Delegation**
Ms. Cláudia Tomás De Sousa
Ministry of Sea, Inland Waters and Fisheries
ctomas2013@gmail.com

Alternate
Mr. Leonid Chimarizene
Ministry of Sea, Inland Waters and Fisheries
leonidmz@gmail.com

Advisor(s)
Mr. Avelino Munwane
Ministry of Sea, Inland Waters and Fisheries
avelinomunwane@gmail.com

Mr. Erudito Malate
Ministry of Sea, Inland Waters and Fisheries
malateditoro@gmail.com

SEYCHELLES
**Head of Delegation**
Mr. Roy Clarisse
Ministry of Fisheries & Agriculture
rclarisse@gov.sc

Advisor(s)
Mr. Johnny Louys
Seychelles Fishing Authority
jlouys@sfa.sc

Mr. Vincent Lucas
Seychelles Fishing Authority
vlucas@sfa.sc

SIERRA LEONE

SOMALIA
**Head of Delegation**
Mr. Abdirahim Sheik Heile
Ministry of Fisheries and Marine Resources
sgunrahim@yahoo.com

Advisor(s)
Ms. Chonticha Kumyoo
Department of Fisheries and Aquatic Resources
chonticha_khamyu@hotmail.com

Ms. Jaruwan Songphatkaew
Department of Fisheries
ying_blackdot@hotmail.com

SOUTH AFRICA
**Head of Delegation**
Mr. Saasa Pheeha
Department of Agriculture, forestry & Fisheries
saasap@daff.gov.za

Advisor(s)
Ms. Buyekawa Mamalia
Department of Agriculture, forestry & Fisheries
BuyekazwaP@daff.gov.za

SRI LANKA
**Head of Delegation**
Ms. Kalyani Hewapathirana
Department of Fisheries and Aquatic Resources
hewakal2012@gmail.com

TANZANIA, UNITED REPUBLIC OF
**Head of Delegation**
Dr. Rashid A. Tamatamah
Deep Sea Fishing Authority
rashid.tamatamah@uvuvi.go.tz

Alternate
Dr. Islam S. Salum
Deep Sea Fishing Authority
isla.salum@dsfa.go.tz

Advisor(s)
Dr. Omar Amir
Ministry of Agriculture, Natural Resources, Livestock and Fisheries
oamakando@gmail.com

Dr. Emmanuel Andrew Sweke
Deep Sea Fishing Authority
emmanuel.sweke@dsfa.go.tz

Mr. Peter S. Peter
Deep Sea Fishing Authority
pshunula20@gmail.com

THAILAND
**Head of Delegation**
Ms. Sampan Panjarat
Department of Fisheries
sapanjarat@yahoo.com

Advisor(s)
Ms. Chonticha Kumyoo
Department of Fisheries
chonticha_khamyu@hotmail.com

Ms. Jaruwon Songphatkaew
Department of Fisheries
ying_blackdot@hotmail.com

UNITED KINGDOM(OT)
**Head of Delegation**
Dr. Chris Mees
MRAG Ltd
c.mees@mrag.co.uk
Liberia

Senegal
Mr. Mamadou Seye
Direction pêches maritimes
mdseye@gmail.com

Curacao
Mr. Ramon Chong
International Fisheries Commission
Ramon.Chong@gobiernu.cw

Mr. Gersley Gijsbertha
Ministry of Economic Affairs
Gersley.Gijsbertha@gobiernu.cw

Cooperating Non-Contracting Parties

Mr. Adama Faye
Direction de la Protection et de la Surveillance des Pêches
adafaye2000@yahoo.fr

Observers

International Seafood Sustainability Foundation (ISSF)
Ms. Claire van der Geest
cvandergeest@iss-foundation.org

The Pew Charitable Trusts (PEW)
Dr. Glen Holmes
gholmes@pewtrusts.org

Invited Expert

Mr. Ming-Fen WU
Fisheries Agency
mingfen@msl.fa.gov.tw

Ms. I-Lu Lai
Fisheries Agency
ilu@msl.fa.gov.tw

Mr. Chien-Nan Lin
Fisheries Agency
chienan@msl.fa.gov.tw

Mr. Tsung-Yueh Tang
Fisheries Agency
tangty@ofdc.org.tw

Secretariat

Dr. Chris O'Brien
Chris.Obrien@fao.org

Mr. Gerard Domingue
Gerard.Domingue@fao.org

Mr. Howard Whalley
Howard.Whalley@fao.org

Mr. Florian Giroux
Florian.Giroux@fao.org

Mr. Olivier Roux
olivier@otolithe.com

Ms. Mirose Govinden
Mirose.Govinden@fao.org

Ms. Lucia Pierre
Lucia.pierre@fao.org

Interpreters

Mr. Tyrone Carbone
t.carbone@aiic.net

Ms. Annie Helene Trottier
a.trottier@aiic.net

Ms. Vandana Kawlra
Vandana.Kawlra@gmail.com

Mr. Guillaume Fleury
pfleury_sg@yahoo.com.sg
Appendix 2
Agenda of the 16th Session Standing Committee on Administration and Finance

Date: 12-13 June 2019
Location: Hotel Novotel Conference Centre, Hyderabad, India
Chairperson: Mr Hussain Sinan (Maldives); Vice-Chairperson: Mr Muhammad Farhan Khan (Pakistan)

Wednesday, 12 June: 09:00 – 17:00

1. OPENING OF THE SESSION
2. LETTERS OF CREDENTIALS / ADMISSION OF OBSERVERS
5. FINANCIAL STATEMENTS
   5.2 Contributions Outstanding —IOTC-2019-SCAF16-05_Rev1
   5.3 IOTC Meeting Participation Fund — IOTC-2019-SCAF16-06
7. PROPOSED AMENDMENTS TO THE IOTC FINANCIAL REGULATIONS – IOTC-2019-SCAF16-09
9. UPDATE OF THE SCAF ACTIONS RELATED TO THE 2ND PERFORMANCE REVIEW — IOTC-2019-SCAF16-08
   The SCAF is responsible for four actions arising from the recommendations from the Report of the 2nd IOTC Performance Review Panel (IOTC-2016-PRIOTC02-R). The SCAF is invited to discuss the progress of these activities.
10. OTHER BUSINESS
   10.1 Date and place of the 17th and 18th Sessions of the Standing Committee on Administration and Finance.

Thursday, 13 June: 14.00 – 17.00
ADOPTION OF THE REPORT OF SCAF16
## Appendix 3

### List of Documents

<table>
<thead>
<tr>
<th>Document</th>
<th>Title</th>
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<tr>
<td>IOTC–2019–SCAF16–01a</td>
<td>Draft agenda for SCAF16 (12 April).</td>
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<tr>
<td>IOTC–2019–SCAF16–01b</td>
<td>Annotated draft agenda for SCAF16 (13 May).</td>
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<td>IOTC–2019–SCAF16–08</td>
<td>Update on progress implementing the recommendations of the second performance review.</td>
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## Appendix 4

### Proposed budget for 2020 and indicative budget for 2021 (in US$)

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<tr>
<th>Category</th>
<th>Actuals 2018</th>
<th>2019</th>
<th>2020</th>
<th>2021</th>
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<td><strong>1.1 Professional</strong></td>
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<td>185,095</td>
<td>188,797</td>
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<td>0</td>
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<td>Stock Assessment Expert (P4)</td>
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<td>108,327</td>
<td>117,749</td>
<td>120,104</td>
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<td>106,949</td>
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<td>135,319</td>
<td>138,025</td>
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<td><strong>2 Operating Expenditures</strong></td>
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### Appendix 5 Scale of Contributions for 2019 (in US$)

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</table>

The World Bank has replaced GNP with gross national income (GNI per capita). GNI more fairly compares nations with widely different populations and standards of living.
Appendix 6
Proposed Financial Regulations

Regulation I - Applicability
1. These regulations shall govern the financial administration of the INDIAN OCEAN TUNA COMMISSION.
2. The financial rules and procedures of FAO shall apply to the activities of the Commission for matters not covered by these Regulations.

Regulation II - The Financial Period
The financial period shall be one calendar year, commencing from January 1 and ending 31 December, both dates inclusive.

Regulation III - The Budget
1. The Budget Estimates for the current year and the draft budget for the ensuing and following year shall be prepared by the Executive Secretary of the Commission and shall be circulated to all Contracting Parties (Members) of the Commission not less than 60 days before the commencement of each regular session.
2. The Operating Budget for the current year and the draft budget for the ensuing and following year shall cover income and expenditures for the financial period to which they relate, and shall be presented in United States dollars (US$).
3. The Operating Budget for the current year and the draft budget for the ensuing and following year shall reflect the programme of work for the financial period elaborated by appropriate information and data, and shall include the programme of work and such other information, annexes or explanatory statements as may be requested by the Commission.
4. The Budget shall comprise:
   (a) The Administrative Budget referred to in paragraph 5 relating to the regular contributions of Contracting Parties (Members) of the Commission payable under Article XIII.1 of the Agreement for the Establishment of the Indian Ocean Tuna Commission (the Agreement) and expenditures chargeable to the budget of the Commission under Article VIII, paragraphs 3 and 4: The Administrative Budget shall reflect in an appropriate manner the expenses to be borne by FAO under Article VIII, paragraph 3;
   (b) The Special Budgets relating to funds made available during the financial period referred to in Paragraph 7 relating to special budgets proposed by the Executive Secretary;
   (b)(c) The Trusts Funds referred to in Article VI, Paragraph 1 relating to funds available during the financial period from donations and other forms of assistance received from organizations, individuals and other sources.
5. The Administrative Budget for the current year shall consist of provisions for:
   - Administrative Expenditures, including an amount to cover the Organization’s FAO’s Project Servicing costs equal to 4.5% of the total Budget of the Commission.
   - Expenditure for the activities of the Commission. Estimates under this chapter may be presented in a single total only but detailed estimates for each particular project will be prepared and approved as “supplementary details” of the Administrative Budget.
   - Contingencies will cover expenditures that exceed operating costs
   - Working Capital as stipulated in Article IV, Paragraph 5.
6. The Administrative Budget shall be adopted considered by Standing Committee of Finance and Administration (SCAF) and subsequently adopted by the Commission with such amendments as the Commission may deem necessary.
7. A mid-term review of the current year shall be prepared by the Secretariat and shall be considered by SCAF and adopted by the Commission reflecting any changes in appropriations.
8. Special Budgets may be proposed by the Executive Secretary and adopted by the Commission in exceptional circumstances as appropriate. Special Budget proposals shall be prepared in a form consistent with the approved budget.
The provisions of these regulations shall be applicable to the proposed [special] budget to the extent possible.


Regulation IV - Appropriations

1. After the budgets have been adopted the appropriations therein shall constitute the authority for the Commission to incur obligations and make payments for the purposes for which the appropriations were voted and up to the amounts so voted.

2. In cases of emergency, the Executive Secretary on advice from the Chairperson of the Commission is authorized to accept additional contributions from a Contracting Party [Member] or Contracting Parties [Members] of the Commission or grants from other sources and incur expenditure against them for emergency action for which the said contributions or grants were specifically provided. Such contributions or grants and expenditure relating thereto will be reported in detail to the next regular session of the Commission.

3. Any unliquidated prior year obligation shall be cancelled or where an obligation remains a valid charge, transferred against current appropriations.

4. Transfers between provisions as per Regulation 3.5 may be effected by the Commission on the recommendation of the Secretary of the Commission. The Executive Secretary may authorize the transfer of up to [150] percent of appropriations between sub-items as specified in Article III.5 of this Regulations upon approval from the Chairperson of the Commission until a mid-term review. The Executive Secretary may authorize the transfer of up to [10] percent after a mid-term review. All such transfers must be reported to the next annual meeting of the Commission the following year.

5. The Commission shall establish a working capital fund for the purpose of accommodating operating expenditures prior to the receipt of funds from members of the Commission. The source of this working capital fund shall be surplus appropriations accumulated over the years. The Commission shall consider establishing a rules of procedure for the operation of the working capital fund which will include a mechanism to fund the working capital fund if there are no surplus appropriations. The Contracting Parties shall not interpret the funds in working capital as a means of avoiding contributions.

Regulation V - Provision of Funds

1. The appropriations of the Administrative Budget shall be financed by:

   a) contributions from Contracting Parties [Members] of the Commission determined and payable in accordance with Article XIII paragraphs 1, 3 and 4 of the Agreement. Pending receipt of annual contributions, the Executive Secretary is authorized to finance budgeted operating expenditures or other such expenditures the Commission may approve, from the Working Capital Fund. Pending receipt of annual contributions, the Commission is authorized to finance budgeted expenditure from the uncommitted balance of the Administrative Budget.

   b) Voluntary contributions made by members, CNCPs or other entities;

   c) Other funds to which the Commission may become entitled or may receive.

2. Before the beginning of each calendar year the following the adoption of the budget, the Executive Secretary shall inform the Commission's Contracting Parties [Members] of their obligations in respect of annual contributions to the budget, in addition to any arrears which Member have incurred into.

3. Contributions shall be due and payable in full within 30 days of the receipt of the communication of the Secretary referred to in Regulation V.2 above, or as of the first days of the calendar year to which they relate, whichever is later. As of 1 January of the following calendar year, the unpaid balance of such contributions shall be considered to be one year in arrears, irrespective of whether the full or a partial amount remains unpaid.

or

3b Contributions shall be due and payable in full as soon as possible and not later than [1 March/ 1June] of the calendar year to which they relate. As of [2 March /2 June] in the calendar year to which the contributions relate, the unpaid balance of such contributions shall be considered to be one year in arrears.
3.4. The annual contributions to the Administrative Budget shall be assessed in United States dollars and shall be calculated in accordance with the scheme annexed to these Regulations and forming an integral part thereof. The contributions shall be paid in US dollars unless otherwise determined by the Commission.

5. Any new Contracting Party (Member) of the Commission shall pay a contribution to the budget in accordance with the provisions of Article XIII, paragraph 3 of the Agreement for the financial period in which the membership becomes effective, such contribution beginning with the quarter in which membership is acquired.

4-6. The Executive Secretary shall submit to each regular session of the Commission a report on the collection of funds from Members of the Commission, any voluntary contributions, or any other revenue income received, and any advances made from the working capital fund.

Regulation VI - Funds

1. All contributions, donations and other forms of assistance received from organisations, individuals and other sources under Article XIII, paragraph 6 of the Agreement, may be placed in a Trust Fund administered by the Director-General in conformity with the Financial Regulations of FAO upon approval of the Commission.

2. The purpose and limits of each trust fund, reserve and special account shall be clearly defined by the Commission.

4-3. With respect to the Trust Fund referred to in Regulation VI.1, the Organization FAO shall maintain accounts:

4.1. A General Account to which shall be credited receipts of all contributions paid under Article XIII, paragraph 1 and from which shall be met all expenditure chargeable against the sums allocated to the annual Administrative Budget.

4.2. Such additional accounts as may be necessary to which shall be credited the additional contributions under Regulation IV.2 and from which shall be met all expenditures relating thereto.

4. The Executive Secretary shall submit a report indicating the status of the Trust Fund to each regular session of the Standing Committee on Administration and Finance (SCAF) Commission.

Regulation VII

These Regulations may be amended by the Commission in accordance with Article VI, paragraph 7.

Regulation VIII

SCAF shall review and forward to the Commission its comments, if any, on the reports the Executive Secretary is required by these regulations to be submitted the Commission.
## Appendix 7

**SCAF: Update On Progress Regarding Resolution 16/03 – On The second Performance Review Follow–up**

*(NOTE: NUMBERING AND RECOMMENDATIONS AS PER APPENDIX I OF RESOLUTION 09/01)*

<table>
<thead>
<tr>
<th>Reference #</th>
<th>Recommendation</th>
<th>Responsibility</th>
<th>Update/Status</th>
<th>Timeline</th>
<th>Priority</th>
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<tr>
<td>PRIOTC02.23 (para. 228)</td>
<td><strong>Availability of resources for IOTC activities &amp; Efficiency and cost-effectiveness</strong> b) The PRIOTC02 RECOMMENDED that: consistent with best practice governance procedures, that the Commission: (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.</td>
<td><strong>Standing Committee on Administration and Finance</strong></td>
<td><strong>STATUS</strong></td>
<td>2020</td>
<td><strong>HIGH</strong></td>
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<td><strong>WORKING GROUP FORMED. ONGOING PROCESS</strong></td>
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<td>(ii). A system of cost-recovery should be considered as a possible funding mechanism for new activities and/or ongoing activities.</td>
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<td>(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.</td>
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<td>(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.</td>
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| | **A COST RECOVERY PROCESS IS BEING APPLIED TO R.O.P** | | | | |
| | **CARRIED OUT FEB 2019. SCAF TO ESTABLISH MONITORING MECHANISM** | | | | |
| | **WORKING GROUP FORMED. ONGOING PROCESS** | | | | |

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Appendix 8
Consolidated set of recommendations

Contributions Outstanding

SCAF16.01. Para 26: The SCAF EXPRESSED its concerns that the CPCs that have long-term payment problems (Eritrea, I.R Iran, Sudan and Yemen) were not present at the meeting. The SCAF RECOMMENDED that should any of these CPCs be present at the Commission meeting, they should be invited to provide the Commission with an update on their circumstances.

Programme of Work and Budget Estimates for 2020 and tentatively for 2021

SCAF16.02. Para 41: The SCAF RECOMMENDED that the Commission adopt the Programme of Work and Budget and the scheme of contributions for 2020 and 2021 (indicative) as outlined in Appendix 4 and Appendix 5 respectively, while NOTING that the Program of Work for the IOTC Secretariat is based on the assumption that the nature and extent of the activities undertaken by the IOTC Secretariat will remain within the current scope. Any new activities agreed to during the 23rd Session of the Commission (S23) that have budgetary consequences, will require an amendment of the figures.

Proposed Amendments to the IOTC Financial Regulations

SCAF16.03. Para 43: The SCAF made further amendments to the regulations and RECOMMENDED that the Commission consider the proposed amendments (Appendix 6) and forward an agreed final version to the FAO Finance Committee for consideration in 2019.

Report on the Outcomes of the FAO Internal Audit of the IOTC Secretariat

SCAF16.04. Para 49: The SCAF RECOMMENDED that the Secretariat report to SCAF17 on the actions it has taken in response to the improvements proposed in the Audit Report.

Date and place of the 17th and 18th Sessions of the Standing Committee on Administration and Finance

SCAF16.05. Para 52: The SCAF RECOMMENDED to the Commission that the 17th and 18th Sessions of the SCAF in 2020 and 2021 respectively, should be held prior to the corresponding annual Commission meetings NOTING the dates and locations will be decided during the 23rd Session of the Commission.

Review of the Draft and of the Report of the 16th Session of the Standing Committee on Administration and Finance

SCAF16.06. Para 55: The SCAF RECOMMENDED that the Commission consider the consolidated set of recommendations arising from SCAF16, provided at Appendix 8.