



Report of the 2nd Meeting of the AD HOC Working Group on Appendix V of the IOTC Rules of Procedure

Held by video-conference, 25 September 2024

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IOTC-2024-WGAV02-R[E]. Report of the Second Meeting of the AD HOC Working Group on Appendix V of the IOTC Rules of Procedure . Held virtually (Zoom), 2024. *IOTC-2024-WGAV02-R[E]: 11 pp.*

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Acronyms

CMM	conservation and management measure (of the IOTC; Resolutions and Recommendations)
CoC	Compliance Committee
CPCs	Contracting Parties (Members) and Cooperating non-Contracting Parties
CQ	Compliance Questionnaire
e-MARIS	Electronic Monitoring And Reporting Information System
e-RAV	Electronic Record of Authorised Vessels
FAO	Food and Agriculture Organization of the United Nations
IR	Implementation Report
IOTC	Indian Ocean Tuna Commission
SWS	Statistical Working System
WGAV	<i>Ad Hoc</i> Working Group on Appendix V of the IOTC Rules of Procedure

HOW TO INTERPRET TERMINOLOGY CONTAINED IN THIS REPORT

This 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 Contracting Party or Cooperating Non-Contracting Party (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 formalize 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 the 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 the 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 2nd Meeting of the *Ad Hoc* Working Group on Appendix V of the IOTC Rules of Procedure (WGAV) was held by video-conference on 25 September 2024. A total of 21 participants attended the meeting. The meeting was opened by the Chairperson, Mr Kimiyoshi Hiwatari, who welcomed participants to the video-conference and thanked them for their presence at the 2nd Meeting of the WGAV.

1. OPENING OF THE SESSION

1. The 2nd Meeting of the *Ad Hoc* Working Group on Appendix V (WGAV) of the Indian Ocean Tuna Commission's (IOTC) Rules of Procedure was held by video-conference on 25 September 2024. A total of 21 participants attended the Meeting. The list of participants is provided at [Appendix 1](#). The meeting was opened by the Chairperson, Mr Kimiyoshi Hiwatari, who welcomed participants to the video-conference and thanked them for their presence at the 2nd Meeting of the WGAV.

2. ADOPTION OF THE AGENDA AND ARRANGEMENTS FOR THE SESSION

2. The WGAV02 **ADOPTED** the agenda provided in [Appendix 2](#).

3. ADMISSION OF OBSERVERS

3. The WGAV02 **ADMITTED** the observers in the list of participants in [Appendix 1](#).

4. PRESENTATION BY THE IOTC SECRETARIAT – IMPROVEMENT OF THE E-MARIS APPLICATION

4. The WGAV02 **THANKED** the improvements made by the Secretariat to the structure of individual requirements, alongside the introduction of new features and improvements in e-MARIS for the current CoC22 – 2025 Assessment Campaign, which included:
 - i. The addition of a table of content to facilitate navigation across the various sections of a requirement;
 - ii. A color-coding and naming system to clearly indicate which elements of the individual requirements contribute to the construction of the Compliance Questionnaire (CQ) and Implementation Report (IR);
 - iii. The specification, under the IOTC Standard section of individual requirements, of whether an applicable standard exists;
 - iv. A detailed Assessment Criteria section within each individual requirement to provide clear guidance on the criteria applied and their method of application;
 - v. The merging, and subsequent reduction in the total number of requirements;
 - vi. A new section on the application of individual requirements, to enhance understanding of the scope of each requirement;
 - vii. Ongoing integration of e-MARIS with other IOTC applications such as e-RAV, e-PSM and SWS;
 - viii. The impending development of a function to recall information from the previous campaign;
 - ix. The unification of system or procedures reporting into a single requirement, mandatory only for requirements applicable to vessels and persons, as per instructions from the Compliance Committee (CoC21);
 - x. The implementation of an audience functionality to include or exclude CPCs from certain requirements, which are applicable or not applicable to them.
5. The WGAV02 **NOTED** the elements presented by the IOTC Secretariat, which included the need to identify which individual requirements apply to vessels, persons or CPCs, in order to determine the assessment criteria, and the concentration of submission deadlines into two main dates related to the CQ or the IR.
6. The WGAV02 **NOTED** that the new structure implemented for each individual requirement provides greater clarity.
7. The WGAV02 **NOTED** that the color-coding system implemented is solely intended to indicate which elements of the requirement would form part of the CQ and IR, and not to highlight specific instructions as in previous campaigns.
8. The WGAV02 **NOTED** that, depending on the individual requirement, not all elements from the assessment criteria may be applicable. For instance, data standard criteria would not apply for law-based requirements and legislation, and system/procedures would not apply for requirements addressed to CPCs.
9. The WGAV02 **NOTED** the importance of the improvements related to the utilization of information from previous campaigns, and **FURTHER NOTED** that its impending development may result in this functionality not being available for the current campaign (CoC22).

10. The WGAV02 **NOTED** that the system/procedures may vary substantially across different requirements.
11. The WGAV02 **AGREED** to retain the previous design for reporting system/procedures addressed to vessels and persons under each individual requirement.
12. The WGAV02 **NOTED** the benefit and utility of the improvement related to the inclusion or exclusion of CPCs from requirements based on their applicability and **FURTHER NOTED** that this is a dynamic process, as the applicability of a requirement to a particular CPC may change over time.
13. The WGAV02 **NOTED** that the assessment to requirements is made only on requirements that are applicable to the CPCs, and excludes those not applicable but voluntarily submitted.
14. The WGAV02 **AGREED** to provide comments intersessionally to the meeting document named “*List of requirements for CR, IR, CQ Building reports - e-MARIS CoC22 (IOTC-2024-WGAV02-04)*” for review during the next meeting of the WGAV.

5. IMPROVEMENT OF THE IOTC COMPLIANCE REVIEW

15. The WGAV02 **NOTED** Meeting Document [IOTC-2024-WGAV02-03](#) prepared by the Chairperson, providing a list of points for discussion on the compliance review process, the format of the Compliance Report, the assessment criteria defined for determining the compliance status and the technical specifications of e-MARIS.

The compliance review process

16. The WGAV02 **NOTED** the conflict in the dates established for the submission of the IR, set for 60 days prior to the Commission meeting, and the provision of Draft Compliance Reports by the IOTC Secretariat to CPCs, at 70 days prior to the Commission meeting.
17. The WGAV02 **AGREED** the need to amend Appendix V of the IOTC Rules of Procedure and modify the timeline for the provision of the Draft Compliance Report from 70 to 50 days before the Commission meeting.
18. The WGAV02 **NOTED** the offer of the participant from the European Union to submit a proposal to amend to the IOTC Rules of Procedure, Appendix V, that are agreed by the WGAV.
19. The WGAV02 **NOTED** that Appendix V of the IOTC Rules of Procedure already establishes that CPCs can provide comments, additional information, data, clarifications, amendments or corrections to information to the IOTC Secretariat on their Draft Compliance Reports and/or propose changes to any suggested compliance status, based on justified grounds and no later than 30 days before the Commission meeting.
20. The WGAV02 **CLARIFIED** that the Secretariat can update CPCs’ compliance status on the IOTC draft Compliance Report based on justified grounds, until it produces the Summary Compliance Report.
21. The WGAV02 **NOTED** that the process for identifying and reporting follow-up actions is not detailed in Appendix V of the IOTC Rules of Procedure.
22. The WGAV02 **CLARIFIED** the following approach for identifying follow-up actions and reporting the results of such actions:
 - i. After the Summary Compliance Report is provided, CPCs respond and provide their follow-up actions /remedial actions against their compliance issues on the Summary Compliance Report through e-MARIS, in the column “Follow up/remedial actions”.
 - ii. The Compliance Committee reviews the Summary Compliance Report and, as necessary, propose other follow-up/remedial actions to CPCs.
 - iii. At the end of the CoC meeting, the Secretariat publishes the recommended Provisional Compliance Report, which would be the basis for the deliberations at the Commission meeting.
 - iv. Within 3 months after the Commission meeting, CPCs submit an action plan for NC2 issues according to Annex A of Appendix V.
 - v. No later than 80 days before the next Commission meeting, CPCs report the actions they have taken against previous year’s compliance issues (PC, NC1 and NC2) through the Compliance Questionnaire in accordance with paragraph 4.a)i).

23. The WGAV02 **NOTED** that the Compliance Questionnaire was not made available to CPCs during the past campaign (CoC21), as informed through letter *IOTC2024-059*, and **AGREED** to continue to provide the Compliance Questionnaire to the Compliance Committee.

The technical specifications of the e-MARIS application

24. The WGAV02 **AGREED**, subject to technical limitation of e-MARIS, to streamline the options available within Part A of each individual requirement to the following:
- i. For vessel requirements:
Did you implement this obligation?
 - N/A
 - No
 - Yes (provide your system/procedures)
 - ii. For reporting requirements:
Did you submit this reporting?
 - N/A
 - No
 - Yes
25. The WGAV02 **NOTED** the need to clearly differentiate for each individual requirement between mandatory and optional questions and **FURTHER NOTED** that, as indicated in the presentation by the Secretariat, the color-coding system (texts in red or blue) indicates which questions are mandatory.
26. The WGAV02 **NOTED** the proposal from the Chairperson for the WGAV03 to complete the review of the changes proposed in document [IOTC-2024-WGAV02-03](#) (assessment criteria defined for determining the compliance status and the technical specifications of e-MARIS).
27. The WGAV02 **NOTED** that some of the proposed changes may not be feasible to implement within a running campaign.

6. NEXT STEP

28. The WGAV02 **NOTED** the suggestions for potential dates for the next meeting and that considering the need to conclude the work of the Working Group by the end of 2024, the Chair, in consultation with the IOTC Secretariat, will propose a suitable date.

7. ANY OTHER BUSINESS

29. With no other business to discuss, the Chair of WGAV02 brought the meeting to a close.

8. REVIEW OF THE DRAFT, AND ADOPTION OF THE REPORT OF THE 2ND MEETING OF THE AD HOC WORKING GROUP ON APPENDIX V OF THE IOTC RULES OF PROCEDURE

30. The report of the 2nd Meeting of the *Ad Hoc* Working Group on Appendix V of the IOTC Rules of Procedure (IOTC-2024-WGAV02-R) was **ADOPTED** on 9 October 2024.

APPENDIX 1 LIST OF PARTICIPANTS

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COOPERATING NON-CONTRACTING PARTIES

NONE

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APPENDIX 2
AGENDA

IOTC-2024-WGAV02

AGENDA**INCEPTION MEETING OF THE *AD HOC* WORKING GROUP ON APPENDIX V OF THE IOTC
RULES OF PROCEDURE****Date:** 25 September 2024**Location:** Virtual (Zoom)**Time:** 1100–1500 hrs (Seychelles time)**Chair:** Mr HIWATARI Kimiyoshi (Japan)

1. **OPENING OF THE SESSION** (Chair)
2. **ADOPTION OF THE AGENDA AND ARRANGEMENTS FOR THE SESSION** (Chair)
3. **ADMISSION OF OBSERVERS** (Chair)
4. **PRESENTATION BY THE IOTC SECRETARIAT – IMPROVEMENT OF THE E-MARIS APPLICATION** (IOTC Secretariat)
5. **IMPROVEMENT OF THE IOTC COMPLIANCE REVIEW** (Chair)
 - i. **the Compliance review process**
 - ii. **the format of the Compliance report**
 - iii. **the assessment criteria of the Compliance Status**
 - iv. **the technical specifications of the e-MARIS application**
6. **NEXT STEP**(Chair)
7. **ANY OTHER BUSINESS** (Chair).