

Report of the 3rd Meeting of the AD HOC Working Group on Appendix V of the IOTC Rules of Procedure

Held by video-conference, 27 November 2024

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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
dCR	Draft Compliance Report
e-MARIS	Electronic Monitoring And Reporting Information System
e-RAV	Electronic Record of Authorised Vessels
FAO	Food and Agriculture Organization of the United Nations
fCR	Final Compliance Report
IR	Implementation Report
IOTC	Indian Ocean Tuna Commission
NC1	Non-Compliance Category 1
pCR	Provisional Compliance Report
sCR	Summary Compliance Report
WGA03	<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 3rd Meeting of the *Ad Hoc* Working Group on Appendix V of the IOTC Rules of Procedure (WGAV) was held by video-conference on 27 November 2024. A total of 20 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 3rd Meeting of the WGAV.

1. OPENING OF THE SESSION

1. The 3rd 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 27 November 2024. A total of 20 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 3rd Meeting of the WGAV.

2. ADOPTION OF THE AGENDA AND ARRANGEMENTS FOR THE SESSION

2. The WGAV03 **ADOPTED** the agenda provided in [Appendix 2](#).

3. ADMISSION OF OBSERVERS

3. The WGAV03 **ADMITTED** the observer and Invited Experts in the list of participants in [Appendix 1](#).

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

4. The WGAV03 **NOTED** Meeting Document [IOTC-2024-WGAV03-02](#) prepared by the IOTC Secretariat, providing an update on the latest improvements incorporated into the e-MARIS since WGAV02, and highlighting various issues on the compliance report process that require clarification from the Working Group.
5. The WGAV03 **WELCOMED** the latest improvements made by the IOTC Secretariat to the structure and features of e-MARIS' individual requirements, which included the update of Section A on System or Procedures, in line with WGAV's previous deliberations, and the development of a new feature to call information or data from previous campaign.
6. The WGAV03 **NOTED** that, for the current campaign, the IOTC Secretariat has manually transposed information/data from the CoC21 campaign regarding requirements where CPCs were assessed compliant and **FURTHER NOTED** that the recall feature that is gradually being implemented across the different requirements.
7. The WGAV03 **NOTED** that the current Rules of Procedure do not clearly state that the Compliance Questionnaire (CQ) should be published in the Compliance Committee (CoC) meeting page.
8. The WGAV03 **AGREED** on the following matters concerning the compliance process:
 - i. for the Implementation Report (IR): a) Secretariat not to share all IRs in e-MARIS to other CPCs, but b) publish all IRs in the CoC meeting page;
 - ii. for the Compliance Questionnaire (CQ): a) Secretariat not to share all CQs in e-MARIS to other CPCs, but b) publish all CQs in the CoC meeting page;
 - iii. for the draft Compliance Reports (dCR): to restrict access to the dCR exclusively to the concerned CPC and the IOTC Secretariat. The Secretariat to translate/manage/publish in e-MARIS only;
 - iv. for summary Compliance Reports (sCR): Secretariat to translate/manage/publish/share in e-MARIS and to publish sCR in the CoC meeting page;
 - v. for the provisional and final Compliance Reports (pCR/fCR): Secretariat to translate/manage/publish/share in e-MARIS and to publish pCR and fCR in the concerned CoC's and Commission's meeting page respectively;
 - vi. to include a notation in the CoC meeting page to indicate that all pCRs are provisional and fCRs adopted by the Commission are published in the concerned Commission's meeting page;
 - vii. to keep requirements with deadlines beyond the IR's and CQ's submission deadline open, allowing them to be initially left blank for the IR and CQ submission, but ensuring they are completed and assessed by their respective deadlines and can be submitted in a revised version of the IR and CQ,

5. IMPROVEMENT OF THE IOTC COMPLIANCE REVIEW

9. The WGAV03 **NOTED** Meeting Document [IOTC-2024-WGAV03-03](#) prepared by the Chairperson, providing a list of points for discussions 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.
10. The WGAV03 **AGREED** to amend the format of the Compliance Report by removing the columns on Timeliness as provided in section 2.2 of the meeting document [IOTC-2024-WGAV03-03](#).
11. The WGAV03 **AGREED** that a single occurrence of non-compliance should be assessed as Non-Compliance Category 1 (NC1).
12. The WGAV03 **AGREED** to limit e-mail notifications to the following timelines:
 - i. 1 week before the deadline,
 - ii. 1 day before the deadline,
 - iii. 5 days after the deadline, if not submitted.
13. The WGAV03 **NOTED** that important messages on the e-MARIS message box may be overlooked due to the volume of other automated messages sent by the application and **REQUESTED** that the Secretariat work with the developers to create a sorting functionality based on message categories (e.g. such as due date reminder, responses to CPC's message, etc.) or develop a color-coding system to differentiate between message types.
14. The WGAV03 **NOTED** Meeting Document [IOTC-2024-WGAV03-04](#) containing the list of requirements along with their applicability, and categorisation by type of System or Procedures (SP) required, and **AGREED** to change it as follows:
 - to remove requirements number 1.4, 2.15, 6.13, 6.14 and 9.1;
 - to change SP type from System or Procedures to monitor and ensure compliance of flag vessels and persons from SPV to System or Procedures for CPCs to report to the Commission to SPR, for requirements 2.17, 2.17D, 3.2, 8.2, 8.3 and 10.3;
 - to change SP type from System or Procedures for CPCs to report to the Commission from SPR to System or Procedures to monitor and ensure compliance of flag vessels and persons to SPV, for requirement 2.7b;
 - to merge the following pairs of requirements into a single one: 2.8 and 2.9, 2.16 and 2.19, and 3.6 and 3.7;
 - to change the applicability for requirement 2.7b to include the United Kingdom into the list of excluded CPCs;
 - to use the same applicability of requirement 2.11b, for requirement 2.12;
 - to update requirement 6.12 reference and applicability as per paragraph 3 of Resolution 24/06,
 - to assess requirements 7.1 and 7.2 only for vessels directly listed by the IOTC in its IUU Vessels List.

6. NEXT STEPS

15. The WGAV03 **AGREED** to conclude WGAV's work and **NOTED** the need for the IOTC Secretariat to adjust e-MARIS and the Assessment Criteria in accordance with the deliberations of the WGAV.
16. The WGAV03 **ENCOURAGED** CPCs to begin completing e-MARIS at their earliest convenience noting that the next Compliance Committee and the Commission meetings will be held earlier, compared to previous years, and **REQUESTED** that the IOTC Secretariat notify CPCs of this timeline.

7. ANY OTHER BUSINESS

17. With no other business to discuss, the Chair of WGAV03 brought the meeting to a close.

8. REVIEW OF THE DRAFT, AND ADOPTION OF THE REPORT OF THE 3RD MEETING OF THE AD HOC WORKING GROUP ON APPENDIX V OF THE IOTC RULES OF PROCEDURE

18. The report of the 3rd Meeting of the *Ad Hoc* Working Group on Appendix V of the IOTC Rules of Procedure (IOTC-2024-WGAV03-R) was **ADOPTED** on 13 December 2024.

APPENDIX 1

LIST OF PARTICIPANTS

CHAIRPERSON

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COOPERATING NON-CONTRACTING PARTIES

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APPENDIX 2
ADOPTED AGENDA

AGENDA

**THIRD MEETING OF THE *AD HOC* WORKING GROUP ON APPENDIX V OF THE IOTC RULES
OF PROCEDURE**

Date: 27 November 2024

Location: Virtual (Zoom)

Time: 1100–1600 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 – DEVELOPMENT OF THE E-MARIS APPLICATION** (IOTC Secretariat)
5. **IMPROVEMENT OF THE IOTC COMPLIANCE REVIEW** (Chair)
6. **NEXT STEP**(Chair)
7. **ANY OTHER BUSINESS** (Chair).