

IOTC Rules of Procedure, Appendix V – Annex A Compliance status categories NC2 - Compliance Action Plan



General Information

In line with CoC21 Report (para. 94) the completion of Part A and C is NOT REQUIRED, and the completion of Part B is MANDATORY.

Information required: Compliance Action Plan

IOTC Rules of Procedure, Appendix V – Annex A Compliance status categories :

Follow-up action needed: the CPC shall submit, within

3 months from the end of the Commission annual session, a detailed plan and timeline on how it intends to address the non-compliance of category 2 identified.

Application:

This requirement is applicable to all Contracting Parties and Cooperating Non-Contracting Parties (CPCs) that have non-compliance of category 2 identified at the last meeting of the Compliance Committee.

Year reported on / Year assessed: 2025

Reporting obligation **CR N°1.4, CQ**



Note: Your response to this requirement will be used by e-MARIS to compile your country reports: Compliance Questionnaire (CQ) and Compliance Report (CR).

(Text of sections/questions in red colour will be in your CQ with your responses - ensure they are completed before submitting).

1. Did you submit the data/report/information of this reporting obligation in 2025 ? (CQ):

- NIL Report / Not Applicable - No compliance issue N/C2 identified in 2025
 NO - Not implemented
 YES - Implemented

Check at least one of the options

If the option "NIL Report / Not Applicable" is selected, the below sections are not required to be completed.

If the option "YES" or "NO" is selected, the section B is required to be completed.

A - System / procedures

In line with CoC21 Report (para. 94) the completion of Part A and C is NOT REQUIRED, and the completion of Part B is MANDATORY.

94. The CoC21 AGREED that, the IOTC Secretariat shall not require CPC to provide the internal systems and procedures in accordance with paragraph 5.c)ii)2. of Appendix V of the IOTC Rules of Procedure, and national laws & regulations, in accordance with paragraph 5.c)ii)1. of Appendix V of the IOTC Rules of Procedure, to implement reporting obligations that are addressed to CPCs.

B - Reporting data and information



2. The Compliance Action Plan on compliance issues N/C2 is provided to the IOTC Secretariat (CQ) :

Tick on box and complete the below table

- YES - The Compliance Action Plan is provided in the table
- NO – Not Applicable/NIL report - No Non-compliant category 2 based on the deliberations of the CoC/COM was identified

Consult your final Compliance Report from the previous CoC/COM meetings

Note:

- **Follow-up action needed:** the CPC shall submit, within 3 months from the end of the Commission annual session, a detailed plan and timeline on how it intends to address the non-compliance of category 2 identified. The follow-up actions and plan shall be appropriate to the relevant compliance issue and shall include one or more of, but are not limited to, the following responses, taking into account the history, circumstances, extent, and gravity of the compliance issue
- **Actions to be taken by the CPC**
Submission of a detailed plan and timeline to address the non-compliance of category 2 identified.

CR Requirement Number	Corrective(s) action(s) Free text	Period of implementation FROM From date	TO To date	Remarks, if any Free text If none, by default NONE is written.
-	-	-	-	NONE



OPTIONAL - Upload your Compliance action plan :



Comments/remarks about your submission and the implementation of this requirement:

NONE

Number of compliance issues NC2:

-

**Number of compliance issues NC2 re-
sponded:**

-

C - Laws, regulations and administrative instructions in force

In line with CoC21 Report (para. 94) the completion of Part A and C is NOT REQUIRED, and the completion of Part B is MANDATORY.

94. The CoC21 AGREED that, the IOTC Secretariat shall not require CPC to provide the internal systems and procedures in accordance with paragraph 5.c)ii)2. of Appendix V of the IOTC Rules of Procedure, and national laws & regulations, in accordance with paragraph 5.c)ii)1. of Appendix V of the IOTC Rules of Procedure, to implement reporting obligations that are addressed to CPCs.

Information from the IOTC Secretariat

Your compliance reports.

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Remarks from the IOTC Secretariat:

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Capacity Building

Manual and Guidelines:

[IOTC CMMs manual B - Implementation of IOTC CMMs - Entailing reporting obligation](#)

Reporting Template:

There is no reporting template for this requirement, the reporting should be made directly in the sections above.

Assessment Criteria

[New Appendix V - The Compliance Committee – Terms of Reference and Rules of Procedure]

Rules of Procedure

The [IOTC Rules of Procedure](#) (12 May 2023) include provisions addressing various operations of the Commission and its subsidiary bodies.

[REVISED COMPLIANCE ASSESSMENT CRITERIA – APPENDIX V, IOTC RULES OF PROCEDURE \(2023\)](#)

The compliance status determination of a reporting requirement is, where applicable, grounded in the following main elements, as provided by the IOTC Rules of Procedure (2023), Annex V:

- Transposition of Commission decisions - Legislation or administrative orders
- Provision of information on system or procedures to monitor and ensure compliance of vessels and persons
- Reporting deadline, and
- Reporting format – IOTC standard

Year reported on/Year assessed: 2025

- **Assessment of legislation (LEG): Not assessed**
- **Assessment of system and procedures (SP): Not assessed**
- **Assessment of IOTC standard (STD): Assessed**

Notes:

- Result of assessment: Causes mentioned below are not exhaustive and are only examples; other causes can apply depending of the context and information available.
- Observations mentioned below are not exhaustive and are only examples; other observations can apply depending of the context and information available.

IOTC Standard:

The RoP Annex V requires that submissions contain all mandatory information related to requirements identified NC2, in the agreed format.

The standard in term of data/information/fields to be provided / completed is defined: **All NC2 requirements responded.**

Assessment Result	CR Observation
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Assessment score: Compliant - C

<p><i>LEG:</i> N/A - Report CoC21 (94). <i>STD:</i> The CPC had [XX] non-compliance of category 2 identified at previous CoC meeting. The CPC has provided a detailed Compliance Action Plan with timeline for all N/C2, in the agreed format/at IOTC Standard. <i>SP:</i> N/A - Report CoC21 (94).</p>	<ul style="list-style-type: none"> • Received [Date] • <i>STD:</i> YES - Detailed Compliance Action Plan with timeline for all N/C2 provided, in the agreed format/at IOTC Standard. <p>Corresponding to the below criteria in APPENDIX V – ANNEX A COMPLIANCE STATUS CATEGORIES :</p> <ul style="list-style-type: none"> • Reporting or submission by the deadlines; • Submission of all mandatory information or data required in the agreed format.
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Assessment score: Partially Compliant - P/C

<p><i>LEG:</i> N/A - Report CoC21 (94). <i>STD:</i> The CPC had [XX] non-compliance of category 2 identified at previous CoC meeting. The CPC has provided a Compliance Action Plan NOT in the agreed format/at IOTC Standard, Some</p>	<ul style="list-style-type: none"> • Received [Date] • <i>STD:</i> NO - Detailed Compliance Action Plan provided NOT in the agreed format/at IOTC Standard. [XX] requirements
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<p>requirements NC2 not responded/missing AND/OR Some time-lines not provided/missing. <u>SP</u> : N/A - Report CoC21 (94).</p>	<p>N/C2 not responded/missing AND/OR [XX] requirements N/C2 without timeline.</p> <p>Corresponding to the below criteria in APPENDIX V – ANNEX A COMPLIANCE STATUS CATEGORIES :</p> <ul style="list-style-type: none"> ● Information or data for the obligation has been submitted or reported, but in a way that is incomplete or incorrect; ● CPC has failed to meet reporting or submission deadlines by less than 15 days.
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Assessment score: Not Compliant category 1 - N/C1

<p><u>LEG</u>: N/A - Report CoC21 (94). <u>STD</u>: The CPC had [XX] non-compliance of category 2 identified at previous CoC meeting. The CPC has NOT provided a Compliance Action Plan. All requirements NC2 not responded. <u>SP</u> : N/A - Report CoC21 (94).</p>	<ul style="list-style-type: none"> ● Received [Date] ● <u>STD</u>: NO - [XX] non-compliance of category 2 identified. Compliance Action Plan NOT provided. <p>Corresponding to the below criteria in APPENDIX V – ANNEX A COMPLIANCE STATUS CATEGORIES :</p> <ul style="list-style-type: none"> ● The CPC has not submitted or reported information or data for the obligation; ● The CPC has failed to meet a reporting or submission deadline by more than 15 days; ● Failure to implement, monitor or ensure compliance with an obligation.
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Assessment score: Not Compliant category 2 - N/C2

<p><u>LEG</u>: N/A - Report CoC21 (94). <u>STD</u>: The CPC had [XX] non-compliance of category 2 identified at previous CoC meeting. The CPC has NOT provided a Compliance Action Plan. All requirements NC2 not responded, in two or more consecutive years. <u>SP</u> : N/A - Report CoC21 (94).</p>	<ul style="list-style-type: none"> ● <u>STD</u>: NO - [XX] non-compliance of category 2 identified. Compliance Action Plan NOT provided, in two or more consecutive years. <p>Corresponding to the below criteria in APPENDIX V – ANNEX A COMPLIANCE STATUS CATEGORIES :</p> <ul style="list-style-type: none"> ● Failure to implement, monitor or ensure compliance with the same obligation for two or more consecutive years.
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Assessment score: Not Applicable - N/A

<p>The measure does not apply to the CPC: No compliance issue N/C2 identified in 2025</p>	<ul style="list-style-type: none"> ● <u><i>NIL Report / Not Applicable - No compliance issue N/C2 identified in 2025</i></u>
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Note: Your response to this requirement may be used to compile other reports as agreed by the Commission and its Committees.

