
Summary Report of the Ad Hoc Working Group on Appendix V of the IOTC Rules of Procedure (WGAV)

PREPARED BY: IOTC SECRETARIAT¹, 27 JANUARY 2025

PURPOSE

To provide participants of the Working Party on the Implementation of Conservation and Management Measures (WPICMM) an update on the work conducted by the Ad Hoc Working Group on Appendix V of the IOTC Rules of Procedure (WGAV).

BACKGROUND

At its 27th Session in May 2023, the Commission adopted a revised Rules of Procedure. One of the key amendments in the newly adopted Rules of Procedure (RoP) is its Appendix V, which relates to the work of the Compliance Committee.

At the Twenty-first Session of the Compliance Committee ([CoC21](#)), held from 5 to 9 May 2024, the Compliance Committee noted several issues with the implementation of the new rules and agreed to recommend the creation of an ad-hoc Working Group to clarify and propose changes to the RoP:

***IOTC-2024-COC21-R** : The CoC21 **RECOMMENDED** that the Commission (S28) create an ad-hoc Working Group to improve the procedures outlined in the Rules of Procedures (Appendix V), notably paragraphs 4, 5 and 6. This ad-hoc Working Group should be convened virtually once or twice before the end of 2024, with the objective of presenting any clarifications and proposed changes to the RoP to the WPICMM for discussion. Based on the conclusions drawn from WPICMM's deliberations, a formal proposal for amending the RoP may be presented at the Commission annual session in 2025.*

The recommendation was endorsed by the Commission (S28) and as a result, the ad-hoc Working Group on Appendix V of the IOTC Rules of Procedure (WGAV) was established in the second semester of 2024.

THE WORK OF THE WGAV

The WGAV convened three times by videoconference. The conclusions derived from each of the meetings are presented and summarised below:

1. The First Meeting of the ad-hoc Working Group on Appendix V of the IOTC Rules of Procedure ([WGAV01](#)) was held on 21 August 2024. At its inception meeting, Mr Kimiyoshi Hiwatari (Japan) and Ms Laura Marot (European Union) were elected as Chair and Vice-Chair of the WGAV, respectively. The meeting also established its plan of work and agreed that the themes to be discussed at future WGAV meetings should focus on:
 - a. the Compliance review process;
 - b. the format of the Compliance report;
 - c. the assessment criteria of the Compliance Status, and

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- d. the technical specifications of the e-MARIS application.
2. The Second Meeting of the ad-hoc Working Group on Appendix V of the IOTC Rules of Procedure ([WGAV02](#)) took place on 25 September 2024. It was presented with the new features and improvements implemented in e-MARIS ([IOTC-2024-WGAV02-02](#)) to facilitate and streamline information and data reporting and focussed its discussions on the compliance review process and the technical specifications of the e-MARIS application ([IOTC-2024-WGAV02-03](#)).
- Some of the key improvements focused on enhancing the structure and presentation of requirements, as well as improving navigation within the application. Other improvements aimed to streamline requirements by merging them and unifying system and procedures for reporting into a single requirement applicable to both vessels and persons, while also exempting CPCs from non-applicable requirements.
 - During discussions on the compliance review process, the WGAV recommended that the IOTC Secretariat make available the Compliance Questionnaire to the Compliance Committee, via the relevant meeting page, and for a CPC to present, to WPICMM08 and the Commission, the agreed amendments in Appendix V of the IOTC Rules of Procedure; modification of the timeline for the provision of the Draft Compliance Report from 70 to 50 days before the Commission meeting. It was also clarified that the Secretariat can update CPCs' compliance status on the draft Compliance Report based on justified grounds. Additionally, the approach for identifying follow-up actions and reporting their results were clarified.
 - Finally, to streamline the options available within Part A of each individual requirement in e-MARIS, a simplified three-response approach was proposed.
2. The Third Meeting of the ad-hoc Working Group on Appendix V of the IOTC Rules of Procedure ([WGAV03](#)) was held on 27 November 2024. It was presented with the more recent improvements made to e-MARIS by the IOTC Secretariat ([IOTC-2024-WGAV03-02](#)), and other outstanding points of discussions were on the compliance review process ([IOTC-2024-WGAV03-03](#)).
- More recent improvements to e-MARIS 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.
 - To improve the IOTC Compliance Review process, it was agreed to change the format of the report by removing the column on "Timeliness", to assess a single occurrence of non-compliance as Non-Compliance Category 1 (NC1), and to limit auto-generated reminders to three; one week and one day before the deadline, and five days after the deadline. Additionally, changes were agreed on the applicability, categorisation by type of System or Procedures required, etc. for each requirement. The list of requirements is provided in meeting document [IOTC-2024-WGAV03-04](#).

RECOMMENDATION/S

That the WPICMM08:

- 1) **NOTE** paper IOTC-2025-WPICMM08-11 Summary Report of the ad-hoc Working Group on Appendix V of the IOTC Rules of Procedure (WGAV).



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- 2) **NOTE** the improvements made to e-MARIS by the IOTC Secretariat.
- 3) **NOTE** the summary of deliberations and recommendations of the WGAV.