Pew

A New Self-Assessment Tool to Evaluate a Country's Capacity to Engage in RFMO Compliance Review Processes

RFMO compliance review processes are typically labor-intensive, requiring members to collect, manage, and report large amounts of information; prepare for and participate in compliance meetings; and take follow-up actions to improve compliance. Some RFMO members consistently highlight a lack of capacity to fulfill existing requirements, while experts have identified the importance of having adequate capacity-building mechanisms in place to support effective compliance reviews.

Many RFMOs have initiatives to support members in addressing general compliance review capacity challenges, but to date, no comprehensive tool has been available to help members identify the specific barriers that prevent them from fully and effectively engaging in compliance review processes.

To address this resource gap, The Pew Charitable Trusts, in consultation with a wide range of experts, has developed a self-assessment tool to enable RFMO members to identify their own human, technical, and institutional capacity needs.

The self-assessment tool was created for the internal use of individual RFMO members. None of the information entered in the tool is collected or shared with Pew or any other organization. Members may wish to use the results of this assessment to develop a list of priorities for capacity building, which may be helpful when seeking external financial and technical resources, and as an ongoing evaluation mechanism.

This tool is designed as a PDF that can be completed on a computer or printed and filled out by hand. It is structured in seven modules, with five core modules addressing different stages of engagement in RFMO compliance review processes: *Data collection; Information management; Reporting; Participation in RFMO Compliance Committee meetings; and Follow-up actions.*

3B - Personnel and knowledge base					
Indicator	**Capacity assessment**				**Score**
	0	**1**	**2**	**3**	
3B.1 – Are there **sufficient personnel** to manage the required information for RFMO compliance review processes?	Personnel is not sufficient (0)	Personnel is sufficient to manage some information (1)	Personnel is sufficient to manage most information (2)	Personnel is sufficient to manage all information (3)	
3B.2 - Are personnel, including new staff, **adequately trained** to manage the information required for RFMO compliance review processes?	No personnel are adequately trained (0)	Some personnel are adequately trained (1)	Most personnel are adequately trained (2)	All personnel are adequately trained (3)	
3B.3 - Is there a **policy** to ensure **sufficient supervision and/or support** for efficient and effective information management?	No policy exists (0)	No policy, but some supervision and/or support exists (1)	A policy exists to provide some supervision and/or support (2)	Yes, a well-implemented policy exists (3)	
3B - Total score	If completing manually, add all scores for this indicator.				
3B - Average score	If completing manually, divide the total score for this indicator by 3.				

An example of a set of questions from the Information management module

Modules contain multiple-choice questions, with scores automatically calculated and averaged, and a summary section displays scores obtained in the different modules. The tool also includes open-ended questions and space for comments.

This tool is designed to meet the needs of member governments of all sizes, whether they have one or several agencies involved in compliance reviews processes. It can be used once to provide a snapshot of capacity needs or multiple times to assess progress over time.

This resource will be available online and circulated broadly in mid-2025.

For any enquiries about the capacity needs self-assessment tool, please contact RFMOCompliance@pewtrusts.org.