

## The compliance process and the e-MARIS application

### 2026 Compliance reports and workflow at CoC23 - From the Draft-CR to the Final-CR (e-MARIS CoC23 – 2026 assessment campaign)

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#### PURPOSE

To provide participants at the Working Party on the Implementation of Conservation and Management Measures (WPICMM) with the opportunity to review:

- The content and structure of the 2026 Compliance report; and,
- The Compliance Report (CR) workflow during the Compliance Committee meeting (CoC23) - from the Draft CR (dCR) to the Final CR (fCR) (e-MARIS CoC23 – 2026 assessment campaign), the timelines and the decision-making process of the Compliance Committee (CoC) during its meeting (CoC23) and of the Commission (S30).

#### BACKGROUND

##### THE 2026 COMPLIANCE REPORTS, CONTENT, STRUCTURE

The e-MARIS has been in production for three campaigns of the CoC, with the majority of CPCs having used e-MARIS to report on the various IOTC obligations, including the submission of the mandatory Implementation Report (IR) and the Compliance Questionnaire (CQ) and facilitating the Compliance Reports processes.

The 2026 Compliance Report is available in the e-MARIS application, campaign “CoC23 - 2026 assessment”, dashboard under the tab “Reports”, as presented below<sup>2</sup>:

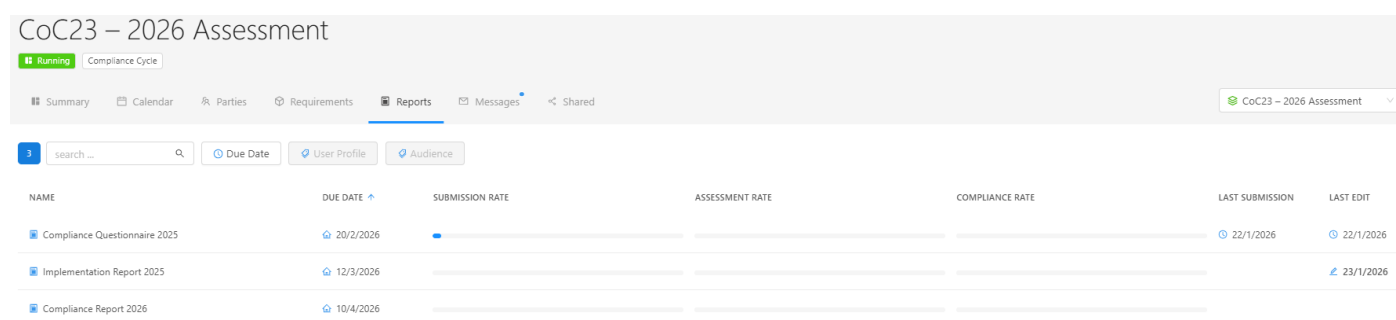


Figure 1 : Campaign “CoC23 - 2026 assessment”, dashboard - the tab “Reports”.

##### THE COMPLIANCE REPORTS WORKFLOW DURING THE COMPLIANCE COMMITTEE MEETING (CoC23)- FROM THE DRAFT CR TO THE FINAL CR

At the 29th Session of the Indian Ocean Tuna Commission in April 2025, a revised Appendix V of the IOTC Rules of Procedure (IOTC Rules of Procedure (2025) on the Compliance Committee terms of reference and Rules of Procedure) was adopted:

[IOTC-2025-S29-R](#) - Paragraph 14. The Commission **ADOPTED** the amendments to the Rules of Procedure.

The new Rules of Procedure is available from the IOTC web site [HERE](#)

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<sup>2</sup> Note that the Implementation Report (IR) and the Compliance Questionnaire (CQ) are also present in the “Reports” tab.

**DISCUSSION****A) THE 2026 COMPLIANCE REPORTS, CONTENT, STRUCTURE**

The Compliance Reports for the CoC23 are populated with information reported in the e-MARIS campaign "CoC23 - 2026 assessment". The Compliance assessment cycle will conclude with the Commission (S30) meeting. Compliance assessment conducted in 2026 for the data and information submitted to the Secretariat for the years reporting on 2024 and 2025.

The description of the campaign is provided in the below table:

Name of the e-MARIS campaign	CoC23 - 2026 assessment		
Start:	01/01/2025		
End:	Commission meeting 2026		
Reporting year/Assessment year:	2024/2025		
Total number of requirements (Including IR and CQ):	101		
Number of assessed requirements:	90		
Number of not assessed requirements:	13		
Number of requirements with reporting on System and procedures (SP):	40		
Number of requirements where SP is not applicable:	51		
Reporting effort by deadline type:	IR	CQ	Fixed date
(All 90 assessed requirements)	24	50	15

Table 1 : Description of the campaign "CoC23 - 2026 assessment".

The e-MARIS campaign “CoC23 - 2026 assessment” is structured in 12 categories. They are represented in the Compliance Reports by categories/ sections:

Category/Section	Requirement	
	Assessed	Not Assessed
1 - Implementation obligations	4*	None
2 - Management standards	29	1
3 - Reporting on vessels	11	None
4 - Vessel monitoring system	1	None
5 - Mandatory statistical requirement – flag State CPCs	11	2
6 - Implementation of mitigation measure and bycatch of non-IOTC species	12	None
7 - Illegal, unreported and unregulated (IUU) vessels	2	7
8 – Transshipments	6	1
9 – Observers	4	1
10 - Statistical document programme	4	None
11 - Port inspection	6	None
12 – Market measures	None	1
<b>Total</b>	<b>90</b>	<b>13</b>

\*: Including IR and CQ under the tab “Reports” of e-MARIS.

Table 2 : Categories/Sections of the campaign “CoC23 - 2026 assessment”.

The Compliance Report is structured in four pages:

- **Page 1** - The main compliance table, where the compliance assessment is conducted by the Secretariat. The d-CR contains the following columns:

Req. n°	Source (para n°) (year)	Information required	Deadline	Previous status	Current status	Observations	CPC remarks
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Figure 2 : Header of the main compliance table of the Compliance Report d-CR.

From the summary CR (sCR), provisional CR (pCR) and the final CR (fCR), there will be one additional column “CPC Remediation / Follow-up actions, Recommendations CoC/COM” to be completed by CPCs on their Follow-up/remedial actions, as presented below:

Req. n°	Source (para n°) (year)	Information required	Deadline	Previous status	Current status	Observations	CPC remarks	CPC Remediation / Follow-up actions recommendation CoC/COM
<b>1. Implementation obligations</b>								
1.3	fsfdfs (2023)	sdfsdfsdfs asf sf sf	19/11/2024	C	P/C	Late	Phasellus tincidunt magna hendrerit massa laoreet semper. Mauris sapien augue, accumsan vitae vulputate nec, fringilla sed mauris. Proin et tristique eros. Quisque vel erat nec diam dictum convallis nec id nisi. Mauris semper, elit in facilisis fringilla, sapien odio vestibulum mi, et ornare massa ante sed quam.	<div>Additional info or address the issue ×</div> <div>Actions proposed by the CPC ×</div> <div>Investigation by the CPC ×</div> <div>en tolo</div> <div>fr lulu</div>

Figure 3 : Header of the main compliance table of the Compliance Report sCR, pCR, fCR.

The completion of this section is restricted to the Secretariat based on the reception (or not) of the Compliance Action Plan after the Commission’s annual session.

The Compliance Action Plan was :

Received by the deadline

Received after the deadline

Not received

Not required/applicable - Action proposed by Australia during the CoC

Action proposed by Australia during the CoC

Not required/applicable

Figure 4 : Drop down menu related the submission of the Compliance Action Plan.

This section contains 3 fields to be completed by the Secretariat: 1) The number of N/C2; 2) The compliance action plan and, 3) The date of submission.

- **Page 2** – Summary of CPC 2026 compliance assessment (CoC23).

Summary of Australia 2026 compliance assessment (CoC23)

Compliant (C)	Partially Compliant (PC)	Non-compliant category 1 (NC1)	Non-compliant category 2 (NC2)	Not Applicable (NA)	Capacity building in progress (CB)	Compliance Rate (%)
0	0	0	0	0	0	0

CoC23 – 2026 Assessment

Figure 5 : -Summary of CPC 2026 compliance assessment (CoC23).

- **Page 3** – Current issues on the level of implementation by CPC of IOTC Conservation and Management Measures identified for discussion in the CoC23, in 2026.

Current issues on the level of implementation by Australia of IOTC Conservation and Management Measures identified for discussion in the CoC23 in 2026

Having reviewed the 2026 Draft Compliance Report for Australia, the Chair of the Compliance Committee has identified the following significant repeated non-compliance issues for discussion.

Repeated non-compliance issues

Requirement	Information required	Observations	Previous status (2025)	Current status (2026)
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Note: if the table above is empty, it means there were no repeated compliance issues identified this year.

CoC23 – 2026 Assessment

Figure 6 : Table on Current issues on the level of implementation by CPC of IOTC CMMs.

This section provides a table on the *Repeated non compliance issues*. It is automatically completed from information on the compliance assessment from the main compliance table.

- **Page 4** – Reading instructions.

## Reading instructions

(1) Information is to be provided in the Report of Implementation

(2) 24 meters overall length and over, and under 24 meters if they fished outside their EEZ

(Year) = year reporting on/year assessed.

LEG: Legislation - Transposition of Commission decisions, Legislation or administrative orders.

STD : Standard - Reporting format, IOTC standard

SP: System or procedures - Provision of information on system or procedures a) to monitor and ensure compliance of vessels and persons OR b) to prepare and submit information, data, report to the Commission.

i) ii) iii) = a) b) c)

## Assessment

### Compliance

- C: Compliant
- C/B: Capacity building
- N/A: Not applicable
- N/C1: Not compliant 1
- N/C2: Not compliant 2
- P/C: Partially compliant

## CoC/Commission recommendations

- **Additional info or address the issue:** Provide additional information or address the compliance issue within a given period of time, and at the latest before the following annual meeting.
- **Actions proposed by the CPC:** Actions proposed by the CPC and endorsed by the Commission.
- **Investigation by the CPC:** Completion of an investigation by the CPC regarding a compliance issue and reporting back to the Compliance Committee, where required.
- **Enhanced monitoring of fleet:** Enhanced monitoring of the fleet.
- **Amendments to national rules:** Amendments to domestic procedures, legislation or policy including penalties, where required.
- **Detailed plan and timeline:** 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.
- **Capacity building or assistance:** Provision of capacity building or technical assistance for a specified amount of time.
- **Other remedies:** Other remedies.

## "Missing" values:

- "-/-": no possible value (e.g.: no previous assessment possible because this is the first campaign in which the requirement is assessed);
- "None": no value provided by the Secretariat (e.g.: requirement assessed as Compliant, no text provided in "Observations");
- "Not assessed": for timeliness and compliance when no assessment has been made yet or the requirement is not assessable;
- "-": no information provided by the CPC for this question (e.g.: nothing entered in a text entry field, no boxes checked...);
- "Not Submitted": the value will only be available after submission of the report (e.g.: the "Report date").

Figure 7 : CR Reading instructions.

**B) THE COMPLIANCE REPORTS WORKFLOW DURING THE COMPLIANCE COMMITTEE MEETING (CoC23)- FROM THE DRAFT CR TO THE FINAL CR**

The established time frame/calendar of the Compliance Reports Processes, is presented in Table 1 of Appendix 1, was drafted based on the agreement made at by the Ad-Hoc WGAV. The objective of the calendar is to assist CPCs to understand the effects of applying the RoP deadlines and to inform CPCs on the key dates for the Compliance Reports.

- The draft CR is available and open to CPCs in e-MARIS for input of remarks,
  - o 20 Days - *FROM 22 March 2026 to 10 April 2026*,
- The Summary CR is available and open to CPC in e-MARIS for input of Follow-up/remedial actions,
  - o 15 days - *FROM 16 April 2026 to 30 April 2026*,

What are the CPCs deadlines to provide input in the draft CR and the summary CR and then submit the CR in the e-MARIS application.

- o Deadline to submit draft CR is *10 April 2026*,
- o Deadline to submit summary CR is *30 April 2026*,

When the CR will be closed to CPCs, to allow the Secretariat to prepare the different CRs for the Compliance Committee and the Commission meeting,

- o Draft CR is closed during 5 Days - *FROM 11 April 2026 to 15 April 2026*,
- o Summary CR is closed 3 days - *FROM 01 May 2026 to 03 May 2026*,
- o Provisional CR is closed - *FROM 07 May 2026 until the end of the Commission meeting*.

**RECOMMENDATIONS**

That the WPICMM09:

- 1) **NOTE** the meeting document IOTC-2026-WPICMM09-11, which describes: 1) the 2026 Compliance Report, content and structure, and 2) the Compliance Report work-flow during the CoC23, the decision making process during the Compliance Committee (CoC23) and the Commission (S30) meetings.

On the 2026 Compliance Reports, content, structure:

- 2) **NOTE** the CoC23 campaign description and the 4 pages structure of the Compliance Report.

On Compliance Reports workflow during the Compliance Committee meeting (CoC23)- From the Draft-CR to the Final-CR:

- 3) **NOTE** the timelines and the decision-making process of the Compliance Committee during the Compliance Committee meeting (CoC23).
- 4) **NOTE** the established time frame/calendar of the Compliance Reports Processes, presented in Table 1 of Appendix 1, and **FURTHER NOTE**:
  - a. *FROM 22 March 2026 to 10 April 2026*, the draft-CR is available and open to CPC in e-MARIS for input of remarks.
  - b. *FROM 16 April 2026 to 30 April 2026*, the Summary CR is available and open to CPC in e-MARIS for input of Follow-up/remedial actions.
  - c. The deadline to submit the draft CR is *10 April 2026*.
  - d. The deadline to submit the Summary CR is *30 April 2026*.
  - e. *FROM 11 April 2026 to 15 April 2026*, the draft CR is closed.
  - f. *FROM 01 May 2026 to 03 May 2026*, the Summary CR is closed.
  - g. *FROM 07 May 2026 until the end of the Commission*, the Provisional CR is closed.
- 5) **NOTE** that the IOTC Secretariat shall compile the Compliance Reports – dCR, sCR, pCR and fCR, and **FURTHER NOTE** that the compliance assessment will be carried out in the [e-MARIS application](#).

**Appendix 1 - Table 1:** Established time frame/calendar of the Compliance Committee (CoC23), May 2026.

Time frame of actions			Deadlines	CR STATUS	Secretariat (SEC), CPC action(s)
dCR open	dCR available in e-MARIS	<b>22 March 2026</b>		dCR open for input by CPC	
		SEC make dCR available to CPCs in e-MARIS 50 days before COM meeting	SEC Deadline for providing dCR in e-MARIS		dCR available in e-MARIS
		CPCs have 20 days to provide Remarks (dCR open to CPC for inputs of remarks)	20 Days - FROM 22 March 2026 to 10 April 2026		dCR available/open in e-MARIS for CPC input
		<b>10 April 2026</b>			
			CPC deadline for reply/submit dCR		
dCR closed		<b>11 April 2026</b>		dCR closed for input by CPC	<b>SEC translate/manage/publish in e-MARIS</b>
		SEC has 5 days to finalise the dCR based on Remarks provided by CPCs	5 Days FROM 11 April 2026 to 15 April 2026		<b>Do not share dCR in e-MARIS</b> <b>Do not post dCRs on CoC meeting page</b>
sCR open	sCR available in e-MARIS	<b>16 April 2026</b>		sCR open for input by CPC	
		SEC make sCR available to CPCs in e-MARIS 25 days before COM meeting	SEC Deadline for providing sCR in e-MARIS		sCR available in e-MARIS
		CPCs have 15 days to provide/input in column Follow-up/remedial actions in sCR (sCR open to CPC for)	15 days - FROM 16 April 2026 to 30 April 2026		sCR available/open in e-MARIS for CPC input of Follow-up/remedial actions
		<b>30 April 2026</b>			
			Deadline to submit the sCR		
sCR closed		<b>01 May 2026</b>			

			SEC make the final sCR  based on Follow-up/remedial ("CPC Remediation/Follow-up actions recommendation CoC/COM") provided by CPCs and make it available to OTHER CPCs in e-MARIS		3 days - <i>FROM 01 May 2026 to 03 May 2026</i>	sCR closed for input by CPC	SEC translate/manage/publish/share sCR for readiness/review for CoC23  Post dCRs on CoC meeting page
		03 May 2026			Latest 03 May 2026 (final sCR available in eMARIS)		
sCR re-open	CoC meeting	04 April 2026			CoC start	sCR reopen for input by CPC	
		05	3 days for CPCs to provide/input in column Follow-up/remedial actions column in sCR		sCR is reviewed by the CoC		
		06			CoC end		During the CoC, CPCs can still input on Follow-up/remedial in the column "CPC Remediation/Follow-up actions recommendation CoC/COM".
pCR closed / pCR closed	pCR available in e-MARIS	07 May 2026				pCR closed	SEC translate/manage/publish/share pCR for readiness/review for S30  Post pCRs on S30 meeting page
			SEC to prepare the pCR for the COM meeting		3 Days - From 10 April 2025 (pCR available in eMARIS)		
		10 May 2026			SEC Deadline for providing pCR in e-MARIS		
	Commission meeting (COM)	11 May 2026			COM start		
			pCR is reviewed by the COM				

			SEC finalise fCR		Once agenda point related to the pCR is closed.		<a href="#">SEC translate/manage/publish/share fCR and Post fCRs on COM meeting page</a>
		<b>15 May 2026</b>			COM end		
							During the S30, CPCs cannot input on Follow-up/remedial in the column "CPC Remediation/Follow-up actions recommendation CoC/COM".

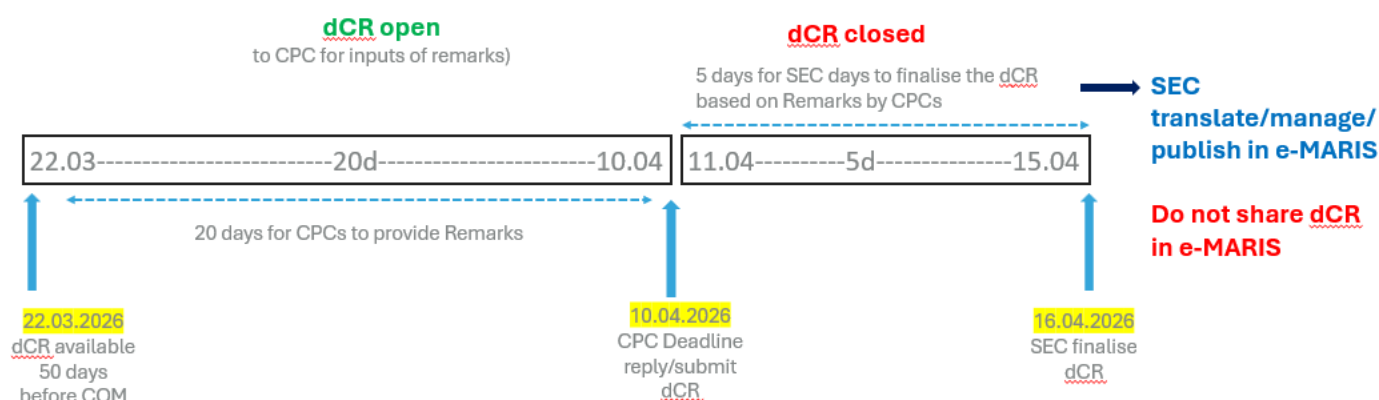


**Appendix 2 – Diagram :** Established time frame/calendar of the Compliance Committee (CoC23), April 2026.

IOTC COMPLIANCE REPORTS PROCESSES – COC23

**COMPLIANCE REPORT PROCESS (d-CR)**

- dCR in e-MARIS 50 days before COM meeting (**22 March 2026**)



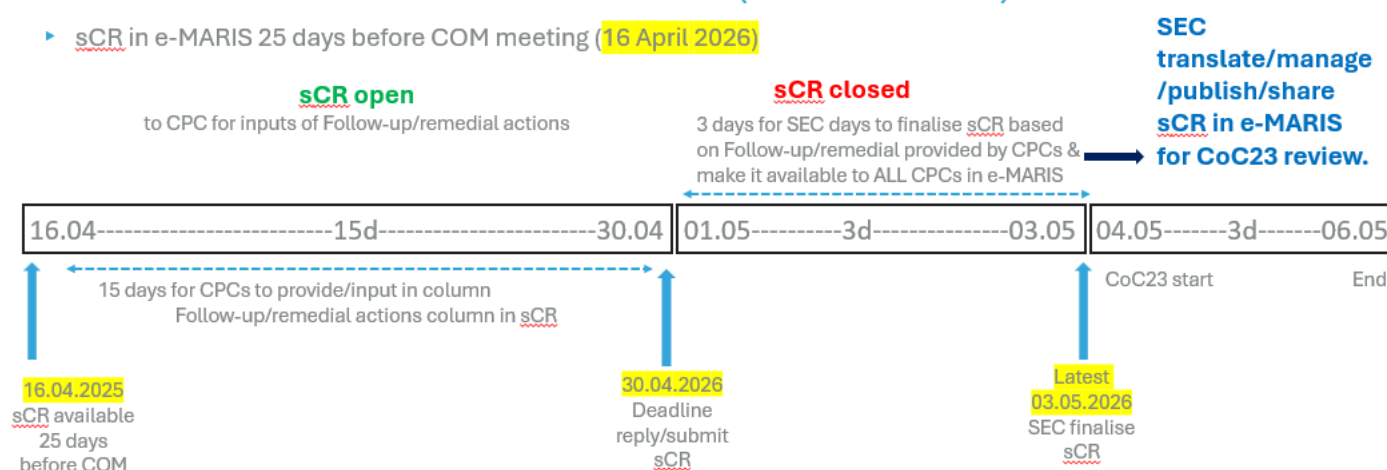
**SEC translate/manage/publish all dCRs in e-MARIS; DO NOT SHARE in e-MARIS**

**SEC do not post dCRs on CoC meeting page**

IOTC COMPLIANCE REPORTS PROCESSES – COC23

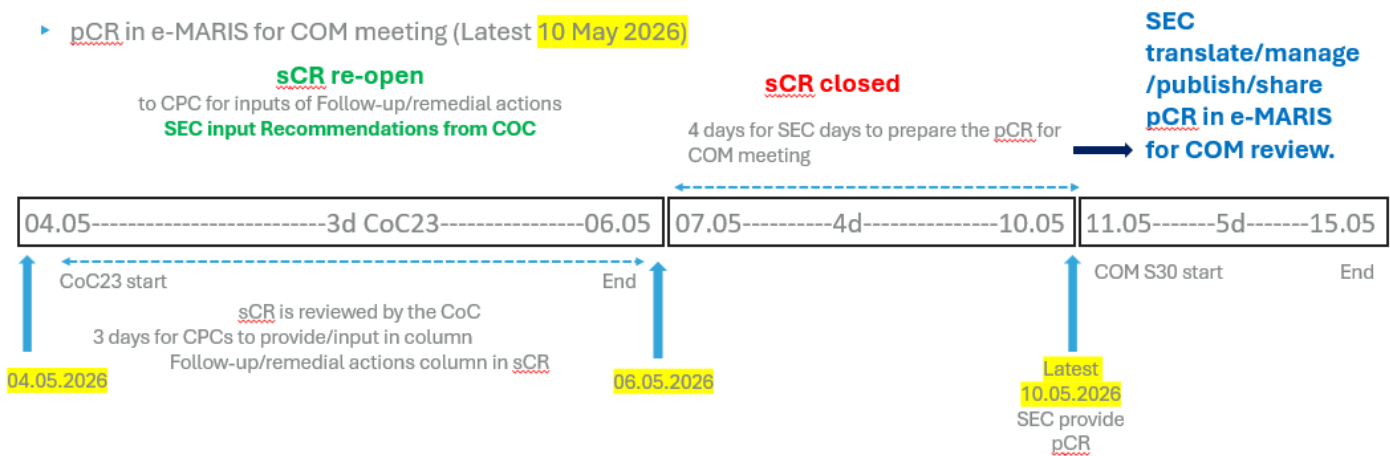
**COMPLIANCE REPORT PROCESS (d-CR to s-CR)**

- sCR in e-MARIS 25 days before COM meeting (**16 April 2026**)



**SEC translate/manage/publish/share all sCRs in e-MARIS**  
**SEC post all sCRs on CoC meeting page**

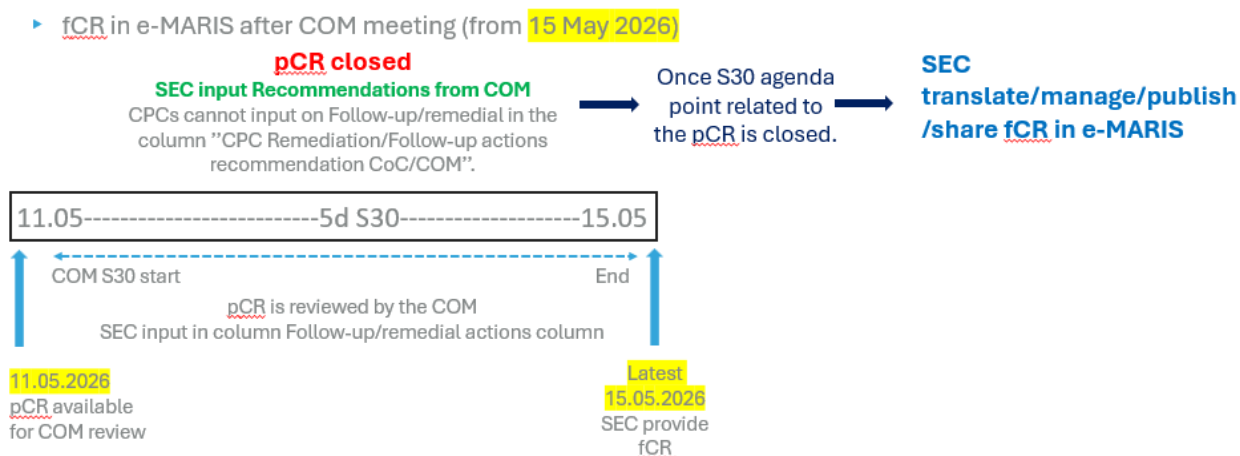
## COMPLIANCE REPORT PROCESS (s-CR to p-CR)



✓ SEC translate/manage/publish/share all pCRs in e-MARIS

SEC post all pCRs on COM meeting page

## COMPLIANCE REPORT PROCESS (p-CR to f-CR)



✓ SEC translate/manage/publish/share all fCRs in e-MARIS

SEC publish all fCRs on COM meeting page