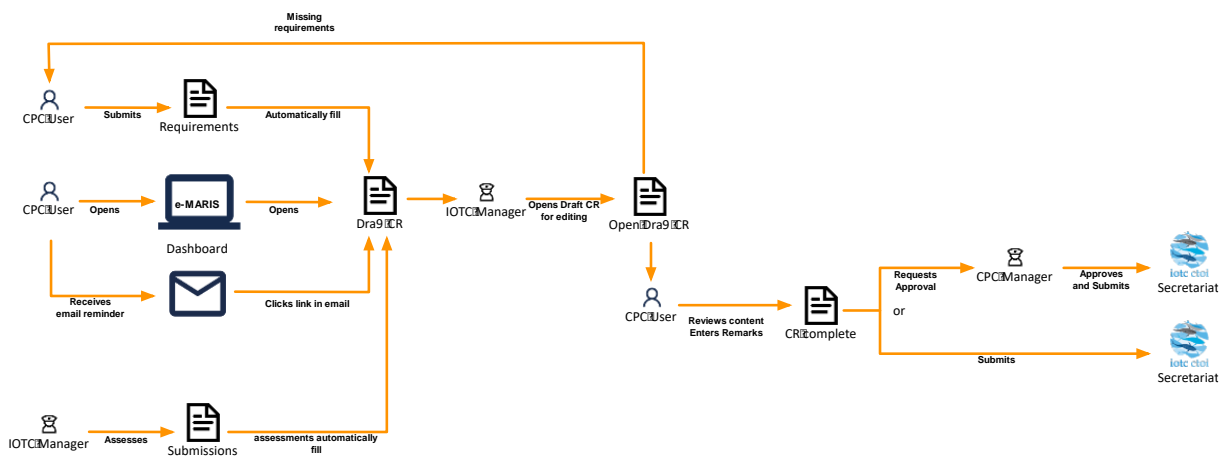


e-Marlis Quick Start series: e-MARIS REPORTS: the Compliance Report

Updated: 29/04/2024 08:20:00

What is this guide about?

This quick start guide will explain how you, an e-MARIS user, can consult and submit your e-MARIS annual Compliance Report.



The details on how to manage your CPC and users, how to use e-MARIS for reporting, etc. as well as an overview of the e-MARIS Dashboard, are provided in dedicated Quick Start guides, available here: <https://iotc.org/e-marlis>.

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The Compliance Report

The IOTC Compliance Report (CR) is the culmination of the IOTC Compliance assessment process and is produced annually for all CPCs, and presented at the Compliance Committee meeting.

It is presented mainly as a table that contains one row for each reporting requirement that is assessed as part of the Compliance process.

*The main change from the current process of review and submission of the CR is that in e-MARIS, **all the information included in the CR is now populated automatically from the assessments provided by the Compliance Section for each requirement.***

The requirements that are to be reported on the CR appear, like all the other requirements, in your Dashboard (see the dedicated "Reporting using e-MARIS" Quick Start guide).

Now, **e-MARIS will reduce that time by automatically filling the CR**, based on the information submitted by your CPC for each requirement covered in the CR. It will highlight which requirements you haven't submitted yet, allowing you to identify them at a glance.

All you have to do is:

- Submit the requirements which are included in the CR, according to the submission calendar.
- Once you have been notified by IOTC that the Draft CR (DCR) is available, open the Draft CR
- Review its content
 - Identify potential Requirements for which you haven't submitted information
 - Submit the required information, and see the content of the Draft CR updated in real time
- For each requirement, provide any CPC Remark, as needed.
- Once done, submit the Draft CR to the IOTC Secretariat.
- The Compliance Section will then translate your Remarks and publish, then share, the PDF versions of the Draft CR with the other CPCs.
- According to the updated Compliance Process, the Draft CR will then be used to compile a Summary CR (SCR), discussed at the CoC meeting. The SCR will then be used to create the Provisional CR (PCR), discussed at the Commission meeting. The Final CR (FCR) will then be published after the end of the Commission meeting.

Draft, Summary, Provisional and Final CR

According to the new Compliance process adopted by the Commission, the Compliance Report goes through the following stages, for which the first table has varying content:

1. **DCR:** all the requirements and reports that are assessed in the campaign, with columns for previous timeliness and compliance status;
2. **SCR:** only the requirements and reports for which compliance issues have been found with columns for previous timeliness and compliance status;
3. **PCR:** only the requirements and reports for which compliance issues have been found, without columns for previous timeliness and compliance status, but with a column for CoC/Commission recommendations to be collected;
4. **FCR:** this is the final form of the CR, similar in structure to the PCR, published at the end of the Commission meeting.

Filling and submitting the DCR in e-MARIS: global workflow

Below is the overall workflow for filling and submitting your annual Compliance Report in e-MARIS. Each step is detailed in the following sections.

- STEP 1: Connect to e-Marlis**
- STEP 2: Submit the requirements which are included in the CR, following the submission calendar**
- STEP 3: Wait to be notified by the IOTC Compliance Section that the Draft CRs are ready**
- STEP 4: Open your Draft Compliance Report**
- STEP 5: Review the required information**
- STEP 6: Add any CPC remark, as required**
- STEP 7: Save your work**
- STEP 8: Request Approval**, if your CPC has an internal approval process in place.
- STEP 9: Make any changes as requested**, if your request for approval was rejected by your manager.
- STEP 10: Submit the Draft Compliance Report to the IOTC Secretariat**, (if your draft has been approved when there is an internal approval process).
- STEP 11: Get feedback from the IOTC Secretariat.**
- STEP 12: Do a new submission**, if needed.

Details about the Submission process

The process of viewing and submitting the Draft Compliance Report is largely similar to that related to Requirements and reports such as the CQ and IR, so we will focus in this Quick Start guide on the specificities of the CR.

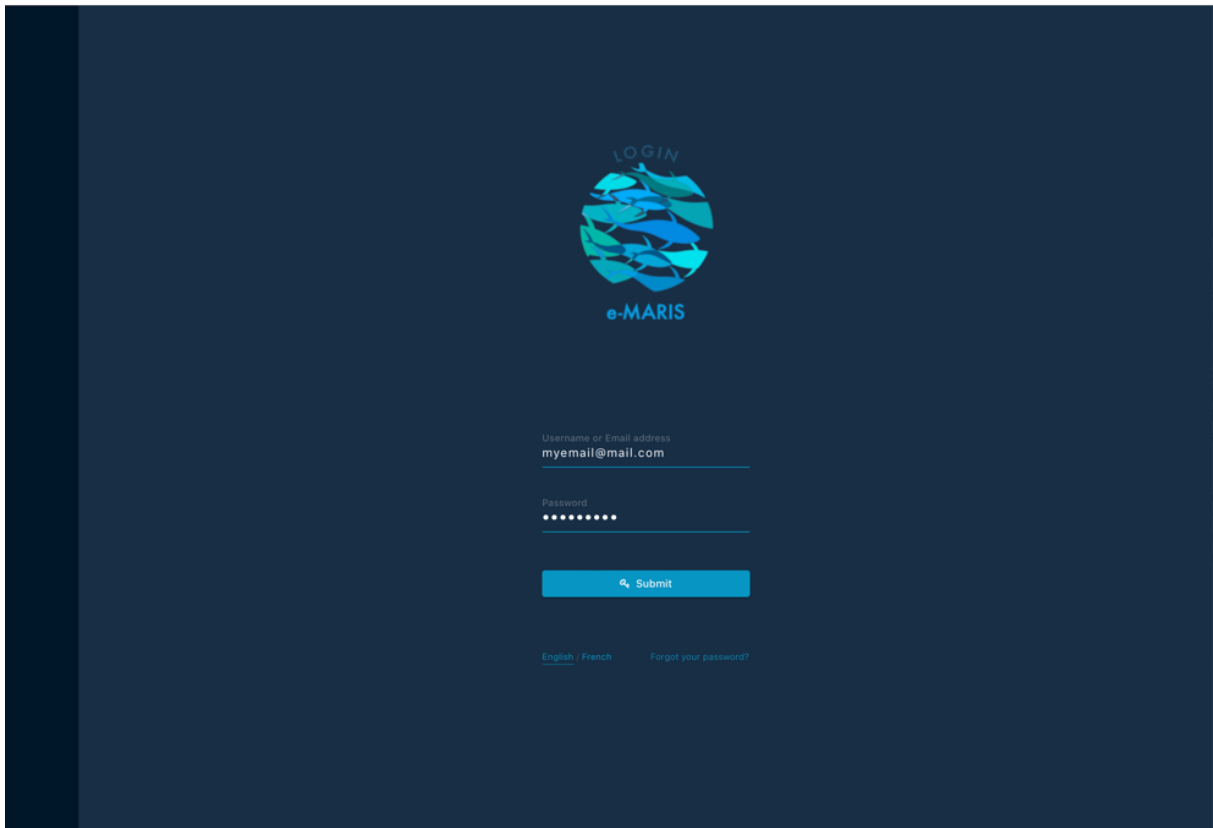
If you want more details on the submission and feedback process, please consult the dedicated guides, available here: <https://iotc.org/e-marlis>

Accessing the Dashboard

- STEP 1:** Open the e-MARIS URL in your web browser:

<http://emaris.iotc.org>

and enter your username or email and password in the login screen, then click "Submit".



Note that once connected, the application will keep you logged in for several days, unless you log out manually.

Once logged in, you will land on your CPC's Dashboard.

STEP 2: Your Dashboard Summary tab will be displayed.

The screenshot displays the e-MARIS dashboard for the 'CoC20 - 2023 Assessment'. The 'Summary' tab is active, showing a 'Running' compliance cycle. A circular gauge indicates that 5% of submissions are complete. Key statistics include 123 due requirements, 6/121 requirements, 0/2 reports, and 0% late submissions. A table lists various tasks with their due dates and current statuses. The 'LATEST MESSAGES' section contains a reminder about the Vessel Monitoring System (VMS) report for 2021.

NAME	DUE DATE	CURRENT STATUS	LAST UPDATED
9.2 5% coverage at sea	13/2/2023		
9.3 5% Artisanal landings	13/2/2023		
9.4 Observer reports	13/2/2023		
Compliance Questionnaire for 2022	13/2/2023		
3.1 Active vessels	15/2/2023		
3.12 List YFT vessels	15/2/2023		
3.8 Foreign Vessels EEZ	15/2/2023		
3.9 Foreign Vessels denied	15/2/2023		
7.Xa Proposal IUU listing	19/2/2023		

Consult the **dedicated Quick Start Guide** to learn more about the Dashboard and its components.

Deadlines, submission dates and time zones in e-MARIS

As per the IOTC Compliance process, *deadlines for submission of required information and report have always been defined in the IOTC Secretariat time zone, i.e. UTC+4.*

In order to facilitate the work of CPCs, e-MARIS allows you to see a deadline (or any other date) in several time zones: your **"current"** zone (based on your current geographical location, as determined by your computer IP address –*which can be incorrect if you use a VPN*), your **"home"** zone (defined in your user settings), the **"campaign"** zone (defined as Seychelles or UTC+4) and the **"UTC"** zone (i.e. GMT).

All deadlines and dates are displayed in the **Preferred time zone** defined in your User profile.

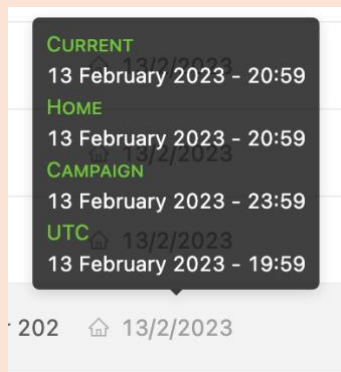
Preferred time zone

Use Current Location

Select one zone.

Be aware that deadlines are generally defined as *"before the end of the day in Seychelles"*, meaning that 13/02/2023 means *"13/02/2023 23:59 UTC+4"*.

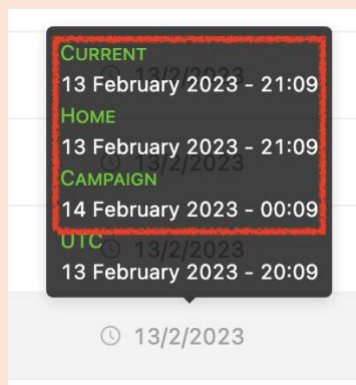
You can see the **date and time** of a deadline or submission date by hovering your mouse above the date. A tooltip will show you the date and time in the various time zones (example with current and home time zones being Paris, or UTC+1):



This explains why you might see a deadline of 13/02/2023, submit on 13/02/2023 at 21:09 in your own time zone, and see a timeliness assessed as Late.



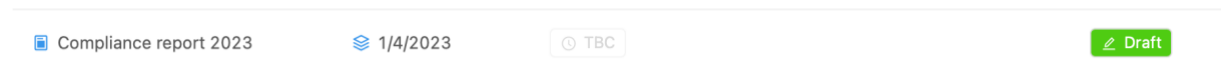
This is because in that case the deadline (13/02/2023 23:59 UTC+4) converted to your time zone is 13/02/2023 20:59 UTC+1, and you submitted on 13/02/2023 21:09 UTC+4, 10' after the deadline.



Opening the Compliance Report from the Dashboard

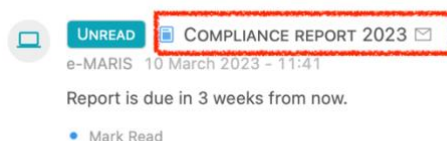
From your Dashboard, you can open the report (in this example, the CQ) to consult, fill and submit it, from several locations:

- **Lists of reports:** From any list of reports (e.g. "TO DO" on the Summary tab, the Calendar tab or the Reports tab), click on the Report name to open it for edition and submission.



You will notice that the report will be shown as a Draft, since the IOTC Compliance Section will have prepared it for your review and remarks.

- **Messages:** When a reminder is sent about the Report deadline, it will appear as in the Latest Messages section of the Summary tab and in the Messages tab. Click on the title bar of the message to open the relevant requirement.



Opening the Report from a notification email

When the draft CR is ready, the IOTC Compliance Section will notify you through e-MARIS. You will receive a notification and an email at the address you used to register your e-MARIS account.

The email contains the following information:

- Up top: the title of the Campaign to which the requirement belongs
- In the middle: the title of the report (i.e. the Compliance Report), along with when it is due
- At the bottom: a button allowing you to open e-MARIS

Simply click the "Open e-MARIS" button and it will open e-MARIS in your web browser, and from there you can open the Reports tab and open the Compliance report 2023.

Reviewing the draft Report and providing your CPC remarks

STEP 1: Open the Report, from the Dashboard or from a notification email.

The Report will be displayed in editing mode.

Req. n°	Source (para n°) (year)	Information required	Deadline	Previous timeliness	Previous content	Current timeliness	Current content	Official observations	CPC remarks
1.1	Article X Agreement (2022)	Report of Implementation	Session -60d 9/3/2023			L	Not Assessed	N/A	en fr
1.1	Article X Agreement (2022)	Report of Implementation	Session -60d 9/3/2023			L	Not Assessed	N/A	en fr
1.2	Rules of P. (4.1) (2022)	Compliance questionnaire	13/2/2023			C	C	Received 13.02.2023. All sections/questions applicable completed.	en

The e-MARIS Draft CR, just like its previous iterations, is composed of several sections, each related to a specific topic.

Each section includes a number of reporting Requirements, and the Report reflects the assessment of each of your Requirement submissions (see the dedicated Quick Start guide on submitting requirements).

Note: as explained above, you do not enter any information in the Report itself (except your CPC remarks), you do that through the relevant Requirements.

Each requirement is displayed differently according to its submission status:

- **Requirements which have been submitted** appear as regular content, and the assessment given to the relevant submission are displayed.

1.1	Article X Agreement (2022)	Report of Implementation	Session -60d 9/3/2023	▼	▼	L	Not Assessed	N/A	en	
									fr	

You can open the relevant submission by moving your mouse cursor over the row and clicking on the name that appears in the tooltip:

1.1	Article X Agreement (2022)	Report of Implementation	Session -60d 9/3/2023	▼	▼	L	Not Assessed	N/A	en	Implementation Report for 2022
									fr	
1.1	Article X	Report of Implementation	Session -60d	▼	▼	L	Not Assessed	N/A	en	

- **Requirements which haven't been submitted** appear inside a yellow frame with a pen icon, attracting your attention to the need that you need to submit information for them.

1.1	Article X Agreement (2022)	Report of Implementation	Session -60d 9/3/2023	▼	▼	Not Assessed	Not Assessed	N/A	en	
									fr	

You can consult the missing requirement by moving your mouse cursor on the yellow pen icon in the top right: it will display the name of the relevant missing requirement.

Not Assessed	N/A	2.2 Vessel Markings
		en
		fr

If you click on the name, the relevant requirement will be displayed, allowing you to submit the required information, if you have it.

STEP 2: Enter your CPC remarks: as per the usual process, once you have reviewed the assessment and official observation made by the IOTC Compliance Section about one of your requirements, you can enter any official **CPC remarks** you want to be recorded as part of the Compliance report:

Req. n°	Source (para n°) (year)	Information required	Deadline	Previous timeliness	Previous content	Current timeliness	Current content	Official observations	CPC remarks
3.1	Res. 10/08 (1) (2022)	List of Active vessels	15/2/2023	▼	▼	L	C	Received 17.02.2023. Has 53 vessels on the Record of authorised vessels and 2 vessels active in 2022.	en We disagree with the "late" assessment fr
3.2	Res. 19/07 (8)	Particulars of charter agreements,	28/2/2023	▼	▼	C	Not Assessed	N/A	en

STEP 3: Save the draft report: the Save button is in the top right of the screen. Click it to save the Draft Report. You can save anytime you want to preserve your work or to come back to it at a later time.

Data									Submission History	Messages	English	Save
Req. n°	Source (para n°) (year)	Information required	Deadline	Previous timeliness	Previous content	Current timeliness	Current content	Official observations	CPC remarks			
1.1	Article X Agreement (2022)	Report of Implementation	Session -60d 9/3/2023	▼	▼	L	Not Assessed	N/A	en fr			
1.1	Article X	Report of Implementation	Session -60d	▼	▼	L	Not Assessed	N/A	en			

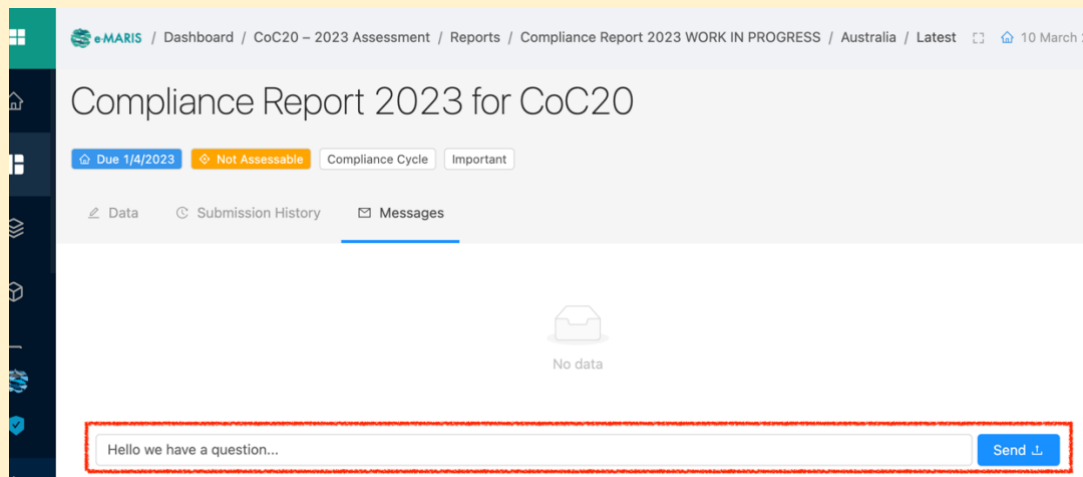
This will save the Report as a Draft, as indicated by a badge in the header of the Report, as well as in any screen listing reports.

Note that once you have saved a draft, the Save button changes to Submit or Request Approval, depending on whether your CPC has implemented an internal approval process or not. See below for more on this.

Asking about a report to the IOTC Secretariat

If you have any question related to the CR, we encourage you to use the in-app messaging system:

1. Open the Report.
2. Go to its Messages tab.
3. Type in your question and click the "Send" button



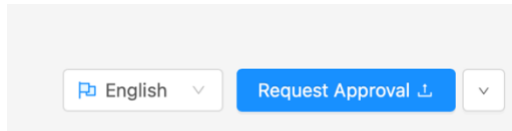
4. Your message will be sent to the IOTC Secretariat (both in-app and by email; you will also receive a copy by email).
5. The IOTC Secretariat can then answer to your question by in-app message, or any other means, as necessary.

Submitting the Report

When the deadline for submission of the Report approaches and/or you are satisfied with its content (i.e. you have submitted as many relevant requirements as possible and you have provided your remarks), it is time to submit the Report to the IOTC Secretariat.

Your CPC can implement in e-MARIS an internal approval process, meaning that only managers can submit the Report to the IOTC Secretariat. Other CPC staff can prepare submissions and request approval for them.

STEP 1: Request approval (if your CPC has an approval process): once you are certain that you provided all the required content and have saved your work, click the "Request approval" button.



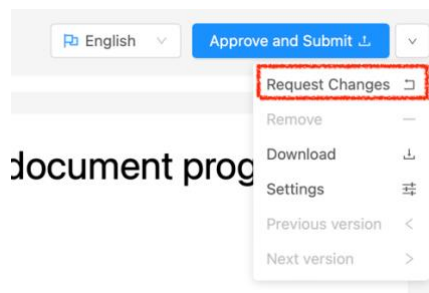
This makes the submission available for internal approval. Afterwards, you will not be able to make further changes until the submission has been approved or rejected.

The manager(s) in charge of your CPC will be notified that this submission is awaiting approval, and the Report will be marked as "Pending".

STEP 2: Review approval requests: if you are a CPC manager, you can review submissions pending approval. You will receive an email notification (as well as an in-app message) about each pending submission, and you can also consult the list of requirements or reports (you can even show just the pending submissions by using the "Status" filter).

Click on a pending submission to consult its content. Review it and, once done, you have two options:

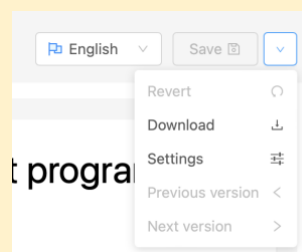
1. **The content of the Report is satisfactory:** it is ready to be sent to the IOTC Secretariat. See below.
2. **The content of the Report is not satisfactory:** changes need to be made to the Report (e.g. additional requirements should be submitted) by the author (or by yourself). Click the Action button and select the "Request Changes" button.



Once confirmed, the pending Report submission will be reverted as a Draft and a message and email notification will be sent informing the author that changes are needed.

The Action menu

When you open the Report, whether it has already been submitted or not, the Action menu in the top right gives you access to a number of options:

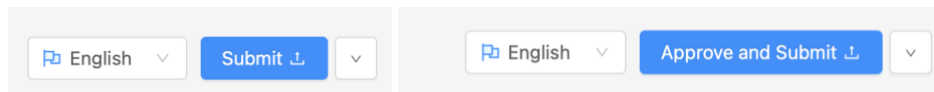


- **Revert:** this allows you to cancel all changes that you haven't saved yet and revert the draft submission to its last saved version (*note: as the Report is entirely built by e-MARIS and you do not have to enter any content, this will always be disabled*).

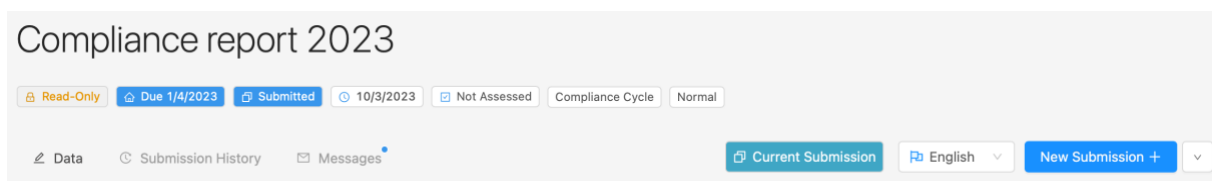
- **Download:** this allows you to download a PDF version of the Report (including its content).
- **Settings:** this is only accessible to CPC managers and allows them to override the default approval lifecycle setting for just this report.
- **Previous** and **next version:** this allows you to switch between successive submissions of the Report (can also be achieved by consulting the "Submission history" tab)

Submitting the Draft Compliance Report

STEP 1: Submit or Approve and Submit (the latter applicable only if your CPC implements an internal approval process): Once you are satisfied with a saved draft, and/or you have validated a request for approval, click the "Submit" or "Approve and Submit" button to send the Compliance Questionnaire to the IOTC Secretariat.



STEP 2: The Report is now submitted



The following happens to a submitted Report:

- It is marked "Submitted" in the application, its date of submission is recorded and the timeliness of its submission is assessed versus the deadline.
- It is now locked and marked as "Read only" and cannot be edited anymore (unless you do a "New Submission", see below)
- the IOTC Secretariat is notified and can review its content.

As explained [above](#), you can download a PDF copy of your submitted Report.

Getting Feedback from the IOTC Secretariat

Once the IOTC Secretariat staff have reviewed your submission, they might have questions or need additional information. If so, they will contact you using an in-app message, which you will receive in your Messages as well as by email.

Revising the Draft CR

As usual, the Draft CRs will be presented at the Compliance Committee and Commission annual sessions, and, if needed, will be revised according to any change in the determination of your compliance.

A new version of the CR will then be generated by the IOTC Compliance Section, reflecting the changes.