

e-MarIS Quick Start series: e-MARIS REPORTS: Compliance Questionnaire & Implementation Report

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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 questionnaire & Implementation Report.

```

    graph TD
      User1[CPC User] -- Submits --> Req[Requirements]
      Req -- Automatically fill --> Draft[Draft Report]
      User2[CPC User] -- Opens --> Dashboard[e-MARIS Dashboard]
      Dashboard -- Opens --> Draft
      Draft -- Reviews content --> Complete[CQ or IR Complete]
      Complete -- Requests Approval --> Manager[CPC Manager]
      Manager -- Approves and Submits --> Secretariat[IOTC Secretariat]
      Complete -- Submits --> Secretariat
      User3[CPC User] -- Receives email reminder --> Email[Email]
      Email -- Clicks link in email --> Draft
      Complete -- Missing requirements --> User1
  
```

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-maris>.

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The Compliance Questionnaire & the Implementation Report

The IOTC Compliance Questionnaire (CQ) and the Implementation Report (IR) are part of the IOTC Compliance assessment process and is sent annually to all CPCs.

They contain a number of questions related to the implementation of the various IOTC Conservation and Management Measures ("requirements"), including some that you have already submitted information for, and some that are only reported with the CQ or IR.

Filling the CQ and IR used to be a time intensive process, as there is a very large number of requirements to report on.

*The main change from the current process of submission of the CQ and IR is that in e-MARIS, **all the information included in the CQ or IR is now submitted through the relevant individual requirements**, instead of being directly reported in the CQ or IR.*

The requirements that are to be reported in the CQ or IR 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 CQ and IR for you**, based on the information submitted by your CPC for each requirement covered in the CQ and IR. It will also 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 CQ or IR, according to the submission calendar.
- Open the draft CQ or IR
- Review its content
 - Identify potential Requirements for which you haven't submitted information
 - Submit the required information, and see the content of the CQ or IR updated in real time
- Once done, submit the CQ or IR to the IOTC Secretariat

Work in progress

The Compliance Questionnaire and Implementation Report are complex documents, referencing a large number of requirements.

If you notice any error or unexpected behaviour, we invite you to report the issues to the IOTC Secretariat at iotc-compliance@fao.org.

This will help us improve the e-MARIS Compliance Questionnaire and Implementation Report.

Filling and submitting the CQ or IR in e-MARIS: global workflow

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

- STEP 1: Connect to e-Maris**
- STEP 2: Submit the requirements which are included in the CQ or IR, following the submission calendar**
- STEP 3: Open the Compliance Questionnaire or Implementation Report**
- STEP 4: Review the required information**
- STEP 5: Save your work**
- STEP 6: Request Approval**, if your CPC has an internal approval process in place.
- STEP 7: Make any changes as requested**, if your request for approval was rejected by your manager.
- STEP 8: Submit the Compliance Questionnaire or Implementation Report to the IOTC Secretariat**, (if your draft has been approved when there is an internal approval process).
- STEP 9: Get feedback from the IOTC Secretariat, including assessment.**
- STEP 10: Do a new submission**, if needed.

Details about the Submission process

The process of viewing and submitting the Compliance Questionnaire or Implementation Report is largely similar to that related to Requirements, so we will focus in this Quick Start guide on the specificities of the CQ and IR.

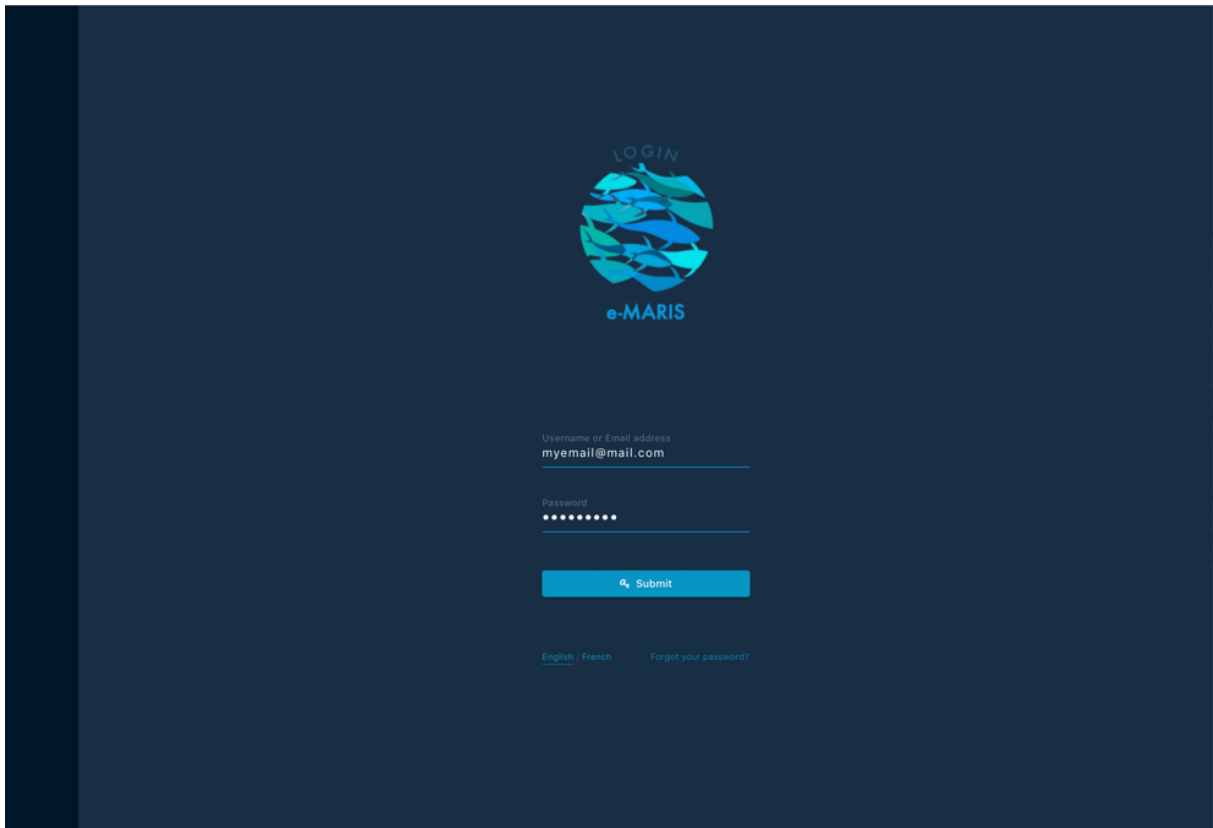
If you want more details on the submission and feedback process, please consult the dedicated guide: "Reporting using e-MARIS", available here: <https://iotc.org/e-maris>

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 requirements are submitted. Key statistics include 123 due requirements, 6/121 requirements completed, 0/2 reports, and 0% late. A table lists various requirements with their due dates and current statuses. The 'LATEST MESSAGES' section contains a reminder from IOTC Compliance regarding 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.

Compliance Questionnaire or Implementation Report

The process is the same for submitting the Compliance Questionnaire or the Implementation Report.

In the rest of this guide, we will use the Compliance Questionnaire as an example.

The exact same processes, user interface etc. apply to the submission of the Implementation Report.

In the rest of this guide, we will use the term "Report" to refer to the Compliance Questionnaire or the Implementation Report.

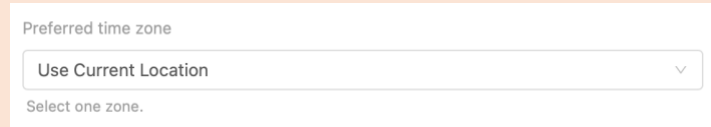
Deadlines, submission dates and time zones in e-MARIS

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.



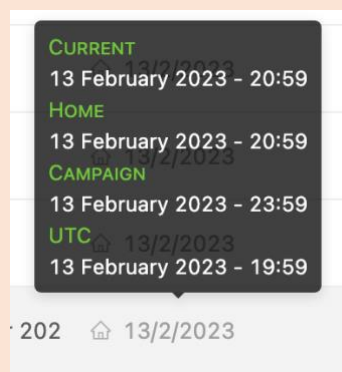
Preferred time zone

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".

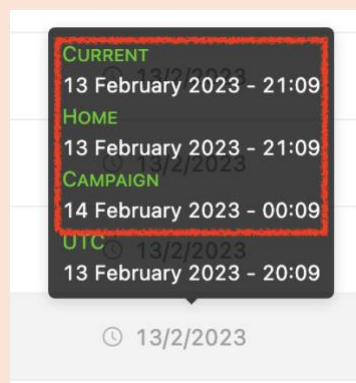
You can see the **date and time** of a deadline or submission date by hovering your mouse above the date. A tooltip will show you the date and time in the various time zones (example with current and home time zones being Paris, or UTC+1):



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.



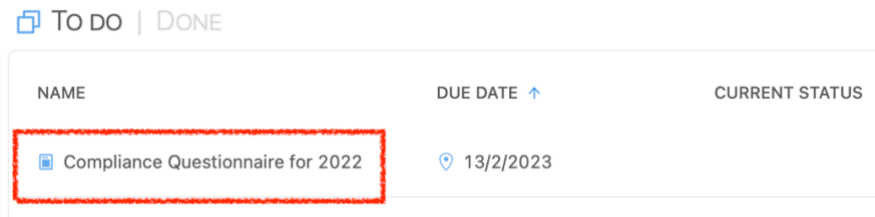
This is because in that case the deadline (13/02/2023 23:59 UTC+4) converted to your time zone is 13/02/2023 20:59 UTC+1, and you submitted on 13/02/2023 21:09 UTC+4, 10' after the deadline.



Opening the Report from the Dashboard

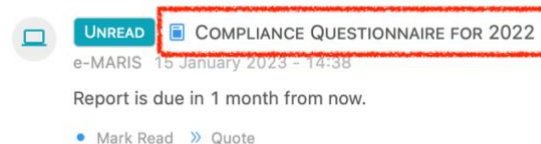
From your Dashboard, you can open a report (in this example, the CQ) to consult, fill and submit it, from several locations:

- **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.



NAME	DUE DATE ↑	CURRENT STATUS
Compliance Questionnaire for 2022	13/2/2023	

- **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 a reminder is sent about the CQ deadline, you will receive it as 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 Questionnaire), along with when it is due
- At the bottom: a button allowing you to open the Report in e-MARIS

Simply click the "Open Report in e-MARIS" button and it will open e-MARIS in your web browser, on a page allowing you to edit then submit the Report.

Reviewing the draft Report

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

The Report will be displayed in editing mode.

e-MARIS / Dashboard / CoC20 – 2023 Assessment / Reports / Compliance Questionnaire for 2022 / Latest 15 January 2023 - 14:43 Australia Manager

Compliance Questionnaire for 2022

Due 13/2/2023 Compliance Cycle Important

Data Submission History Messages English Save

DRAFT

This is a draft layout for the new Compliance questionnaire built by e-MARIS. Each Requirement for which you haven't submitted any information is framed in orange. Simply mouse over the orange icon in the top right corner and click on the requirement name to open it, ready for you to submit the required information. Please refer to the CQ Quick Start Guide to learn more. For the moment, you cannot submit the CQ as its layout has not been finalized.

IOTC-2023-CQXX[E]-@party.name @report.revision

Rules of Procedures - Appendix V

Questionnaire for the year 2022 (CoC20)

Deadline for submission: 2/13/2023

NOTE: the questionnaire is composed of 5 sections reporting on the implementation of IOTC Resolutions.

Reporting CPC: Australia
Date of submission: product.submissionDate

You can consult your previous Compliance questionnaire for CoC 19, by [clicking here](#).

Note: All laws, regulations and administrative instructions in force must be uploaded in the requirement 3.5 named "Transposition of IOTC Conservation and Management Measures into national legislation".

The e-MARIS CQ and IR, just like their previous iterations, are composed of several sections, each related to a specific topic.

Each section includes a number of reporting Requirements, and the Report reflects the answers you have given to the questions in 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, you do that through the relevant Requirements.

Section 1 – Implementation obligations

1.1 IOTC Agreement

Article X.2 of the IOTC Agreement – Report of Implementation
Information required: Report of Implementation

REQ 1.1 Part 1

- 1 - The Implementation Report has been provided to the IOTC Secretariat in 2021 (CoC19):
- 2 - All sections of the Implementation Report have been completed:

1.2 Scientific committee

Report of the Scientific Committee SC04 – National scientific report
Information required: National scientific report

REQ 1.3

- 1 - The 2021 national scientific report for the annual session of the Scientific Committee in 2022 has been provided to the IOTC Secretariat: [Yes](#)
- 2 - The 2021 national scientific report for the annual session of the Scientific Committee in 2022 has been completed using the latest template report as directed by the Circular 2022-40: [Yes](#)

Each requirement is displayed differently according to its submission status:

- **Requirements which have been submitted** appear as regular content, and the answers given in the relevant submission are inserted in the Report, in **blue text** (e.g.: in the screenshots below you can see that the box "Yes" has been checked for both questions in the submission)

Requirement 1.3 as included in the CQ:

1.2 Scientific committee

REQ 1.3

Report of the Scientific Committee SC04 – National scientific report
Information required: National scientific report

1 - The 2021 national scientific report for the annual session of the Scientific Committee in 2022 has been provided to the IOTC Secretariat: **Yes**

2 - The 2021 national scientific report for the annual session of the Scientific Committee in 2022 has been completed using the latest template report as directed by the Circular 2022-40: **Yes**

Requirement 1.3 as submitted by the relevant CPC:

Data Submission History Messages Current Submission English Assess

Reporting obligation CR N°1.3, CQ

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

1. The 2021 national scientific report for the annual session of the Scientific Committee in 2022 has been provided to the IOTC Secretariat

Yes No

Check one of the options

If YES, specify the date of submission:
20 November 2022 IOTC-2022-SC25-NR01

If NO, upload your national scientific report in the UPLOAD Section and the date of submission will automatically be completed.

2. The 2021 national scientific report for the annual session of the Scientific Committee in 2022 has been completed using the latest template report as directed by the Circular 2022-40:

Yes No

Check one of the options

- **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.

Requirement 1.1 Part 1 as included in the CQ:

1.1 IOTC Agreement

REQ 1.1 Part 1

Article X.2 of the IOTC Agreement – Report of Implementation
Information required: Report of Implementation

1 - The Implementation Report has been provided to the IOTC Secretariat in 2021 (CoC19):

2 - All sections of the Implementation Report have been completed:

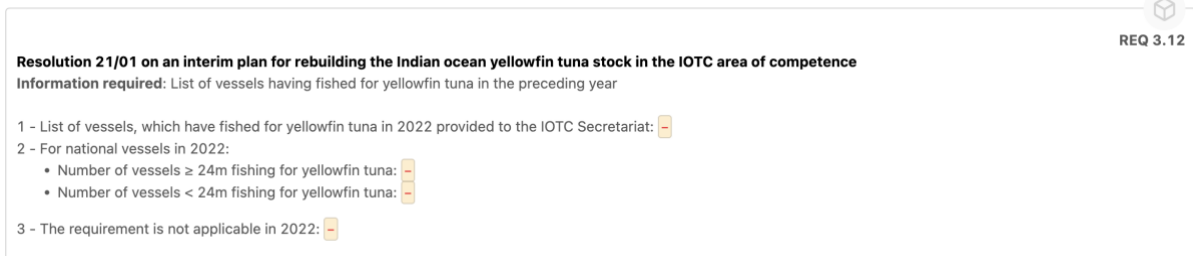
You can consult the missing requirement by moving your mouse cursor on the yellow pen icon in the top right: it will display the name of the relevant missing requirement.



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

- **Requirements which don't apply to you** appear inside a grey frame with a cube icon, attracting your attention to the fact that you do not need to submit information for them.

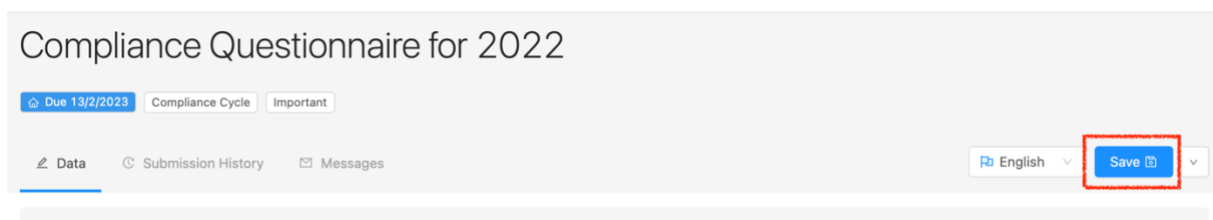
Requirement 3.12 as included in the CQ:



The screenshot shows a requirement card with a grey background and a cube icon in the top right corner. The text reads: "Resolution 21/01 on an interim plan for rebuilding the Indian ocean yellowfin tuna stock in the IOTC area of competence". Below this, it says "Information required: List of vessels having fished for yellowfin tuna in the preceding year". There are three numbered items: 1 - List of vessels, which have fished for yellowfin tuna in 2022 provided to the IOTC Secretariat; 2 - For national vessels in 2022: (a) Number of vessels ≥ 24m fishing for yellowfin tuna; (b) Number of vessels < 24m fishing for yellowfin tuna; 3 - The requirement is not applicable in 2022.

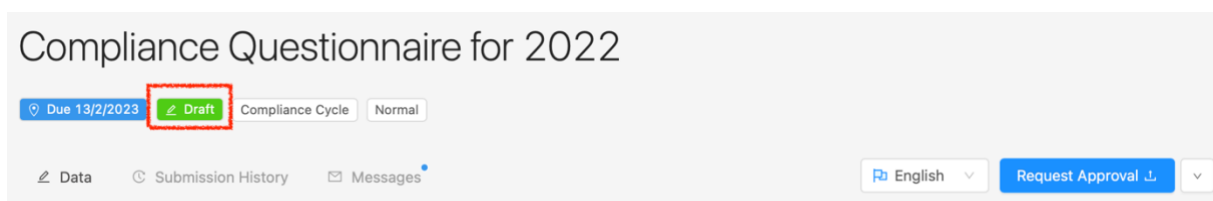
After having submitted the requirement, you can go back to the Report (by opening it as explained [above](#) or clicking the Back button in your browser) and you will see that it has been updated to reflect the new submission.

STEP 2: Save the Draft report: the Save button is in the top right of the screen. Click it to save the Draft Report.



The screenshot shows the header of a report titled "Compliance Questionnaire for 2022". It includes a due date of "Due 13/2/2023", a "Compliance Cycle" badge, and an "Important" badge. There are navigation links for "Data", "Submission History", and "Messages". On the right, there is a language dropdown set to "English" and a blue "Save" button with a document icon, which is highlighted with a red box.

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.



The screenshot shows the same report header after saving. The "Save" button has been replaced by a blue "Request Approval" button with a downward arrow. A green "Draft" badge with a pencil icon is now visible next to the due date. The "Request Approval" button is highlighted with a red box.

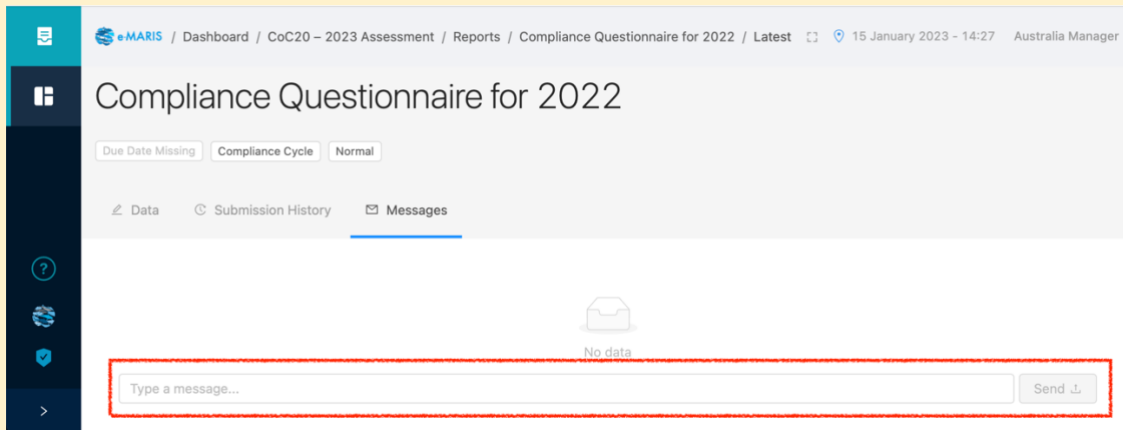
Note that once you have saved a draft, the Save button changes to Submit or Request Approval, depending on whether your CPC has implemented an internal approval process or not. See below for more on this.

Asking about a report to the IOTC Secretariat

If you have any question related to the CQ or IR, 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



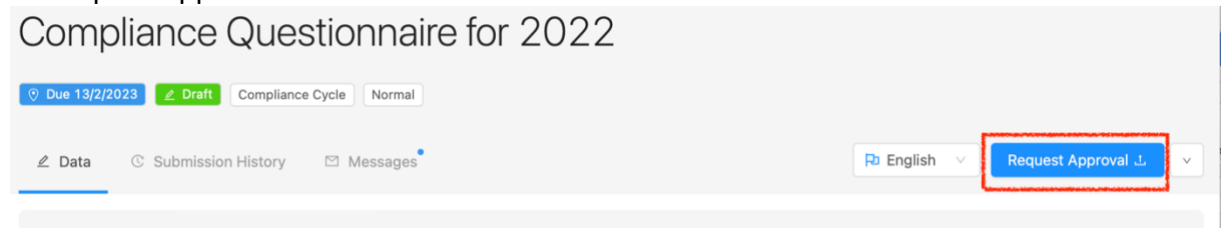
4. Your message will be sent to the IOTC Secretariat (both in-app and by email; you will also receive a copy by email).
5. The IOTC Secretariat can then answer to your question by in-app message, or any other means, as necessary.

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), 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.



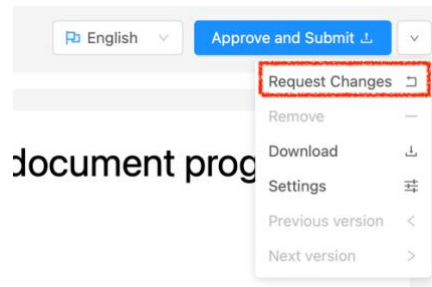
This makes the submission available for internal approval. Afterwards, you will not be able to make further changes until the submission has been approved or rejected.

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:

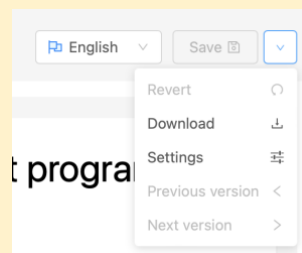
1. **The content of the Report is satisfactory:** it is ready to be sent to the IOTC Secretariat. See below.
2. **The content of the Report is not satisfactory:** changes need to be made to the Report (e.g. additional requirements should be submitted) by the author (or by yourself). Click the Action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

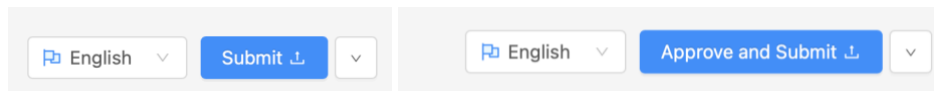


- **Revert:** this allows you to cancel all changes that you haven't saved yet and revert the draft submission to its last saved version (*note: as the Report is entirely built by e-MARIS and you do not have to enter any content, this will always be disabled*).
- **Download:** this allows you to download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

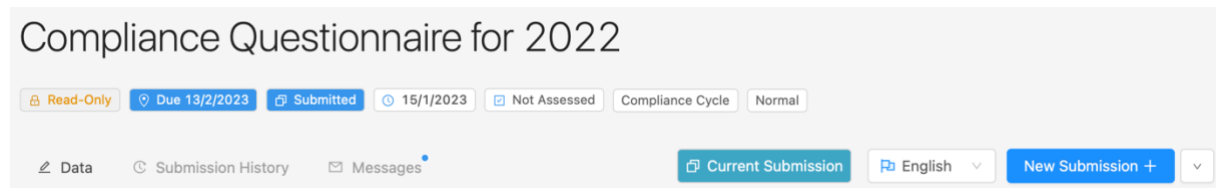
Submitting the Compliance Questionnaire or Implementation Report

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.



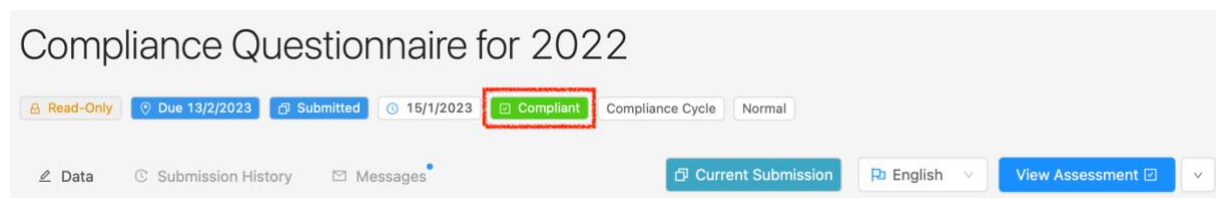
- It is now locked and marked as "Read only" and cannot be edited anymore (unless you do a "New Submission", see below)
- the IOTC Secretariat is notified and can review its content.

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

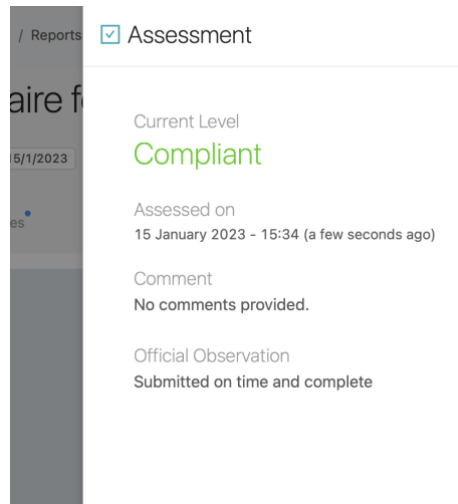
Getting Feedback from the IOTC Secretariat

Feedback from the IOTC Secretariat can take two forms:

1. **Request for additional information:** 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.
2. **Compliance assessment:** once your submission has been received (and in view of preparing the Draft Compliance Report), the IOTC Secretariat Compliance section can assess its compliance with the relevant reporting requirement, and based on the relevant assessment criteria. This will take the form of a Compliance level and an Official observation (both will appear in the Compliance Report). This will be communicated to you through by an in-app message as well as by email.



Click on the "View Assessment" button to consult the details of the Compliance Assessment.

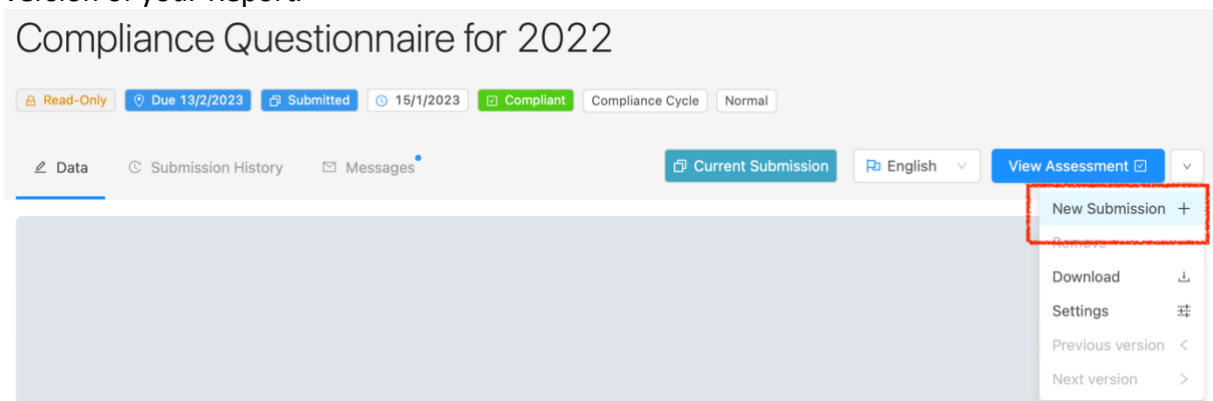


Doing a new Submission

If you have updated submissions for requirements that are included in the Report, you can do a new submission of your Report.

STEP 1: Open the submission: it is marked Read only and you cannot change it.

STEP 2: Click the action button and select "New Submission": this will open a new version of your Report.



STEP 3: Review the new version of the Report as needed.

STEP 4: Request approval (if applicable).

STEP 5: Submit the Report again: the new submission will be added to the Submission history and will replace the previous one as the Current submission.

You can consult previous versions by clicking on them in the Submission history. The version that you are currently viewing is indicated by a blue line to the left of its date.