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**PROPOSAL TO AMEND APPENDIX V OF THE IOTC RULES OF PROCEDURE****PREPARED BY: EUROPEAN UNION**

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**Explanatory memorandum**

In accordance with Rule XVIII of the IOTC Rules of Procedure (2014), the European Union has submitted the below proposal to amend Appendix V of the IOTC Rules of Procedure (2014) - the Compliance Committee terms of reference and rules of procedure.

This proposal was first circulated to Members via IOTC Circular 2018-16 on 22 March 2018. It was further presented and discussed in 2018 at 22<sup>nd</sup> Session of the Commission, then in 2019 at 2<sup>nd</sup> Working Party on the Implementation of Conservation and Management Measures (WPICMM), at the 16<sup>th</sup> Session of the Compliance Committee (CoC), at the 23<sup>rd</sup> Session of the Commission, in 2020 at the 3<sup>rd</sup> WPICMM, in 2021 at the 4<sup>th</sup> WPICMM, at the 18<sup>th</sup> Session of the CoC, in 2022 at the 5<sup>th</sup> WPICMM, at the 19<sup>th</sup> Session of the CoC, at 26<sup>th</sup> Session of the Commission and finally in 2023 at the 6<sup>th</sup> WPICMM. Members of IOTC were also given the opportunity to send written comments intersessionally.

The objective of the EU proposal to amend Appendix V of the IOTC Rules of Procedure (RoP) is to streamline and strengthen the CPCs compliance assessment in IOTC. Notably the proposal aims at improving the existing IOTC compliance assessment procedure by:

- Providing a structured process with increased involvement from CPCs and the Commission in the assessment and follow-up: under the terms of the EU proposal, CPCs are invited to propose the compliance status (self-assessment) applicable to a given non-compliance case amongst a pre-identified number of categories. That assessment, together with the response from the CPC, is then reviewed by the Compliance Committee and endorsed by the Commission. The outcome of the process is reflected in the commitments from CPCs included in the Compliance Report;
- Establishing a framework of possible responses to non-compliance situations: the current letter of non-compliance is replaced by a non-exhaustive list of specific actions to be undertaken by the CPC in case of non-compliance. As in the case of the assessment, the response is discussed and validated by the Commission and registered in the Compliance Report for record and further follow up;
- Grading of the different infractions according to their seriousness. While in the current system the assessment of non-compliance has a tendency to be reflected solely in terms of percentage of obligations that are met, under the revised system proposed by the EU, infractions will be treated in accordance to their seriousness and reflected accordingly in the Compliance Report;
- Ensuring an appropriate follow-up to infractions: the Compliance Report will summarize all the decisions recommended by the Compliance Committee and facilitate their follow-up in the future;
- Improving overall compliance: the final goal of the compliance discussions is not to single-out CPCs' compliance cases but to improve IOTC compliance record by accompanying CPCs' efforts to address compliance issues. This support might include providing technical assistance and capacity building as appropriate, clarifying statutory obligations, recommending amendments to existing Resolutions.

This paper is the same proposal that was presented at the 26<sup>th</sup> Session of the Commission (2022) as amended on the floor. The most important changes made during the Commission and after WPICMM in 2023 were the following:

- Reference to sanctions were removed
- Removal of the compliance status “additional information needed”
- Removal of the compliance status “CMM review”
- Additional compliance status “capacity building in progress”
- Change of denomination for the compliance status “non-compliant” to “non-compliant category 1” and “serious non-compliant” to “non-compliant category 2”
- Adjustment timeline for the compliance process adapted to e-Maris
- Removal of one annex regarding the template to be used for compliance report considering the use of e-Maris

# INDIAN OCEAN TUNA COMMISSION: RULES OF PROCEDURE (2014)

## APPENDIX V

### THE COMPLIANCE COMMITTEE – TERMS OF REFERENCE AND RULES OF PROCEDURE

#### 1. Meeting of the Compliance Committee

The meetings of the Compliance Committee shall be held for a period of at least 2 days to assess individual IOTC Contracting Parties (Members) and Cooperating Non-Contracting Parties' (hereinafter referred together as "CPCs") compliance and [implementation enforcement](#) with their obligations as Members and Cooperating Non-Contracting Parties of IOTC.

#### 2. Mandate and Objectives of the Compliance Committee

- a) The Compliance Committee shall be responsible for reviewing all aspects of CPCs individual compliance with [articles X.1, X.2 and XI.2 of the IOTC Agreement and binding IOTC Conservation and Management Measures](#) ~~in the IOTC area of competence.~~
- b) The Compliance Committee shall report directly to the Commission on its deliberations and recommendations
- c) The Compliance Committee shall cooperate closely with other IOTC subsidiary bodies in order to remain informed on all issues concerning compliance with binding IOTC Conservation and Management Measures
- d) The work of the Compliance Committee shall be guided by the following overall objectives:
  - i) To provide a structured forum for discussion of all problems related to effective implementation of, and compliance with, [articles X.1, X.2 and XI.2 of the IOTC Agreement and binding IOTC Conservation and Management Measures](#) ~~in the IOTC Area~~
  - ii) To gather and review information relevant to compliance with [articles X.1, X.2 and XI.2 of the IOTC Agreement and binding IOTC Conservation and Management Measures](#), and from ~~IOTC subsidiary bodies, and from documents submitted by CPCs (e.g. Reports of Implementation submitted by CPCs and standard questionnaires on compliance) or IOTC subsidiary bodies~~
  - iii) To identify and discuss problems related to the implementation of, and compliance with, [articles X.1, X.2 and XI.2 of the IOTC Agreement and binding IOTC Conservation and Management Measures](#), and to make recommendations to the Commission on how to address these problems, [including considering all available responses to CPC non-compliance.](#)
  - ii)iv) To promote a positive compliance culture that focuses on improving CPCs overall compliance with the IOTC Agreement and binding IOTC conservation and management measures

#### 3. The terms of reference of the Compliance Committee shall be to:

- a) Review each individual CPC's compliance with [articles X.1, X.2 and XI.2 of the IOTC Agreement and binding IOTC Conservation and Management Measures](#) ~~adopted by the Commission~~ and make such recommendations to the Commission

as may be necessary to ensure their effectiveness, notably in relation to:

- i) The mandatory statistical requirements and all issues related to obligatory reporting and data providing, including non-targeted species
- ii) The level of CPCs' conformity with [articles X.1, X.2 and XI.2 of the IOTC Agreement and binding IOTC Conservation and Management Measures](#)
- iii) The ~~EPC's~~[level of CPCs'](#) conformity with the resolutions concerning the limitation of the fishing capacity
- iv) The status of implementation of resolutions for monitoring, control, surveillance and enforcement adopted by the Commission (e.g. Port inspections, VMS, follow-up on infringements and market related measures)
- v) The reporting on authorised as well as active vessels in IOTC area of competence, in particular in relation to the IOTC Resolution on fishing effort limitation.

b) The Compliance Committee shall also be tasked to:

- i) Compile reports, with the help of the IOTC Secretariat, based on information submitted by CPCs in accordance ~~to~~[with](#) the various Resolutions adopted by the Commission and, which will form the basis for the compliance [review examination](#) process
- ii) Develop a structured, integrated approach to evaluate the compliance of each CPC against ~~the IOTC Resolutions in force. The Chairman~~[articles X.1, X.2 and XI.2 of the IOTC Agreement and binding Conservation and Management Measures, as described in paragraphs 4, 5 and 6 below. The Chair](#) of the Compliance Committee, assisted by the IOTC Secretariat, will identify, select and transmit the significant non-compliance issues to each CPC and submit them for discussion at the Compliance Committee meeting.
- iii) Issue its [recommendation opinion](#) on the compliance status of each CPC at the end of the meeting. ~~Non-compliance, in accordance with the binding IOTC Conservation process described in paragraphs 4, 5 and 6 below Management Measures will lead to a declaration of non-compliance by the Compliance Committee and recommend suitable actions for consideration of the Commission.~~
- iv) Develop a scheme of incentives and ~~sanctions~~, [where appropriate, other follow-up actions and including](#) a mechanism for their application to encourage compliance by all CPCs.
- v) Perform such other tasks as directed by the Commission.

4. IOTC Compliance Committee preparatory works:

- a) In preparation for the meeting of the IOTC Compliance Committee the IOTC Secretariat ~~will~~[shall](#):
  - i) ~~send~~[Provide](#) each CPC, [on a secure section of the IOTC website, and notified by email 4 months prior to the annual meeting,](#) a standard questionnaire on compliance with the various ~~IOTC Resolutions governing conservation and management~~[binding IOTC Conservation and Management Measures covering the previous calendar year. Such questionnaire shall also seek information on any follow-up actions by CPCs in response to the previous year's IOTC Final Compliance Report as stipulated in paragraph 6,](#) for receiving comments and answers [from the concerned CPCs no later](#)

than 90 days before the Commission meeting within 45 days;

- ~~i.~~ circulate to all CPCs, 2 months prior the annual meeting, the comments and answers provided by each CPC in response to the questionnaire and invite comments and possible questions from all other CPCs;
- ~~ii)~~ Compile CPCs' initial replies to the questionnaire and comments and questions provided by other CPCs in the form of a draft tables that will form IOTC Compliance Report, using the basis for information contained in the template in Annex A, to be developed by the Secretariat. The draft IOTC Compliance Report shall summarise all available information relating to each CPC's implementation of and compliance examination process. The draft tables with obligations for review by the IOTC Compliance Committee and shall include the suggested compliance status based on Annex A for each compliance issue identified.
- ~~ii)iii)~~ The draft tables will IOTC Compliance Report shall be provided to the relevant CPC on a secure section of the IOTC website and notified by email [or emailed to the relevant authority] no later than 70 days before the Commission meeting. Upon website posting [or emailing] of the relevant draft tables report, each CPC may reply to the IOTC Secretariat no later than 5040 days before the Commission meeting within 15 days in order to (where appropriate):
  1. provide additional information, clarifications, amendments or corrections to information contained in its draft report;
  2. identify any particular difficulties with respect to implementation of any obligations; or
  3. identify technical assistance or capacity building needed to assist the CPC with implementation of any obligations; and/or
  4. request propose a change to any suggested compliance status based on justified grounds.
- ~~iv)~~ The IOTC Secretariat will shall then produce finalised tables for each the IOTC Summary Compliance Report based on the draft Compliance Report of each CPC that will. The IOTC Summary Compliance Report shall form the basis for the compliance examination process described in paragraphs 5 and 6 and shall include, *inter alia*, a summary of each CPC's compliance with obligations, any compliance issues identified and a suggested preliminary compliance status by the Secretariat in accordance with Annex A.
- ~~iii)v)~~ These tables will be distributed to CPCs for discussion during the IOTC Compliance Committee. This table could be updated up to one week prior to the commencement of the Compliance Committee. The IOTC Summary Compliance Report shall be made available to all CPCs on a secure section of the IOTC website no later than 30 days before the Commission meeting.

~~4.2 The Chairperson of the IOTC Compliance Committee, assisted by the IOTC Secretariat, will identify, select and transmit the significant non-compliance issues to each concerned CPC and submit them for discussion in the IOTC Compliance Committee meeting at least 30 days in advance.~~

#### 5. Provisional IOTC Compliance Report

- a) At each meeting, the IOTC Compliance Committee shall review the IOTC

Summary Compliance Report, taking into account information contained in the report, as well as any further suitably documented information provided prior to or at the Compliance Committee meeting. The Compliance review process shall be undertaken CPCs by CPCs as well as measure by measure and obligation by obligation, as needed, and if required, prioritising non-compliance of category 2 and other recurring compliance issues. The Compliance Committee may request any CPCs that have relevant information to provide further details. The Compliance Committee shall also discuss non-submission or late submission of the questionnaire referred to in paragraph 4.a)i).

## 2. Opinion of the Compliance Committee

~~At the end of the meeting the Compliance Committee shall issue its opinion on the compliance status of each CPC.~~

- b) On the basis of the information available, the Compliance Committee shall recommend a Provisional Compliance Report. The IOTC Provisional Compliance Report shall record any compliance issues identified, including an assessment of compliance status in accordance with Annex A. The IOTC Provisional Compliance Report shall record suggested follow-up actions in respect of compliance issues identified, in accordance with Annex A, including timeframes for implementation.
- c) For the purposes of the Provisional and Final IOTC Compliance Report, “Compliance Status” shall be based on the following information:
  - i) For a CPC-level quantitative limit or collective CPC quantitative limit, such as a limit on fishing capacity, fishing effort, or catch: verifiable data indicating that the limit has not been exceeded.
  - ii) For other obligations:
    - 1. Implementation – where an obligation applies, the CPC is required to inform and provide support documents, in national language if French and English is not available, that it has adopted, in accordance with its own national policies and procedures, binding measures that implement that obligation; and
    - 2. Monitor and ensure compliance – the CPC is required to provide information showing that it has a system or procedures to monitor compliance of vessels and persons with these binding measures, a system or procedures to respond to instances of non-compliance and has taken action in relation to potential infringements.
- d) The IOTC Provisional Compliance Report shall, where appropriate, also include recommendations to the Commission regarding:
  - i) any remedial action taken, or proposed to be taken, by the CPC;
  - ii) proposals to amend or clarify existing IOTC obligations;
  - iii) priority obligations to be reviewed for the next compliance assessment cycle, during the process described in paragraphs 4, 5 and 6; and
  - iv) other responsive action, including incentive measures which may be considered by the Commission as appropriate.

## 6. IOTC Final Compliance Report

The Commission shall consider the IOTC Provisional Compliance Report and any associated or other relevant information, including responses to compliance issues and

follow-up actions recommended by the Compliance Committee and adopt it, with amendments as required, as the IOTC Final Compliance Report.

7. The process described in paragraphs 4, 5 and 6 shall be reviewed by the Compliance Committee after the compliance assessment process has been completed in full once. The Compliance Committee shall make recommendations to the Commission on future improvements to the process if necessary.
8. The procedures of the Compliance Committee shall be governed *mutatis mutandis* by the Rules of Procedure of the Commission.

APPENDIX V – ANNEX ACOMPLIANCE STATUS CATEGORIES

<u>Compliance status</u>	<u>Criteria</u>	<u>Possible follow-up action</u>
<u>Compliant</u>	<p>A CPC will be deemed <u>Compliant with an obligation if the following criteria have all been met:</u></p> <ol style="list-style-type: none"> <li><u>reporting or submission deadlines;</u></li> <li><u>implementation of obligations through national laws or regulations</u></li> <li><u>submission of all mandatory information or data required, in the agreed format, as applicable.</u></li> </ol>	<u>No action required</u>
<u>Partially compliant</u>	<p>A CPC will be deemed <u>Partially Compliant with an obligation if any of the following have occurred, as applicable:</u></p> <ol style="list-style-type: none"> <li><u>information or data for the obligation has been submitted or reported, but in a way that is incomplete or incorrect.</u></li> <li><u>a CPC has failed to meet reporting or submission deadlines by less than 15 days;</u></li> </ol>	<ul style="list-style-type: none"> <li><b><u>No further action:</u></b> the CPC demonstrates that it has <u>already taken appropriate action and no further action is required;</u></li> <li><b><u>Follow-up action needed:</u></b> the CPC shall provide <u>additional information or address the compliance issue within a given period of time, and at the latest before the following annual meeting, unless otherwise decided by the Commission.</u></li> </ul>
<u>Non-compliant category 1</u>	<p>A CPC will be deemed to be <u>non-compliant category 1 when it has failed to comply with an obligation</u></p>	<ul style="list-style-type: none"> <li><b><u>No further action:</u></b> the CPC demonstrates that it has <u>already taken appropriate action and no further action is required;</u></li> <li><b><u>Follow-up action needed:</u></b> the CPC shall address the <u>compliance issue within a given period of time, and at the latest before the following annual meeting, unless otherwise decided by the Commission.</u> The follow-up action shall <u>be appropriate to the relevant compliance issue and shall include one or more of, but are not limited</u></li> </ul>

			<p><u>to, the following responses, taking into account the history, circumstances, extent, and gravity of the compliance issue:</u></p> <p><b><u>Actions to be taken by the CPC</u></b></p> <ul style="list-style-type: none"> <li>- <u>actions proposed by the CPC and endorsed by the Compliance Committee;</u></li> <li>- <u>the completion of an investigation by the CPC regarding a compliance issue and reporting back to the Commission;</u></li> <li>- <u>enhanced monitoring of the fleet, including increased VMS frequency, the placement of observers, increased inspection requirements, restrictions on landings, and/or others;</u></li> <li>- <u>amendments to domestic procedures, legislation or policy including penalties;</u></li> <li>- <u>other remedies;</u></li> </ul> <p><b><u>Actions the Compliance Committee recommends be taken by the Commission</u></b></p> <ul style="list-style-type: none"> <li>- <u>the provision of capacity building or technical assistance for a specified amount of time;</u></li> <li>- <u>the undertaking of an external review of the domestic system in relation with the IOTC obligations;</u></li> <li>- <u>other remedies.</u></li> </ul>
	<p><b><u>Non-compliant category 2</u></b></p>	<p>A CPC will be deemed <b><u>to be non-compliant category 2</u></b> with an obligation if any of the following have occurred, as applicable:</p> <ol style="list-style-type: none"> <li>a. <u>exceeding quantitative limit established by the Commission in two or more consecutive year;</u></li> </ol>	<ul style="list-style-type: none"> <li>• <b><u>No further action:</u></b> the CPC demonstrates that it has already taken appropriate action and no further action is required;</li> <li>• <b><u>Follow-up action needed:</u></b> the CPC shall submit, within 3 months from the end of the Commission annual session, a detailed</li> </ul>

- b. failure to respect a catch limit deduction resulting from an over-catch;
- c. failure to submit the standard questionnaire on compliance;
- d. failure to provide nominal catch data, including zero catches for one or more species for two or more consecutive year;
- e. failure to report back against follow-up actions agreed by the Commission for compliance issues;
- f. failure to implement, monitor or ensure compliance with -a non-retention ban on a species for two or more consecutive years;
- g. any other non-compliance of category 2 identified by the Commission;
- a.h. failure to provide nominal catch data in time for the conduct of stock assessment for one or more species for two or more consecutive year.

plan and timeline on how it intends to address the non-compliance of category 2 identified.

The follow-up actions and plan shall be appropriate to the relevant compliance issue and shall include one or more of, but are not limited to, the following responses, taking into account the history, circumstances, extent, and gravity of the compliance issue:

#### Actions to be taken by the CPC

- submission of a detailed plan and timeline to address the non-compliance of category 2 identified
- actions proposed by the CPC and endorsed by the Compliance Committee;
- the completion of an investigation by the CPC regarding a compliance issue and reporting back to the Commission;
- enhanced monitoring of the fleet, including increased VMS frequency, the placement of observers, increased inspection requirements, restrictions on landings, and/or others;
- amendments to domestic procedures, legislation or policy including penalties;
- other remedies;

#### Actions the Compliance Committee recommends be taken by the Commission

- the provision of capacity building or technical assistance for a specified amount of time;
- the undertaking of an

		<a href="#">external review of the domestic system in relation with the IOTC obligations;</a> - <a href="#">other remedies.</a>
<b>CMM review</b>	The CoC is unclear on the requirements of the obligation	<del>The Compliance Committee shall recommend the Commission review that obligation and clarify its requirements</del>
<b><u>Capacity building in progress</u></b>	<u>A CPC will be assessed as “capacity building in progress” with an obligation if this CPC is benefiting from an IOTC capacity building activity intended to address the implementation with this obligation</u>	
<b><u>N/A</u></b>	<u>The measure does not apply to the CPC</u>	