

## SUMMARY REPORT ON THE LEVEL OF COMPLIANCE

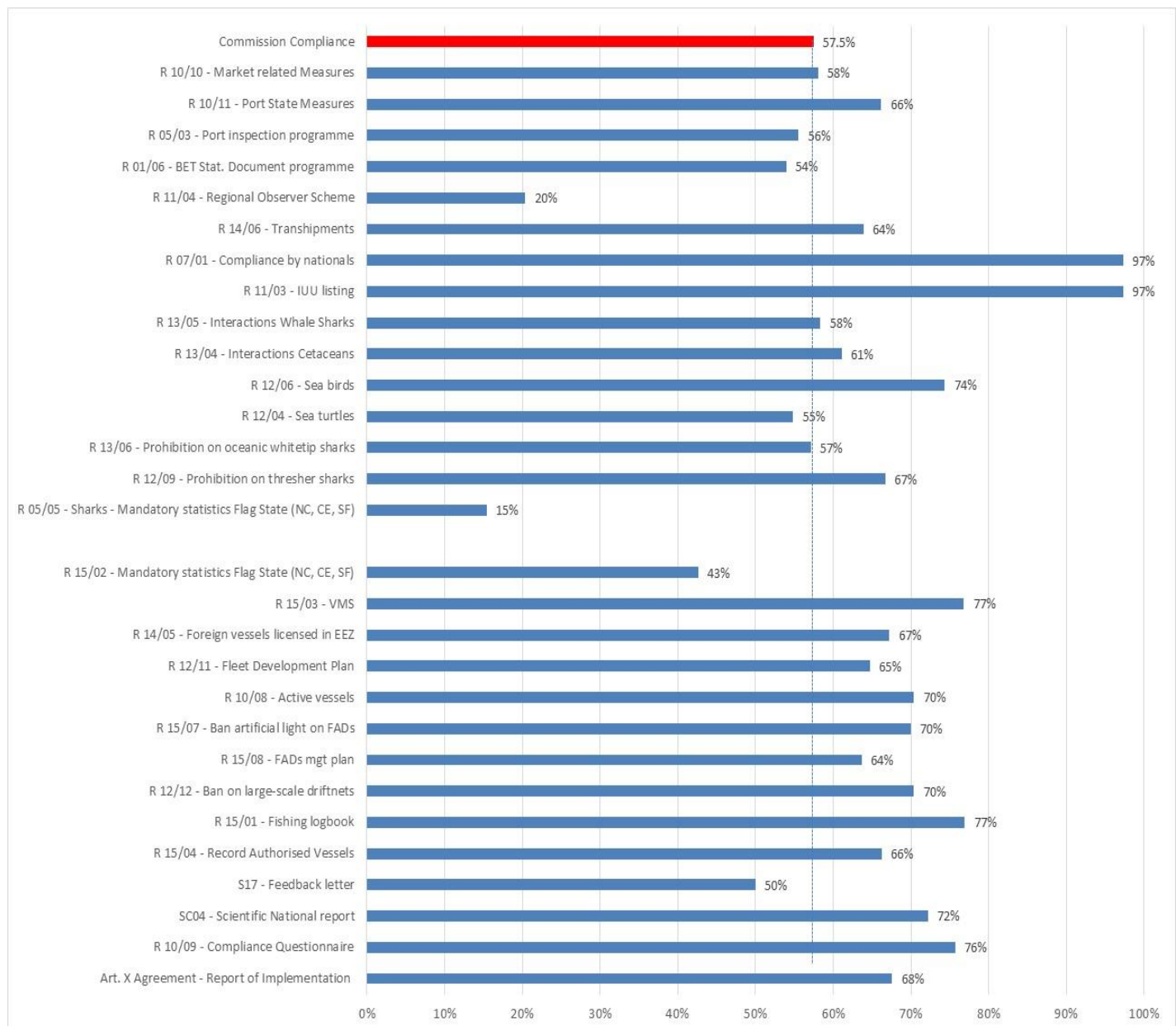
PREPARED BY: IOTC SECRETARIAT, 05 MAY, 2016

*This document summarises the level of compliance by IOTC Members and Cooperating non-Contracting Parties (CPCs) to some of the more prominent IOTC resolutions adopted in past sessions. .*

### 1. Level of compliance by IOTC CPCs for all Resolutions

At its 11<sup>th</sup> Session the Compliance Committee requested the following:

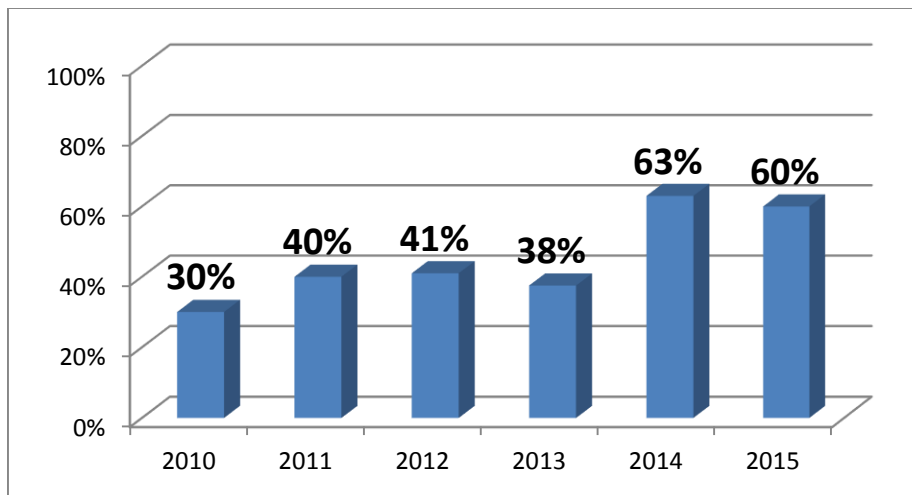
*“that for the next Session of the CoC, the Compliance Reports also be presented by CMM, rather than only by CPCs. The intention would be to examine the level of implementation and possibly interpretation of each CMM, which may assist the CoC in identifying where an individual CMM is ineffective and may need to be revised.” (Para 118, IOTC-2014-CoC11-R).*



**Figure 1.** The level of compliance, in 2015, for IOTC Resolutions having reporting requirements.

**2. Record of Authorised Vessels (IOTC Resolution 15/04)**

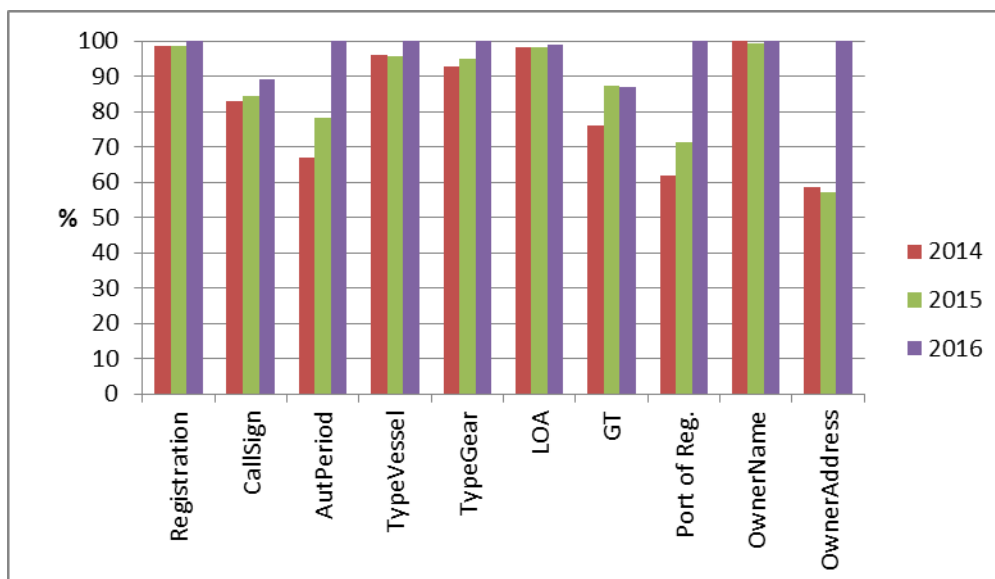
As of the 21<sup>st</sup> March, 2016, the IOTC Record of Authorised Vessels had a total of 5,931 fishing vessels and 63 carrier vessels. The total number of fishing vessels comprised of 2,157 (37%) vessels of length overall (LOA) of 24m or above, 3,339 (56%) vessels of length overall of less than 24m and 425 (7%) of unknown length overall. Twenty CPCs have registered vessels with LOA of 24m or above and fourteen CPCs have registered vessels with LOA of less than 24m. Two CPCs have not provided information on the length overall, for some their vessels. Some CPCs are still failing to provide the full complement of mandatory information for their vessels; these are mainly the address of the owner, operating ports and valid period of authorisation. Tables 1 and 2, in Annex 1, provide additional information on numbers and types of vessels, and a summary of completeness of information for vessels that CPCs have requested be placed in the IOTC Record of Authorised Vessels. Figure 2 illustrates the level of compliance with the Record of Authorised Vessels from 2010 to 2015.



**Figure 2.** Trends in compliance to Resolution 15/04 between 2010 and 2015.

Note: The level of compliance is expressed in percentage for CPCs to which the two reporting requirements are applicable.

The Secretariat has continued to work inter-sessionally with CPCs, with regards to missing mandatory data for their vessels. Figure 3, below, provides an illustration of the progress made in the last three years, with regards to the efforts the Secretariat has made to encourage CPCs to submit complete information for vessels being placed in the Record of Authorised Vessels.



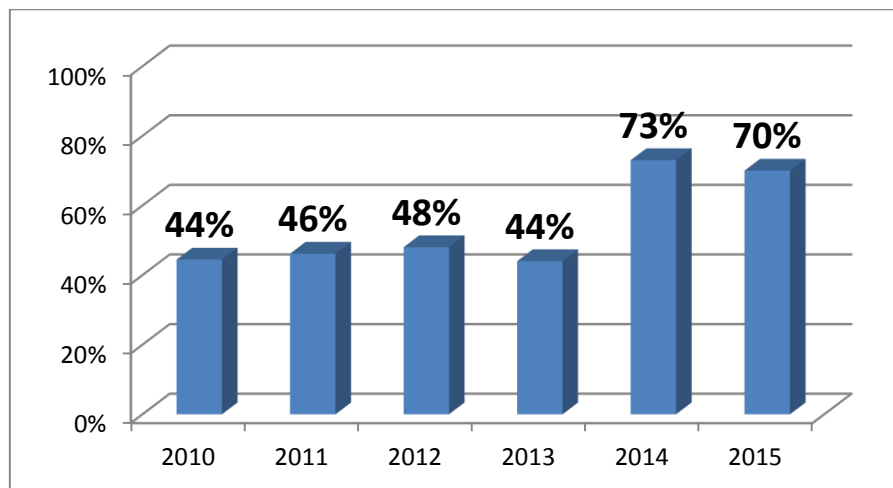
**Figure 3.** Trends in the completeness of information for the IOTC Record of Authorised Vessels.

With regards to the provision for CPCs to provide a template of their official authorisation to fish outside National Jurisdictions, 19 CPCs out of the 23 CPCs with vessels in the Record of Authorised Vessels have provided their template. These templates can be accessed through the secure part of the IOTC website.

### 3. Record of Active Vessels (IOTC Resolution 10/08)

Resolution 10/08, requires CPCs with vessels in the IOTC Record of Authorised Vessels to provide to the Executive Secretary a list of their vessels which were active in the IOTC Area in the preceding year. By the deadline for submission of the information on active vessels, 15<sup>th</sup> February 2016, seventeen CPCs had reported information on their fleets. A further three CPCs have submitted their active vessels list after the deadline. Two CPCs have not reported their list of active vessels at the time of preparation of this document. Compared to the past year, there has been a significant improvement in reporting the active vessels list. As was the case in the previous year, the Secretariat has this year actively followed up with reminders to individual CPCs, as per the recommendation of CoC09. Table 3 provides a summary of active vessels in the IOTC Area from 2000 to 2015. Figure 4, below, illustrates the level of compliance with the Record of Active Vessels from 2010 to 2015.

The quality of the information reported by CPCs has continued to increase over these last years, especially with regards to disclosure of the target species, for vessels targeting tropical tunas and Swordfish & Albacore.



**Figure 4.** Trends in compliance to Resolution 10/08 between 2010 and 2015.

Note: The level of compliance is expressed in percentage for CPCs to which the reporting requirement is applicable.

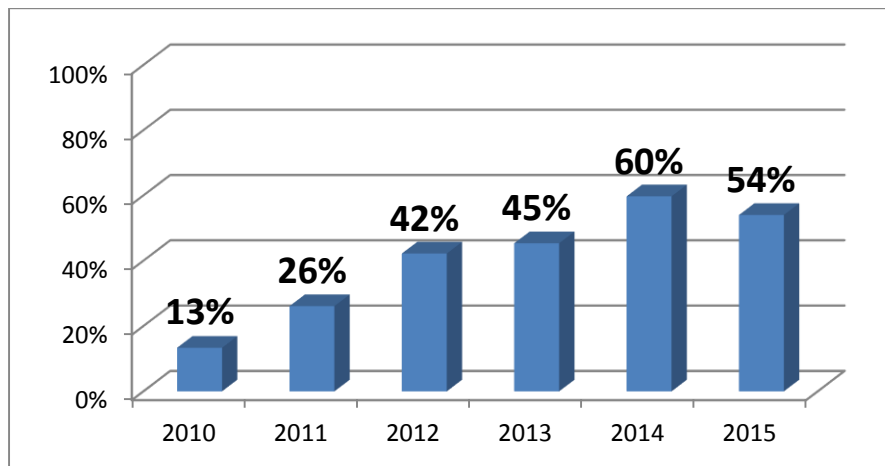
### 4. Bigeye Tuna Statistical Document Programme (IOTC Resolution 01/06)

For the year 2014, four CPCs have reported imports of Bigeye tuna. A number of CPCs also filed a nil report, indicating that they did not import Bigeye tuna during that year. During 2014 a total of 3,284 Mt of Bigeye tuna were imported by CPCs reporting under the programme; this is a fraction (15%) of the amount that was reported in 2013. Of the four CPCs that reported imports of Bigeye tuna, Japan is the most important importer (38%), followed by the European Union (34%), Korea (27%) and Australia (~1%).

There are currently twenty-five CPCs that have reported information on 151 institutions and 760 individuals who have been authorised to validate IOTC Bigeye Tuna Statistical Documents and IOTC Bigeye Tuna Re-export Certificate. The Government of El Salvador, a non-CPC, made a request in 2014 to include one institution and three individuals on the list of institutions and individuals authorised to validate IOTC Bigeye tuna Statistical Documents and Re-export Certificates.

There has been a decrease in the number of annual reports that the Secretariat has received from CPCs. The objective of the annual report is for CPCs to inform the Commission on any discrepancies that exist between their export figures and the import figures reported by the importing State. Whilst this is an encouraging development, an initial assessment

suggests that more attention should be paid to the quality of information provided in these reports. Figure 5 illustrates the level of compliance with the Bigeye Tuna Statistical Document Programme from 2010 to 2015.



**Figure 5.** Trends in compliance to Resolution 01/06 between 2010 and 2015.

Note: The level of compliance is expressed in percentage for CPCs to which the four reporting requirements are applicable.

## 5. IOTC Regional Observer Programme (ROP) to monitor transshipments at sea (IOTC Resolution 14/06).

Since 1<sup>st</sup> July 2008, all the fleets have submitted information on carrier vessels authorised to receive at-sea transshipments from their LSTLVs. There are currently 71 vessels that are listed as carrier vessels on the IOTC Record of Authorised Vessels, from which 18 carrier vessels have been used in 2015 by fleets participating in the Programme.

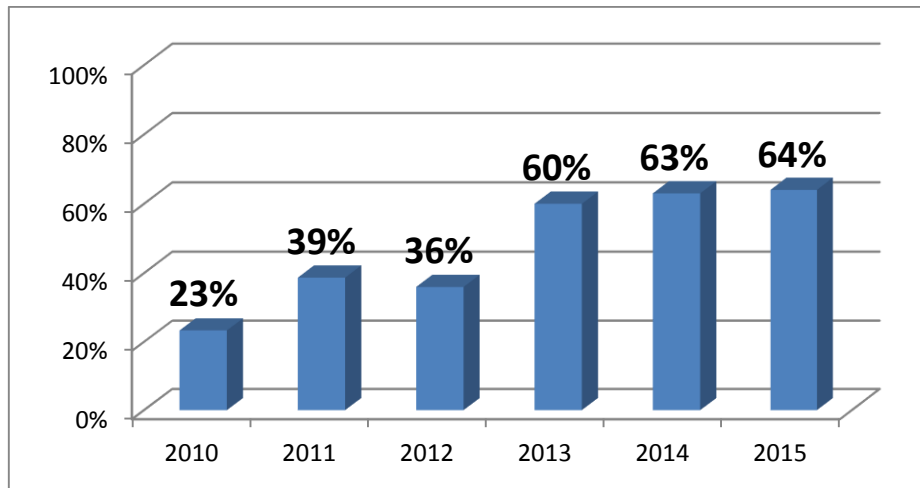
Details of activities under the ROP is further provided in document IOTC-2016-CoC13-04a[E], which has been prepared by the IOTC Secretariat, and document IOTC-2016-CoC13-04b[E], which has been prepared by the Consortium executing the Programme. In line with the revisions made to the resolution concerning the ROP, at the 2011 Session of the Commission, the Secretariat has also prepared document IOTC-2016-CoC13-08b[E] which specifically highlights possible infractions observed under the ROP. This document also provides the results of the investigations of the concerned fleets into these possible infractions. As per the instructions of the 10<sup>th</sup> Session of the Compliance Committee, document IOTC-2016-CoC13-08b Add\_1 also provides information on repeated cases of possible infringements by vessels participating in the ROP.

As has been the case since the Programme started, the Consortium MRAG Ltd and CapFish cc was responsible for executing the ROP work, under the supervision of the Secretariat, during 2015.

Regarding the requirement for flag CPCs to submit information on transshipment of their LSTVs in foreign ports in the IOTC Area in 2015:

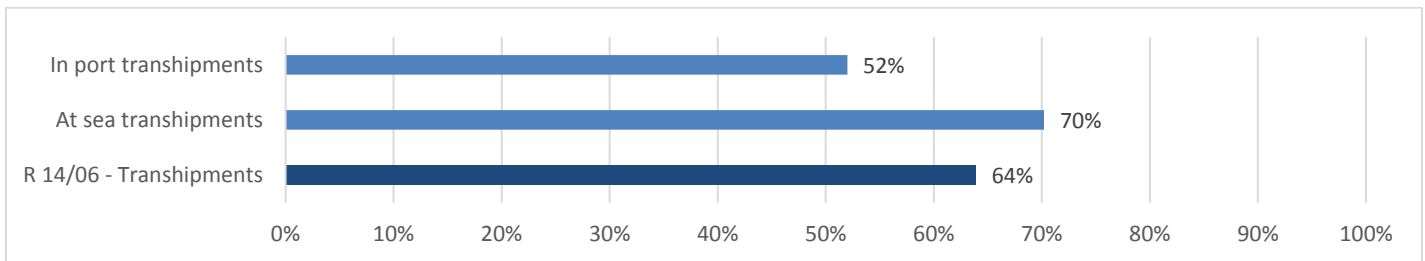
- Fifteen (15) CPCs have provided the mandatory report and information in line with the requirement of Annex 1 of Resolution 14/06 or have provided a NIL reports;
- Ten (10) CPCs have not provided the mandatory report;
- The requirement is not applicable to 12 CPCs because they do not have LSTVs in the IOTC Record of Authorised Vessels and the IOTC Record of Active Vessels.

Figures 6a and 6b illustrates the level of compliance with the transshipment programme from 2010 to 2015.



**Figure 6a.** The progress of compliance to Resolution 14/06, between 2010 and 2015.

Note: The level of compliance is expressed in percentage for CPCs to which the 5 reporting requirements are applicable.



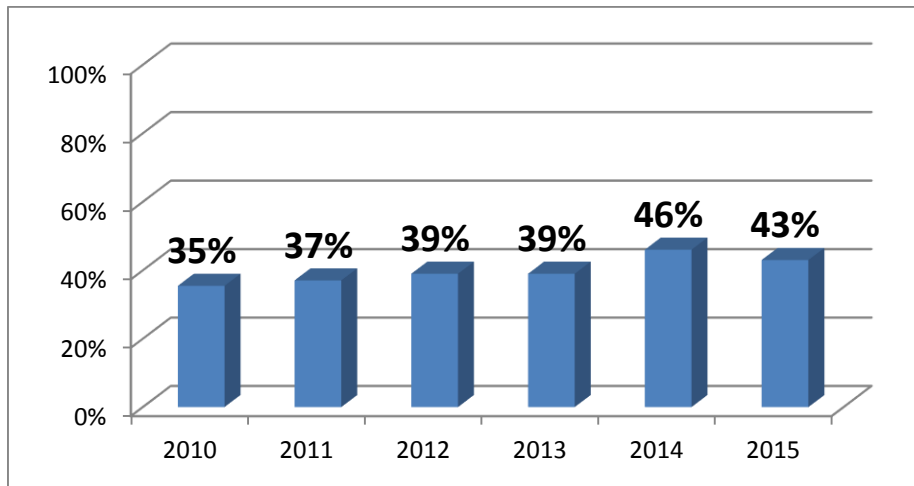
**Figure 6b.** Comparison of compliance level between requirements on transshipments at sea and in ports (Res. 14/06).

## 6. Reporting of mandatory statistics (flag State)

In terms of the reporting of mandatory datasets in 2015, there was little change in overall levels of compliance with Resolution 15/02 compared to previous years, with more than half of CPC's assessed partially compliant or non-compliant. In 2015:

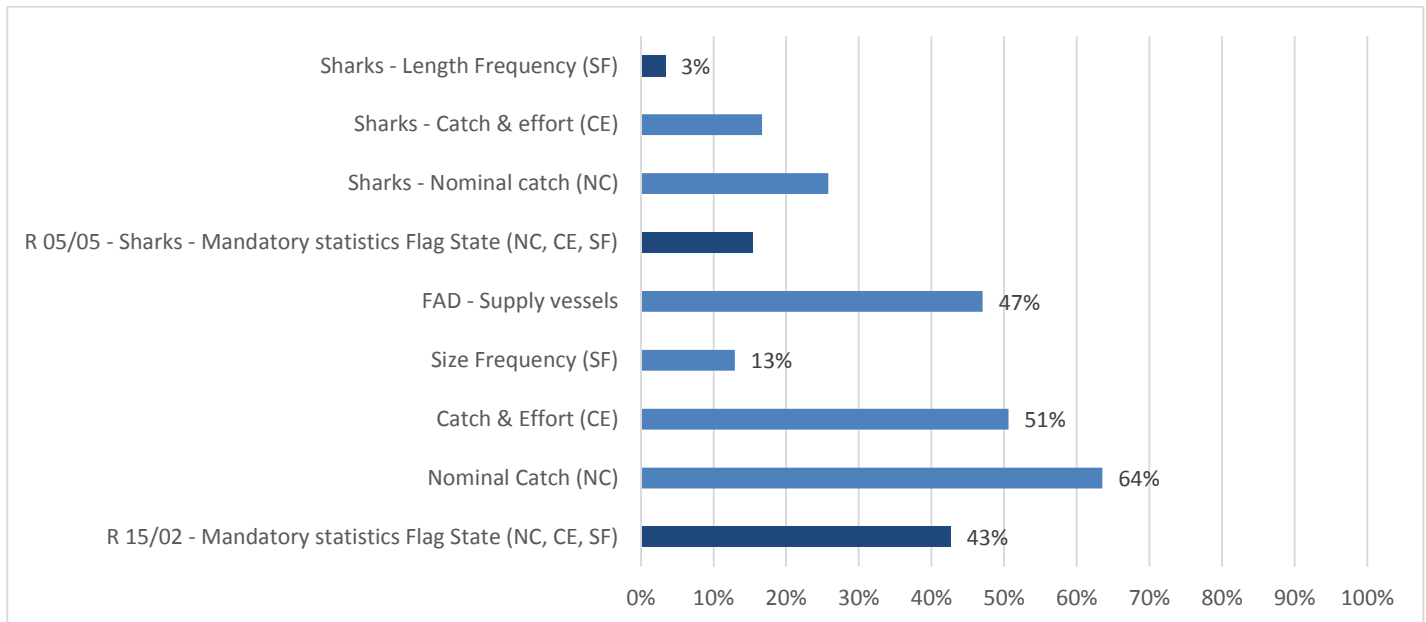
- 43% of the datasets were reported by CPC's as per the requirements in Resolution 15/02 (i.e., nominal catch, catch-and-effort, and size frequency data for IOTC species and major shark species) and by the deadline of 30<sup>th</sup> June.
- Many CPC's continue to report partial datasets, or data that falls short of IOTC reporting standards. 21 CPCs provided complete or partial datasets as per the requirements in Resolution 15/02 and by the deadline (compared to 16 in 2014).
- Five CPCs have not reported statistics to the IOTC at all for a period of more than three years: Eritrea, Guinea, Sierra Leone, Sudan, and Yemen.

Figures 7a and 7b illustrates the level of compliance with the reporting of mandatory statistics on IOTC Species from 2010 to 2015.



**Figure 7a.** Trends in compliance to Resolution 15/02 (Flag State responsibilities), between 2010 and 2015.

Note: The level of compliance is expressed in percentage for CPCs to which the 12 reporting requirements are applicable.



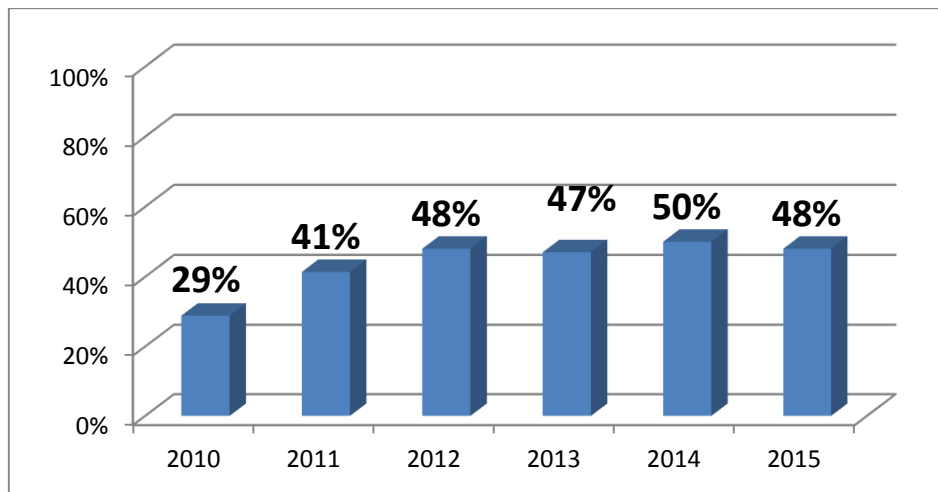
**Figure 7b.** Compliance level of Resolutions related to submission of mandatory statistics on IOTC Species and Sharks (Res. 05/05, 15/02).

In terms of the proportion of total catch reported to deadline, in 2015 the levels of reporting improved marginally compared to 2014 – largely due to improvements in the reporting and timeliness of a small number of CPCs that also account for a large proportion of the overall catch (e.g., Indonesia, and I.R. Iran). The statistics reported before the deadline represented 77% of the nominal catch (74% for 2014), 56% of the catch-and-effort (40% for 2014), and 55% of the size frequency data (48% for 2014).

Late reporting compromises the quality of the nominal catches for the most recent year, making overall catch estimates more uncertain, as non-reported catches then have to be estimated by the IOTC Secretariat using various methods. The amount of statistics reported usually improves by the end of the year: in terms of data submissions in 2015, 90%, 57%, and 55% of the nominal catches, catch-and-effort, and size frequency statistics were available at the time of the 2015 IOTC Scientific Committee, respectively.

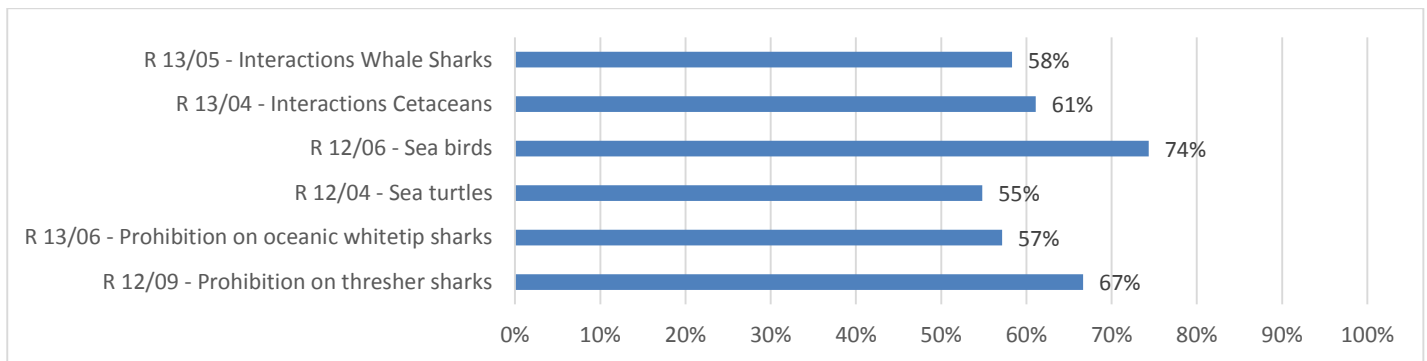
Levels of reporting of bycatch data for seabirds and marine turtles for 2015 remain very low and, where data are available, are normally incomplete and highly aggregated by species.

Figure 8a and 8b illustrates the level of compliance in terms of reporting of data on bycatch species from 2010 to 2015 (Res. 05/05, 12/06, 12/04, 12/09, 13/04, 13/05, 13/06).



**Figure 8a.** Trends in compliance to reporting on bycatch, between 2010 and 2015.

Note: The level of compliance is expressed in percentage for CPCs to which the 10 reporting requirements are applicable.



**Figure 8b.** Compliance level of Resolutions related to bycatch mitigation (Res. 12/06, 12/04, 12/09, 13/04, 13/05, 13/06).

## 7. On a Regional Observer Scheme (IOTC Resolution 11/04)

Since the adoption of the Resolution on a Regional Observer Scheme (Resolution 11/04, which superseded Resolution 10/04), the IOTC Secretariat has conducted work to facilitate the implementation of the observer scheme at national level. This included coordination of work on minimum data collection and reporting requirements for observers and revision of the observer manual, as requested by the Commission. In addition, the Secretariat keeps a list of accredited observers, as reported by CPCs. The IOTC Secretariat has also produced Excel templates to facilitate reporting of Observer trip information from CPCs, and is extending the IOTC Guidelines for the reporting of data to the IOTC to incorporate these requirements.

At present, fifteen CPCs have provided lists of accredited observers, including Australia, China, Comoros, EU (2 flags), Indonesia, Japan, Kenya, Republic of Korea, Madagascar, Maldives, Mauritius, Mozambique, Seychelles, South Africa and Thailand. The details of 335 accredited observers have been reported to the IOTC Secretariat so far.

In addition ten CPCs have submitted observer reports to the IOTC Secretariat, including Australia (2010-2012; 2014), China (2010; 2012-2013), EU (2011-14), Indonesia (2010), Japan (2010-2014), Republic of Korea (2010; 2012-2014), Madagascar (2012-2014)<sup>1</sup>, Mozambique (2012), South Africa (2011-2013)<sup>2</sup> and Sri Lanka (2014). Overall information

<sup>1</sup> Reports from Madagascar include observers onboard foreign vessels operating in the EEZ

<sup>2</sup> Reports from South African observers onboard foreign vessels operating in the EEZ

from 189 observer trips have been submitted to date. Of these, the majority are provided in non-electronic format (pdf, word documents or image files), although some CPCs (notably Japan and more recently China and Indonesia) are beginning to report electronically (excel files to date) for some, if not all, of the information. The majority of CPCs with vessels over 24m LOA or with vessels <24m fishing outside their EEZ are not reaching the minimum level of 5% coverage of operations/sets by gear type as specified in Resolution 11/04. Coverage levels for gillnets and pole-and line fisheries are currently reported to be nil, while longline coverage is very low (<1%<sup>3</sup>) and purse seine coverage is below the requirement (4%<sup>4</sup>).

Figure 9 illustrates the level of compliance with the regional observer scheme from 2010 to 2015.

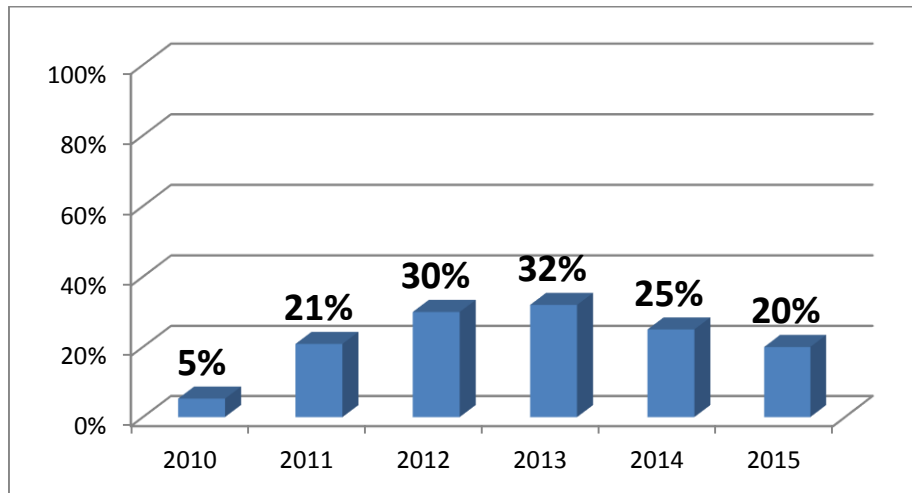


Figure 9: Trends in compliance to Resolution 11/04, between 2010 and 2015.

Note: The level of compliance is expressed in percentage for CPCs to which the 5 reporting requirements are applicable.

<sup>3</sup> Percentage calculated based on total reported and observed effort in numbers of hooks

<sup>4</sup> Percentage calculated based on total reported and observed effort in fishing days

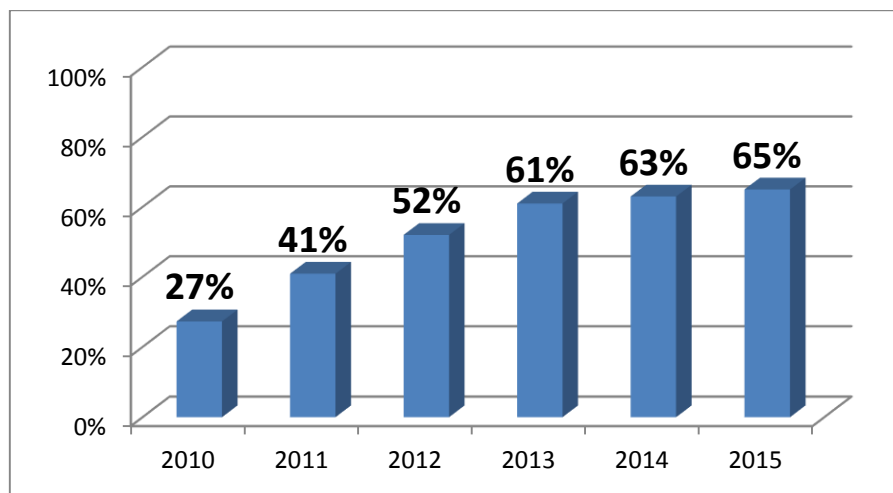


## 8. Limitation of fishing capacity and fleet development plans (IOTC Resolution 15/11)

Since the 18<sup>th</sup> Session of the Commission, one CPC (Kenya) has provided a fleet development plan for the first time. The plan outline Kenya's aspiration for developing its fleet over the next ten years (2016 – 2025).

More detailed information on the reference capacity and the implementation of the fleet development plans is available in document IOTC-2016-CoC13-05, which has been prepared by the IOTC Secretariat. A compendium of fleet developments plans, which includes Kenya's latest submission, is presented in document IOTC-2016-CoC13-05 Add1, which has been compiled by the Secretariat.

Figure 10 illustrates the level of compliance with the limitation of fishing capacity and fleet development plans from 2010 to 2015.



**Figure 10.** The progress of compliance to Resolution 15/11, between 2010 and 2015.

Note: The level of compliance is expressed in percentage for CPCs to which the 3 reporting requirements are applicable.

## 9. Implementation of IOTC port State measures Resolutions

Resolution 10/11 on port State measures to prevent, deter and eliminate illegal, unreported and unregulated fishing in the IOTC Area came into effect on 1<sup>st</sup> March, 2011. To date 17 CPCs with ports situated in the IOTC Area have provided information on their designated ports, competent authorities and notification period required by foreign vessels to request entry into the CPC's port(s).

To date eight (8) port State CPCs are providing information on inspections conducted on foreign vessels and are submitting Port Inspection Reports (PIR), in line with the requirement of paragraph 13 of Resolution 10/11 (Table 2). Only two (2) port State CPCs, (Mauritius, South Africa) have submitted PIR with forms related to monitoring/inspection of landing/transshipment. Two (2) port State CPC (Mozambique and Tanzania) have indicated that no landing/transshipment have occurred in their respective ports, and port inspection are conducted for the purpose of licensing vessels.

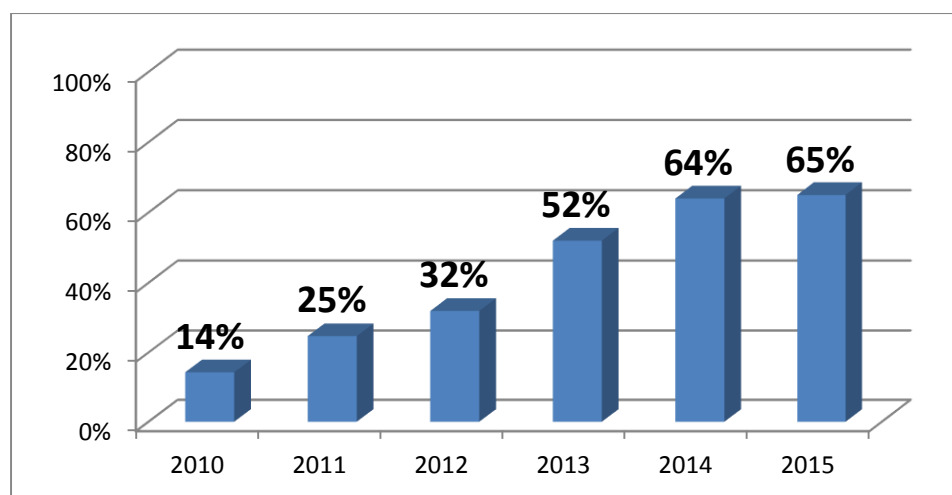
**Table 2.** Port Inspection reports transmitted to the IOTC Secretariat by year by port State CPCs (LAN=Landing ; TRX=Transshipment).

Country /Year	2011	2012	2013	2014	2015	Year first inspection report provided	Originals of PIR transmitted	Forms related to monitoring of landing/transshipment transmitted
MUS	24	38	40	42	39	2011	YES	YES1 in 2015)
KEN	0	0	2	2	5	2013	YES	NO
MOZ	0	20	16	16	18	2012	YES	Not Applicable (No LAN/TRX)
SYC	211	288	242	295	242	2011	YES	NO
MDG	0	0	25	5	34	2013	YES	NO
TZA	0	0	6	1	5	2014	YES	Not Applicable (No LAN/TRX)
THA	0	0	0	0	0	148 vessels inspected in 2015, no inspection report provided.		
LKA	0	0	0	12	23	2014	YES	NO
ZAF	0	0	85	62	55	25/09/2014	YES	YES (27 in 2015)

Regarding the resolution 05/03, to date, 10 CPCs with ports located in the IOTC Area have provided information on landings in 2014 of foreign fishing vessels into their ports, or have provided a NIL report.

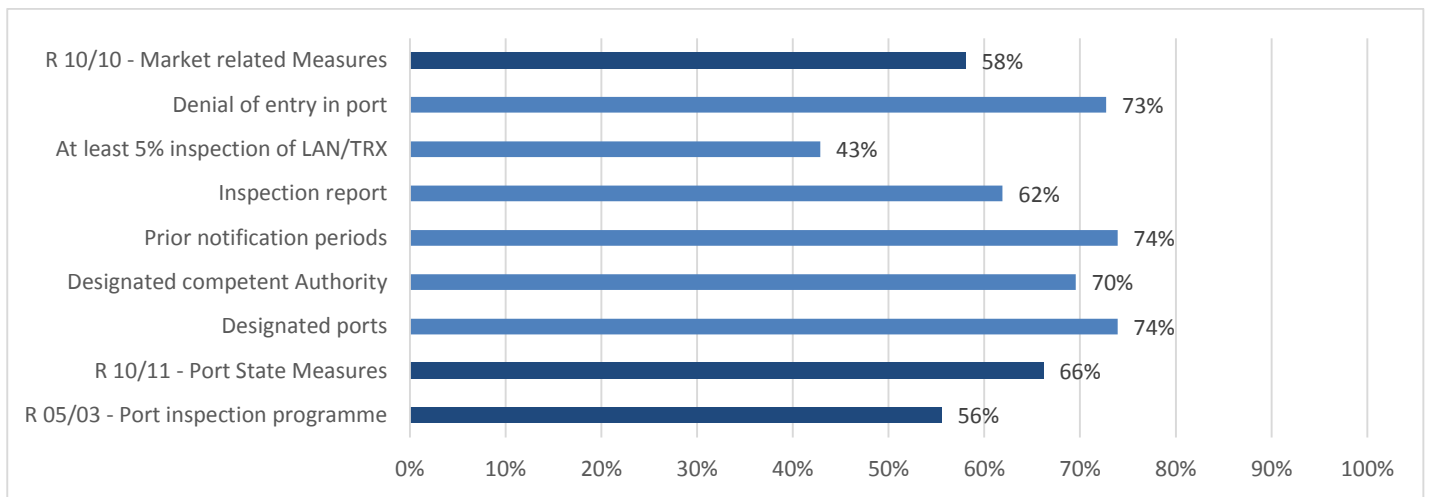
The Secretariat has identified some critical works that is required to be carried out, to transpose the PSM Resolution 10/11 into domestic legislation (development of a template PSM regulation, under the support of the GEF/FAO/ABNJ project) and facilitate the exchange of information between the concerned CPCs, the Secretariat and other interested parties (development of an electronic PSM application, under the Global Partnership for Oceans project, of the World Bank).

Figures 11a and 11b, illustrates the level of compliance with the implementation of IOTC PSM resolutions from 2010 to 2015.



**Figure 11a.** The progress of compliance to Resolutions 05/03 and 10/11, between 2010 and 2015.

Note: The level of compliance is expressed in percentage for CPCs to which the 7 reporting requirements are applicable.



**Figure 11b.** Compliance level of Resolutions related to PSM (Res. 05/03; 10/11; 10/10).

**Annex 1****Table 1.** Number of fishing vessels, by vessel types, in the IOTC Record of Authorised Vessels on 21<sup>st</sup> March, 2016.

CPCs	Number Ships	Purse seine	Line	Longline	Gill net	Trawl	Multipurpose	Supply vessel	Others	Unknown
Australia	73	11	17	45						
China	107			107						
European Union	269	56	9	185	2	4		13		
India	52		1	51						
Indonesia	1,366	42		1,307	2				7	8
Iran	1,312	8		5	1,295	2			2	
Japan	226	8		216					2	
Korea, Republic of	113	11		101				1		
Liberia	1							1		
Madagascar	8			8						
Malaysia	5			5						
Maldives	815		794	21						
Mauritius	2	2								
Mozambique	10			10						
Oman	7			7						
Pakistan	10				10					
Philippines	53	46		7						
Senegal	1			1						
Seychelles	70	13		50				7		
South Africa	29		9	20						
Sri Lanka	1,396						1,390			6
Tanzania	3			3						
Thailand	3								3	
Grand Total	5,931	197	830	2,149	1,309	6	1,390	22	11	14

**Table 2.** Summary of completeness of information for fishing vessels in the IOTC Record of Authorised Vessels on 16<sup>th</sup> March, 2016.

CPCs	No. Ships	>=24m	<24m	Unkn	IMO	Registration	Call Sign	Auth Period	Type Vessel	Type Gear	LOA	GT	GRT	Port of Reg.	Owner Name
Australia	73	16	57	0	16	100	100	100	100	100	100	99	1	100	100
China	107	107	0	0	79	100	100	100	100	100	100	100	0	100	100
European Union	269	233	36	0	88	100	100	100	100	100	100	100	16	100	100
India	52	19	33	0	0	100	96	100	100	100	100	12	100	100	100
Indonesia	1,366	455	478	433	0	98	83	100	100	100	68	100	0	100	100
Iran	1,312	497	815	0	1	100	98	100	100	100	100	100	0	100	100
Japan	226	226	0	0	100	100	100	100	100	100	100	98	100	100	100
Korea, Republic of	113	113	0	0	100	100	100	100	100	100	100	100	0	100	100
Liberia	1	1	0	0	100	100	100	100	100	100	100	100	0	100	100
Madagascar	8	0	8	0	0	100	100	100	100	100	100	100	13	100	100
Malaysia	5	5	0	0	100	100	100	100	100	100	100	100	100	100	100
Maldives	815	340	475	0	0	100	2	100	100	100	100	100	0	100	100
Mauritius	2	2	0	0	100	100	100	100	100	100	100	100	0	100	100
Mozambique	10	1	9	0	100	100	100	100	100	100	100	100	30	100	100
Oman	7	1	6	0	14	100	71	100	100	100	100	100	0	100	100
Pakistan	10	0	10	0	0	100	0	100	100	100	100	100	0	100	100
Philippines	53	53	0	0	0	100	100	100	100	100	100	4	100	100	100
Seychelles	70	64	6	0	91	100	100	100	100	100	100	100	0	100	100
South Africa	29	17	12	0	45	100	100	100	100	100	100	100	0	100	100
Sri Lanka	1,396	0	1,394	2	0	100	92	100	100	100	100	100	0	100	100
Tanzania	3	3	0	0	67	100	100	100	100	100	100	100	0	100	100
Thailand	3	3	0	0	0	100	100	100	100	100	100	100	0	100	100
Senegal	1	1	0	0	0	100	100	100	100	100	100	0	100	100	100
<b>Total</b>	<b>5,931</b>	<b>2,156</b>	<b>3,339</b>	<b>435</b>											

**Table 3.** Summary of active vessels in the IOTC Area from 2000 to 2015.

CPCs	Year Active															
	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015
Australia	78	81	23	21	17	11	10	9	8	13	12	11	11	9	8	9
Belize	105	36	24	8	16	12	8	10	9	5	7	7	6	3	4	
China	98	92	90	62	62	67	67	67	46	32	20	15	36	36	47	53
European Union	0	61	70	41	55	347	358	112	93	82	69	74	76	81	83	80
France (Territories)						1	2	2	2		4	5				
Guinea		3	3	6	3	3	3									
India		3	3	2	2	4	70	77	34	50	64	51	20	15	25	
Indonesia					754	1,171	1,201				993	1,196	1,275	1,238	458	584
Iran							1,016	1,109	1,206	1,307	1,270	1,251	1,233	1,230	1,228	1,195
Japan	500	496	189	170	182	184	227	217	210	140	112	70	72	73	53	56
Kenya								1	2	2	1					
Korea, Republic of	38		155	202	36	28	29	33	24	20	13	7	10	13	14	20
Madagascar				1		5	2	1	2		6	4	8	8	7	7
Malaysia			13	7	14	18	28	62	58	59	43	8	5	5	11	10
Mauritius			7	7	8	8	8	10	8	1	3	4	5	2	7	7
Oman					4	11	24	29	27				8	5	3	1
Philippines		17	33	16	25	12	18	17	17	8	7	3	14	9	4	
Senegal				1	1	1	3									
Seychelles		28	36	80	51	51	43	45	42	50	50	31	39	43	39	47
South Africa	6	12	12	16	9	4	17	16	10			15	13	16	6	15
Sri Lanka							1,001	2,631	2,975	3,261	3,295	3,588	2,482	2,241	1,609	1,577
Tanzania								3	3		4	1	8	5	3	3
Thailand	3	2	4	2	2	8	13	11	6	11	10	5	5	5	6	9
Uruguay		2	2	1			1									
Mozambique												1	1		2	9
Pakistan												10				
Vanuatu										4	4		2	17		
Maldives												234	249	318	344	367
Total	828	833	664	643	1,241	1,946	4,149	4,462	4,782	5,045	5,987	6,591	5,578	5,372	3,961	4,049