

SUMMARY REPORT ON THE LEVEL OF COMPLIANCE

PREPARED BY: IOTC SECRETARIAT, 10 APRIL, 2015

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. The report is based on information available to the Secretariat as of 20th March, 2015, except where indicated otherwise.

1. Level of compliance by IOTC CPCs for all Resolutions

At its 11th 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).

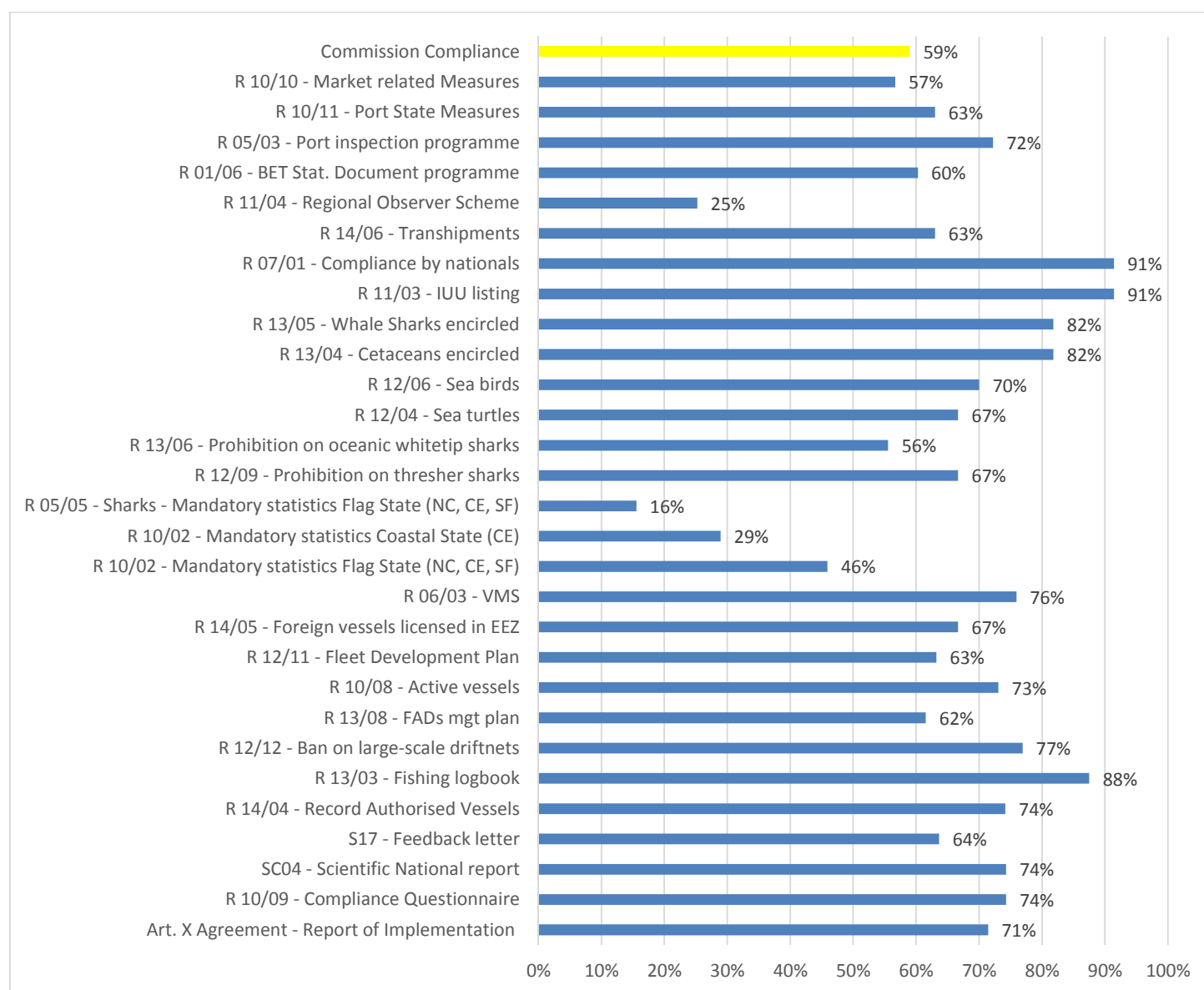


Figure 1. The level of compliance, in 2014, for IOTC Resolutions having reporting requirements.

2. Record of Authorised Vessels (IOTC Resolution 14/04)

As of the 20th March, 2015, the IOTC Record of Authorised Vessels had a total of 7,758 fishing vessels and 56 carrier vessels. The total number of fishing vessels comprised of 2,272 (29%) vessels of length overall (LOA) of 24m or above, 4,913 (63%) vessels of length overall of less than 24m and 573 (7%) of unknown length overall. Twenty-one CPCs have registered vessels with LOA of 24m or above and fifteen CPCs have registered vessels with LOA of less than 24m. Three 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 2014 (2014 compliance level is preliminary – assessment on-going).

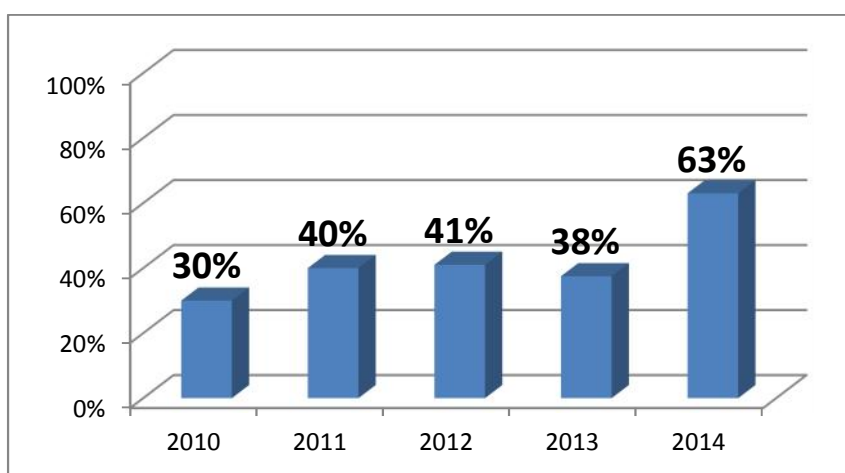


Figure 2. The progress of compliance to Resolution 14/04 between 2010 and 2014.

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.

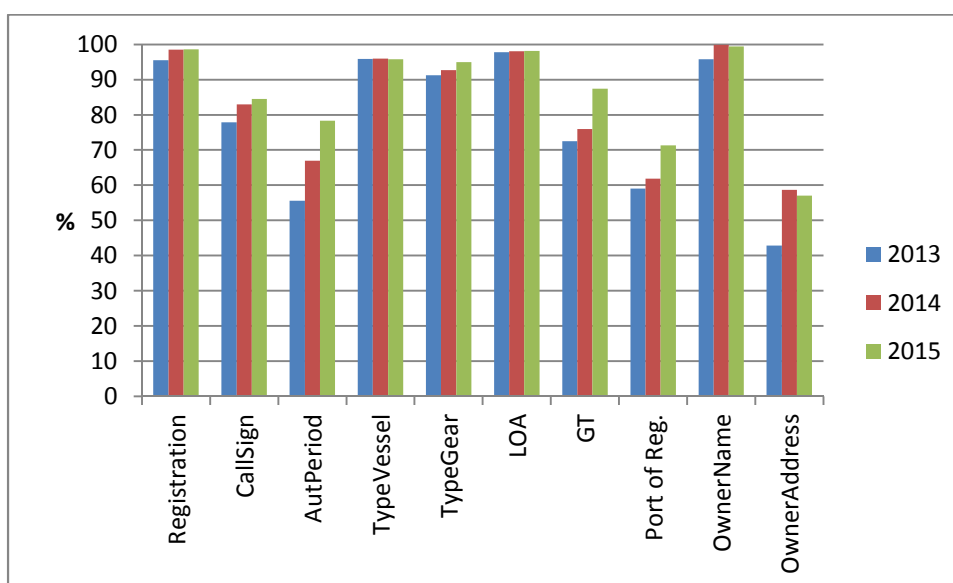


Figure 3. Trends in the completeness of information for the IOTC Record of Authorised Vessels.

With regards to the provision for CPCs to provide a template of their official authorisation to fish outside National Jurisdictions, 20 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, 15th February 2015, sixteen CPCs had reported information on their fleets. A further five 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. Figure 4 illustrates the level of compliance with the Record of Active Vessels from 2010 to 2014 (2014 compliance level is preliminary – assessment on-going).

The quality of the information reported has increased considerably for this reporting period, especially with regards to disclosure of the target species, for vessels targeting tropical tuna and Swordfish & Albacore.

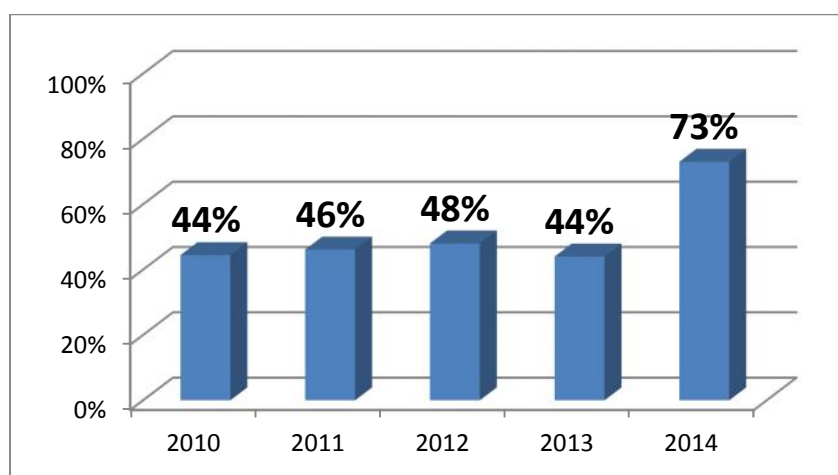


Figure 4. The progress of compliance to Resolution 10/08 between 2010 and 2014.

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 2013, 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 the whole of 2013 a total of 21,494 Mt of Bigeye tuna were imported by CPCs reporting under the programme; this is almost two-thirds of the amount that was reported in 2012. Of the four CPCs that reported imports of Bigeye tuna, Japan is by far the biggest importer (88%), followed by the European Union (10%), Korea (1.8%) and Australia (<1%).

There are currently twenty-one CPCs that have reported information on 142 institutions and 679 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, had in the previous year requested the inclusion of 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 significant increase 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 2014 (2014 compliance level is preliminary – assessment on-going).

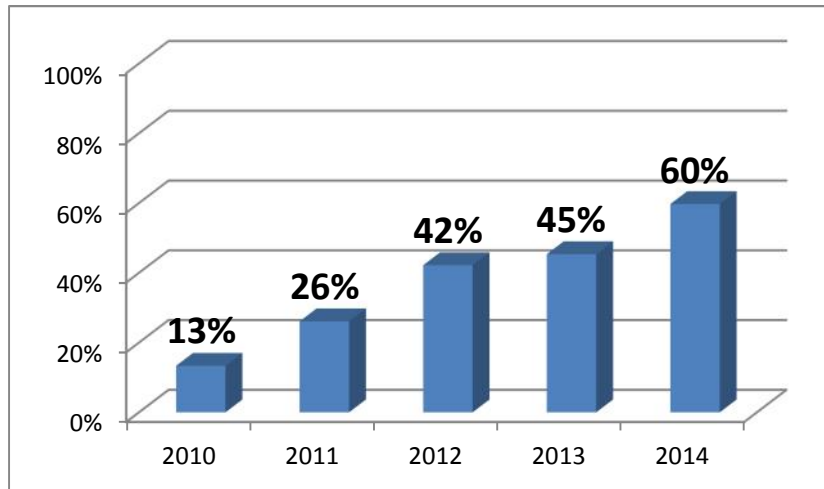


Figure 5. The progress of compliance to Resolution 01/06 between 2010 and 2014.

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 1st July 2008, twelve fleets have submitted information on carrier vessels authorised to receive at-sea transshipments from their LSTLVs. There are currently 56 vessels that are listed as carrier vessels on the IOTC Record of Authorised Vessels, from which 19 carrier vessels have been used in 2014 by fleets participating in the Programme.

Details of activities under the ROP is further provided in document IOTC-2015-CoC12-04a[E], which has been prepared by the IOTC Secretariat, and document IOTC-2015-CoC12-04b[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-2015-CoC12-08c[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 10th Session of the Compliance Committee, document IOTC-2015-CoC12-08c 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 2014. The Secretariat, with the support of the FAO, in the second semester of 2014 made a new call for expressions of interest for awarding the ROP contract for the next two years, i.e. 2015 and 2016. The same Consortium, MRAG Ltd and CapFish cc, was awarded the contract to execute the ROP.

Regarding the requirement for flag CPCs to submit information on transshipment of their LSTVs in foreign ports in the IOTC Area (Table 1):

- Seven (7) CPCs have provided the mandatory report and information in line with the requirement of Annex 1 of Resolution 14/06 ;
- Six (6) CPCs have provided a NIL reports. Of these, there are indications that for 1 CPC (Indonesia), its flagged LSTVs have transhipped in foreign ports in 2014 (Source: 2014 other CPCs Report on Resolution 10/10; IOTC ROP observer reports);

- Thirteen (13) CPCs have not provided the mandatory report. There are indications that for five CPCs (Maldives, Malaysia, Oman, Seychelles, Thailand), their flagged LSTVs have transhipped in foreign ports in 2014 (Source: 2014 other CPCs Report on Resolution 10/10; IOTC ROP observer reports);
- The requirement is not applicable to 9 CPCs because they do not have LSTVs in the IOTC Record of Authorised Vessels and the IOTC Record of Active Vessels.

Table 1. Status on reporting on transhipments by flagged CPC LSTVs in foreign ports.

	Report received	NIL report received	No report received	N/A
Number of	7	6	13	9
CPCs	China, EU, Japan, Korea, Mauritius, Philippines, Tanzania	Australia, Indonesia, Iran, Madagascar, Mozambique, Sri Lanka	Belize, India, Malaysia, Maldives, Oman, Pakistan, Seychelles, Sudan, Thailand, Vanuatu, Yemen, Djibouti, South Africa.	

Figures 6a and 6b illustrates the level of compliance with the transhipment programme from 2010 to 2014 (2014 compliance level is preliminary – assessment on-going).

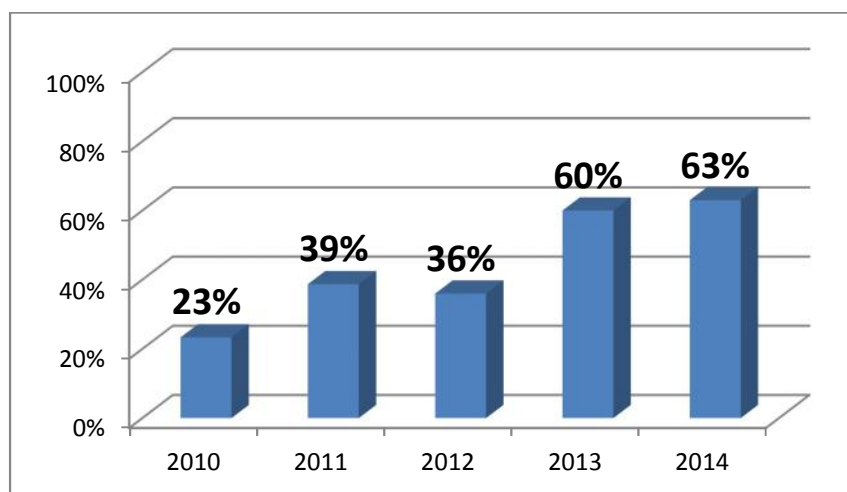


Figure 6a. The progress of compliance to Resolution 14/06, between 2010 and 2014.

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

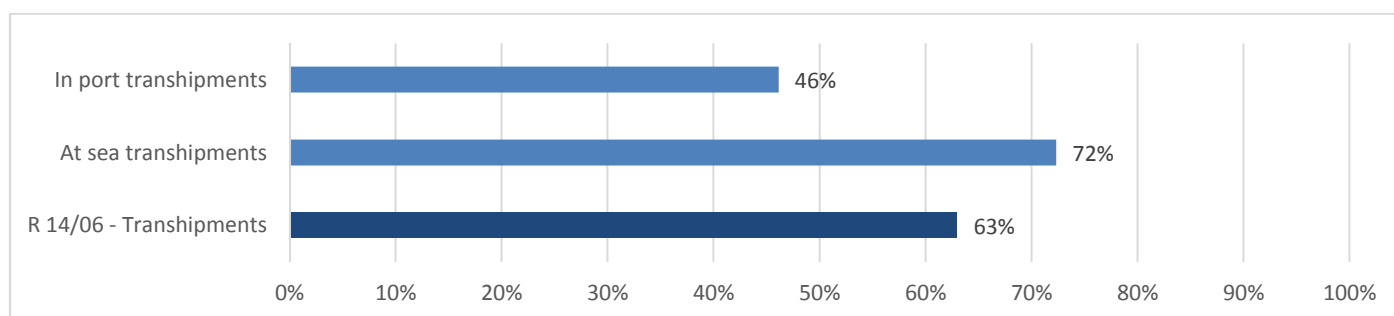


Figure 6b. Comparison of compliance level between requirements on transhipments at sea and in ports (Res. 14/06).

6. Reporting of mandatory statistics (flag State)

In terms of the reporting of mandatory datasets, in 2013 overall levels of compliance with Resolution 10/02 continued to remain relatively poor, showing no significant improvement compared to 2012 and 2011. In 2013:

- 40% of the datasets were reported by CPC's as per the requirements in Resolution 10/02 (i.e., nominal catch, catch-and-effort, and size frequency data for IOTC species and major shark species) according to the deadline of 30th June.
- Many CPC's continue to report partial datasets, or data that falls short of IOTC reporting standards. 16 CPCs provided complete or partial datasets as per the requirements in Resolution 10/02.
- Five CPCs have not reported statistics to the IOTC at all for a period of more than three years: Sierra Leone; Yemen; Eritrea; Sudan; Guinea.

Figures 7a and 7b illustrates the level of compliance with the reporting of mandatory statistics on IOTC Species from 2010 to 2014 (2014 compliance level is preliminary – assessment on-going).

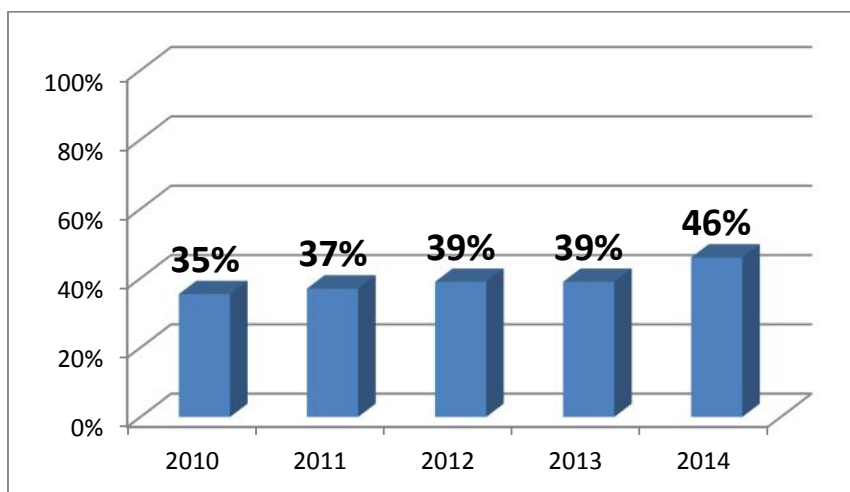


Figure 7a. The progress of compliance to Resolution 10/02 (Flag State responsibilities), between 2010 and 2014.

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

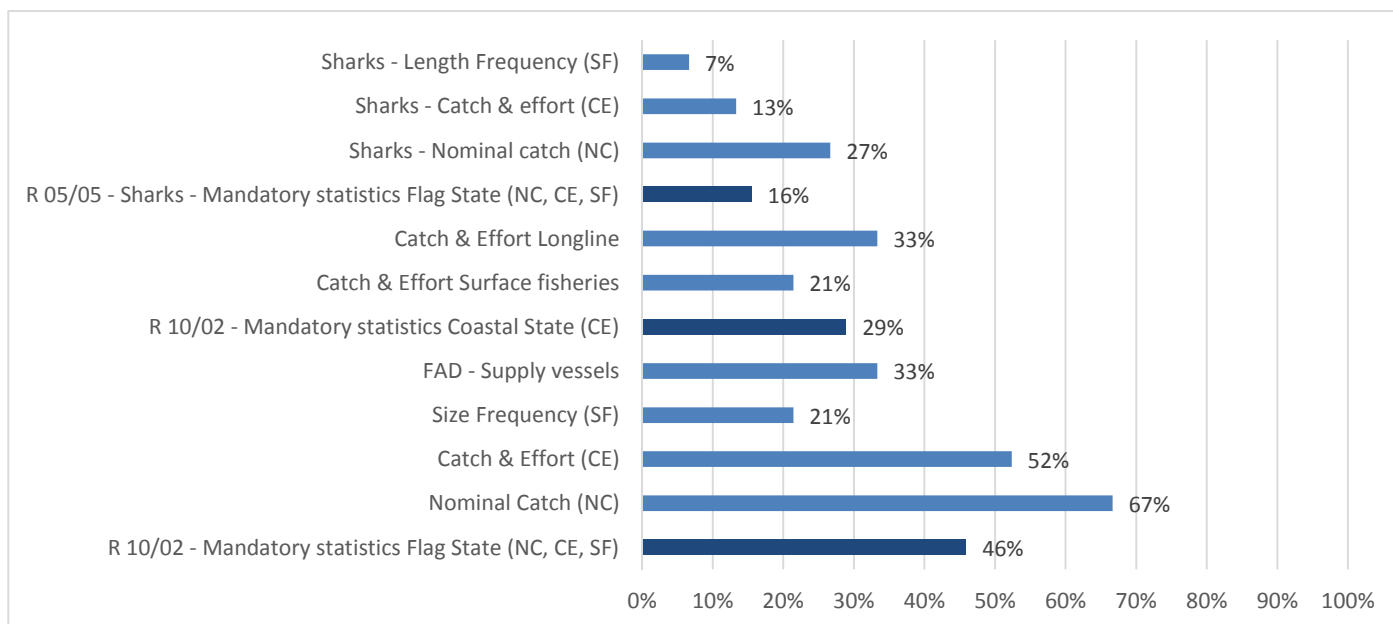


Figure 7b. Compliance level of Resolutions related to submission of mandatory statistics on IOTC Species and Sharks (Res. 05/05, 10/02).

In terms of the proportion of total catch reported to deadline, in 2013 the levels of reporting improved when compared to 2012 – 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 (i.e., Indonesia, and I.R. Iran). The statistics reported before the deadline represented 74% of the nominal catch (44% for 2012), 40% of the catch-and-effort (43% for 2012), and 48% of the size frequency data (31% for 2012)

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: for 2013, 90%, 48%, and 49% of the nominal catches, catch-and-effort, and size frequency statistics were available at the time of the 2014 IOTC Scientific Committee, respectively.

Levels of reporting of bycatch data for seabirds and marine turtles for 2013 remain very low and, where available, are normally incomplete and highly aggregated by species.

Figure 8a and 8b illustrates on the level of compliance with the reporting of data on bycatch species from 2010 to 2014 (Res. 05/05, 12/06, 12/04, 12/09, 13/04, 13/05, 13/06; 2014 compliance level is preliminary – assessment on-going).

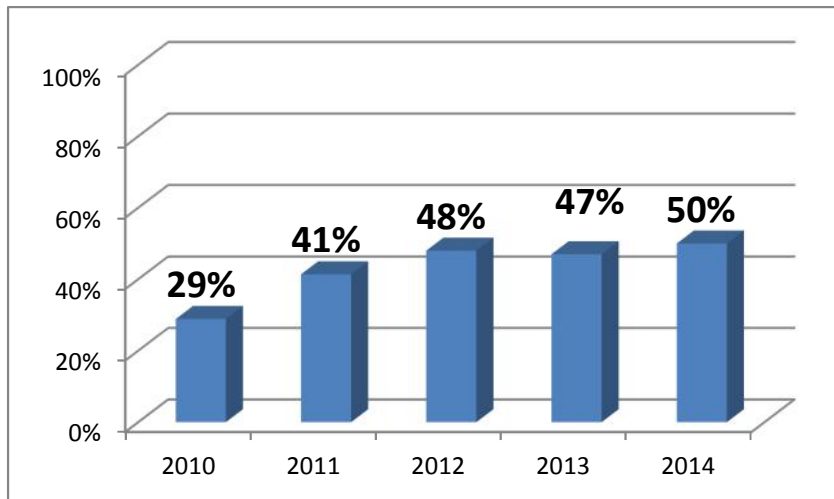


Figure 8a. The progress of compliance to reporting on bycatch, between 2010 and 2014.

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

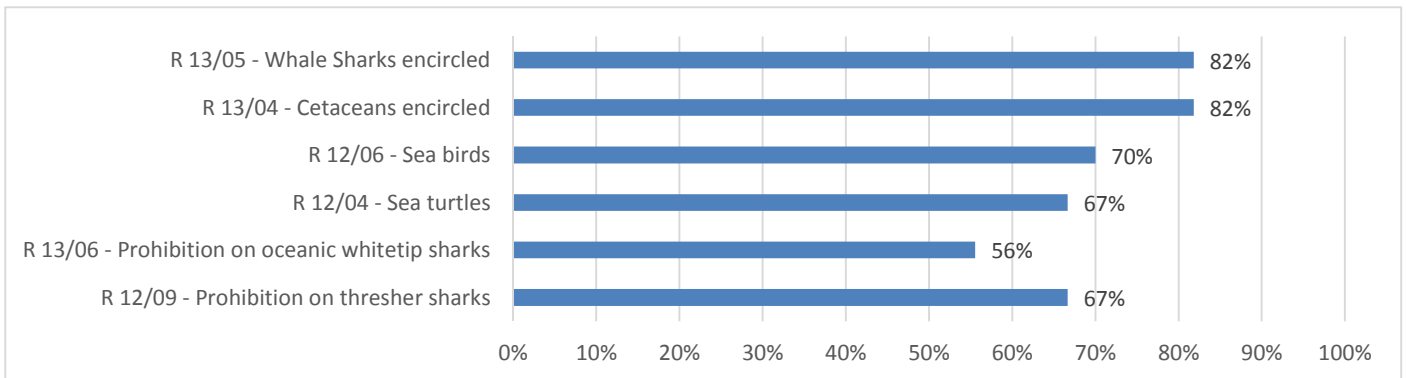


Figure 8b. Compliance level of Resolutions related to bycatch mitigation (Res. 12/06, 12/04, 12/09, 13/04, 13/05, 13/06).

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 minima data collection and reporting requirements for observers and preparation of the observer manuals, 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, fourteen 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 and South Africa. The details of 259 accredited observers have been reported to the IOTC Secretariat so far.

In addition eight CPCs have submitted observer reports to the IOTC Secretariat, including Australia (2010-2012; 2014), China (2010; 2012-2013), EU (2011-14), Japan (2010-2012), Republic of Korea (2010; 2012-2013), Madagascar (2012-2014)¹, Mozambique (2012), and South Africa (2011-2013)². Overall information 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) 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%³) and purse seine coverage is below the requirement (4%⁴).

Figure 9 illustrates the level of compliance with the regional observer scheme from 2010 to 2014 (2014 compliance level is preliminary – assessment on-going).

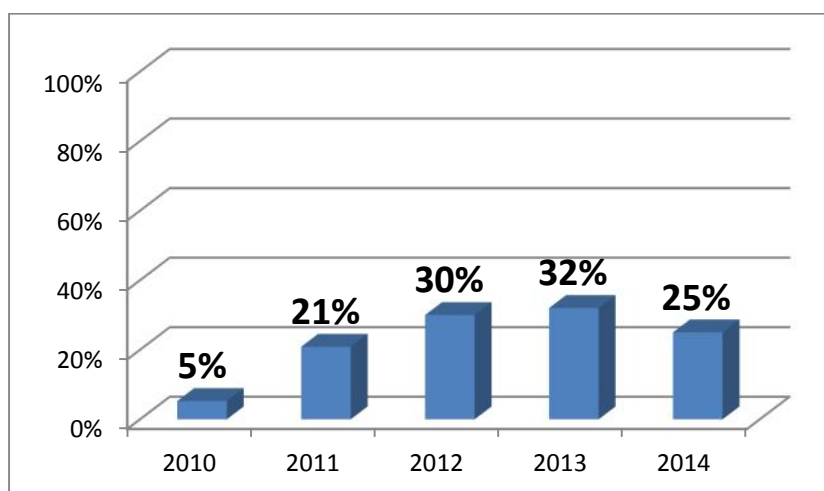


Figure 9: The progress of compliance to Resolution 11/04, between 2010 and 2014.

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

¹ Reports from Madagascar include observers onboard foreign vessels operating in the EEZ

² Reports from South African observers onboard foreign vessels operating in the EEZ

³ Percentage calculated based on total reported and observed effort in numbers of hooks

⁴ Percentage calculated based on total reported and observed effort in fishing days

8. Limitation of fishing capacity and fleet development plans (IOTC Resolution 12/11)

Since the 17th Session of the Commission, four CPCs have provided revised fleet development plans. These revisions contain additional information on the target species of the vessels to be introduced into the fleets of the concerned CPCs as well as updates on their actual implementation.

More detailed information on the reference capacity and the implementation of the fleet development plans is available in document IOTC-2015-CoC12-05[E], which has been prepared by the IOTC Secretariat. A compendium of fleet developments plans is presented in document IOTC-2015-CoC12-05 Add1[E], 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 2014 (2014 compliance level is preliminary – assessment on-going).

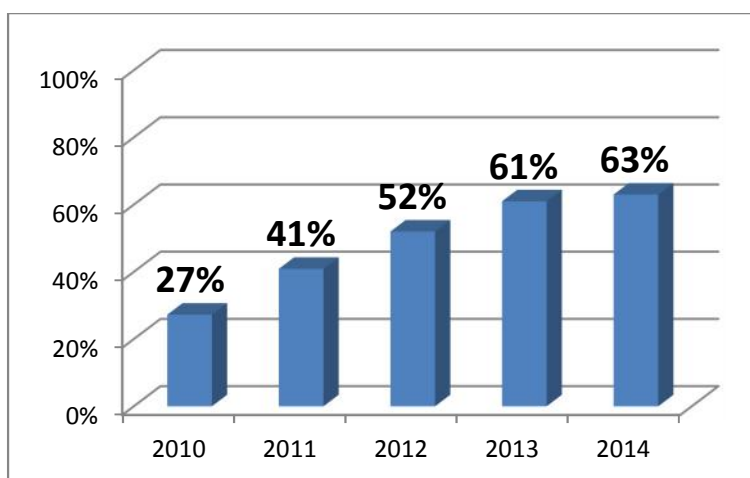


Figure 10. The progress of compliance to Resolution 12/11, between 2010 and 2014.

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 1st 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 seven 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). Six (6) port State CPCs have provided information indicating that they have monitored and inspected at least 5% of landings and transshipments. Only one port State CPC, (Mauritius) has 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.

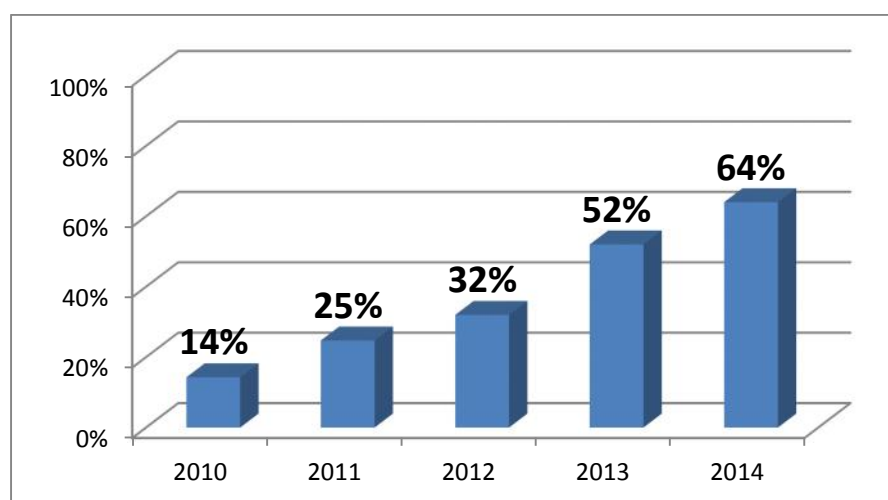
Table 2. Port Inspection reports transmitted to the IOTC Secretariat by year by port State CPCs.

Country /Year	2011	2012	2013	2014	Date first inspection report provided	Originals of PIR transmitted	Forms related to monitoring of landing/transshipment transmitted
MUS	24	38	40	42	2011	NO	YES (only for 2014)
KEN	0	0	2	2	25/10/2013	YES	NO
MOZ	0	20	16	16	13/04/2012	YES	Not Applicable (No LAN/TRX)
SYC	211	288	242	295	2011	YES	NO
MDG	0	0	25	5	19/07/2013	YES	NO
TZA	0	0	6	1	17/04/2014	NO	Not Applicable (No LAN/TRX)
ZAF	0	0	85	62	25/09/2014	YES	NO

Regarding the resolution 05/03, to date, 13 CPCs with ports located in the IOTC Area have provided information on landings in 2014 of foreign fishing vessels into their ports, including the European Union, Kenya, Madagascar, Mauritius, Mozambique, , Seychelles, South Africa, Sri Lanka, Tanzania and Thailand; three (3) CPCs have provided a NIL report, including Iran, Malaysia and Oman.

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 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 2014 (2014 compliance level is preliminary – assessment on-going).

**Figure 11a.** The progress of compliance to Resolutions 05/03 and 10/11, between 2010 and 2014.

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

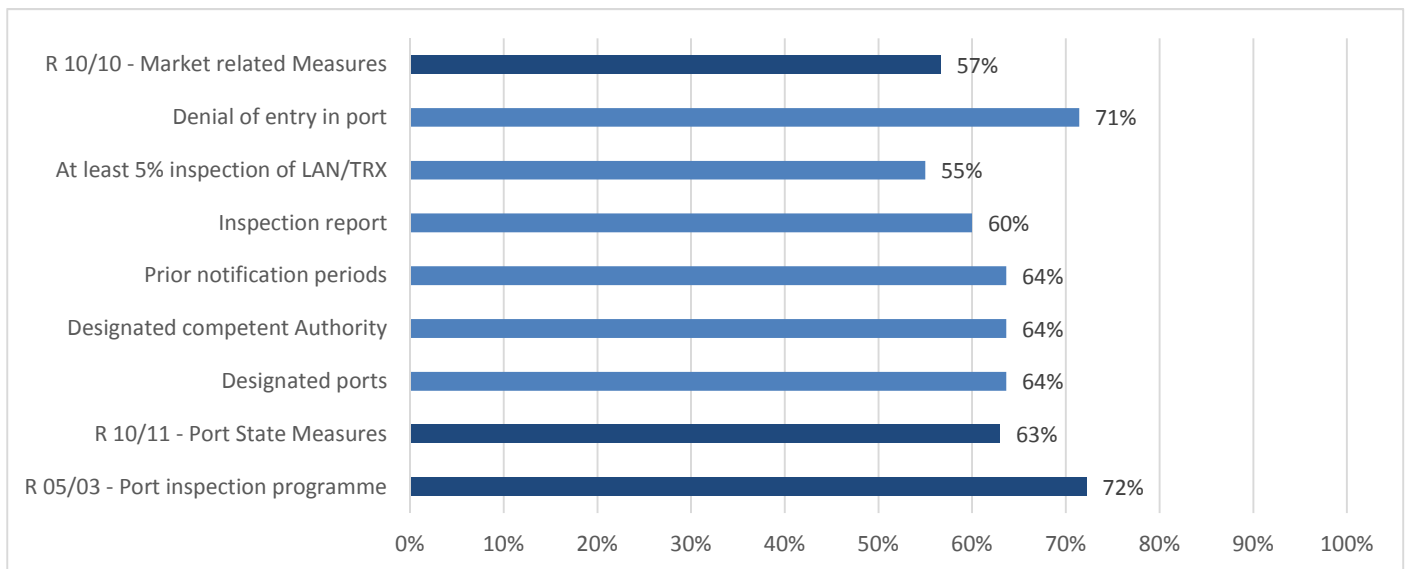


Figure 11b. Compliance level of Resolutions related to PSM (Res. 05/03; 10/11; 10/10).

Annex 1**Table 1.** Number of fishing vessels, by vessel types, in the IOTC Record of Authorised Vessels on 20th March, 2015.

CPC	Number Ships	Purse seine	Line	Longline	Gill net	Trawl	Multipurpose	Supply vessel	Unknown
Australia	71	10	16	45	0	0	0	0	0
China	88	0	0	88	0	0	0	0	0
EU	591	81	30	457	3	8	0	3	9
India	45	0	6	38	0	0	0	0	1
Indonesia	1326	39	0	1251	2	0	0	0	34
Iran	1309	8	0	1	1296	2	0	0	2
Japan	254	9	0	245	0	0	0	0	0
Korea_Republic of	179	13	0	165	0	0	0	1	0
Madagascar	8	0	0	8	0	0	0	0	0
Malaysia	10	0	0	10	0	0	0	0	0
Maldives	1053	0	1000	28	0	0	0	0	25
Mauritius	8	8	0	0	0	0	0	0	0
Mozambique	6	0	0	6	0	0	0	0	0
Oman	32	0	0	32	0	0	0	0	0
Pakistan	10	0	0	0	0	0	0	0	10
Philippines	62	46	0	16	0	0	0	0	0
Senegal	1	0	0	1	0	0	0	0	0
Seychelles	54	9	0	40	0	0	0	1	4
South Africa	25	0	8	17	0	0	0	0	0
Sri Lanka	2576	0	0	261	5	0	2309	0	1
Tanzania	5	0	0	5	0	0	0	0	0
Thailand	13	0	0	10	0	0	3	0	0
Vanuatu	32	0	0	32	0	0	0	0	0
TOTAL	7758	223	1060	2756	1306	10	2312	5	86

Table 2. Summary of completeness of information for fishing vessels in the IOTC Record of Authorised Vessels on 20th March, 2015.

Fleet	No.Ships	>=24m	<24m	Unkn	IMO	Registration	CallSign	AutPeriod	TypeVessel	TypeGear	LOA	GT	GRT	Port of Reg.	OwnerName
Australia	71	14	57	0	1	100	100	100	100	100	100	86	14	99	100
China	88	88	0	0	10	100	93	63	100	100	100	100	0	100	100
EU	591	286	305	0	2	100	94	80	100	98	100	100	26	75	100
India	45	19	26	0	0	96	96	0	100	98	100	20	100	0	100
Indonesia	1326	367	392	567	0	98	80	98	100	97	57	100	0	65	100
Iran	1309	493	816	0	1	100	98	0	100	100	100	100	0	100	100
Japan	254	251	3	0	89	100	99	100	100	100	100	100	100	100	100
Korea_Republic of	179	179	0	0	25	100	100	100	100	100	100	99	0	100	100
Madagascar	8	0	8	0	0	100	100	100	100	100	100	100	13	100	100
Malaysia	10	10	0	0	0	100	100	100	100	100	100	100	100	100	100
Maldives	1053	362	686	5	0	100	6	100	3	98	100	100	1	99	90
Mauritius	8	8	0	0	38	75	100	100	100	100	100	100	100	75	100
Mozambique	6	1	5	0	17	100	100	83	100	100	100	100	50	100	100
Oman	32	16	16	0	0	100	38	0	100	100	100	100	0	44	97
Pakistan	10	0	10	0	0	100	0	100	100	0	100	100	0	0	100
Philippines	62	62	0	0	0	100	100	0	100	100	100	6	100	0	100
Seychelles	54	52	2	0	87	100	100	100	100	93	100	100	0	100	100
Sri Lanka	2576	3	2572	1	0	100	39	100	100	100	100	100	0	100	100
Tanzania	5	5	0	0	0	100	100	80	100	100	100	100	0	100	100
Thailand	13	13	0	0	23	100	100	100	100	100	100	100	0	77	100
Vanuatu	32	30	2	0	0	100	100	97	100	100	100	100	0	6	100
Senegal	1	1	0	0	0	100	100	100	100	100	100	0	100	0	100
South Africa	25	12	13	0	0	100	100	100	100	100	100	100	0	100	100
Total	7758	2272	4913	573											

Table 3. Summary of active vessels in the IOTC Area from 2000 to 2014.

CPCs	Year Active														
	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014
Australia	78	81	23	21	17	11	10	9	8	13	12	11	11	9	8
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
EU	0	61	70	41	55	348	360	114	95	82	73	79	76	81	84
Guinea		3	3	6	3	3	3								
India		3	3	2	2	4	70	77	34	50	64	51	20		
Indonesia					754	1171	1,201				993	1,196	1,275	1,238	458
Iran							1,016	1,109	1,206	1,307	1,270	1,251	1,233	1,230	1,228
Japan	500	496	189	170	182	184	227	217	210	140	112	70	72	73	53
Kenya									2	2	1				
Korea_Republic of	54		155	202	36	28	29	33	24	20	13	7	10	13	14
Madagascar				1		5	2	1	2		6	4	8	8	7
Malaysia			13	7	14	18	28	62	58	59	43	8	5	5	11
Maldives												234	249	318	342
Mauritius			7	7	8	8	8	10	8	1	3	4	5	2	7
Mozambique												1	1		2
Oman					4	11	24	29	27				8	5	3
Pakistan												10			
Philippines		17	33	16	25	12	18	17	17	8	7	3	14	9	4
Seychelles		28	36	80	51	51	43	45	42	50	50	31	39	43	39
Sri Lanka							1,001	2,631	2,975	3,261	3,295	3,588	2,482	2,241	1,610
Tanzania								3			4	1	8	5	3
Thailand	3	2	4	2	2	8	13	11	6	11	10	5	5	5	6
Vanuatu										4	4		2	17	
Senegal				1	1	1	3								
South Africa	6	12	12	16	9	4	13	14	10			15	13	16	5
Uruguay		2	2	1			1								
Grand Total	844	833	664	643	1,241	1,946	4,145	4,459	4,779	5,045	5,987	6,591	5,578	5,357	3,935