

INTER-AMERICAN TROPICAL TUNA COMMISSION
COMMITTEE FOR THE REVIEW OF THE IMPLEMENTATION OF MEASURES
ADOPTED BY THE COMMISSION

SECOND SPECIAL BIENNIAL COMPLIANCE MEETING

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DOCUMENT CORSB-02 INF-D

TASKS AND STAGES FOR THE IMPLEMENTATION OF
AN AUTOMATED IATTC COMPLIANCE SYSTEM

1. Introduction.

The purpose of this document is to provide additional information as a complement to document CORSB-02 INF-C, "Plan to Advance Automation of the IATTC Compliance System on its First Stage", which focuses on presenting an overview and diagnosis of the situation of the existing infrastructure, as well as a description of the two modules that are proposed to be developed. This document aims to detail the specific tasks that must be carried out and the stages to do so, as well as to describe the work that has already been completed.

In fact, it should be emphasized that a good part of the foundations for automation is already under development or completed, which confirms that the strategy of gradual evolution — and not building from zero — is the right one for IATTC. Along the same lines, work is already underway on the design of automated tools for the compliance system on the Commission's internet platform.

Link to the COR mandate

This document is part of the draft action plan that the COR entrusted to the Secretariat in subsection (a) of its recommendation on updating the compliance review process. This clause requests that this process be covered in an automated manner, from the drafting of the provisional compliance report —and the provisional synopsis on compliance— to the approval of the compliance report by the Commission, including an online system for filling out forms and submitting reports. The modules and stages described in this document cover the section from the compliance questionnaire to the COR and Commission consultation boards (Stage 4); the final step of formal approval of the report by the Commission, along with the provisional synopsis, will be explicitly integrated into the automated workflow as that stage is developed.

In accordance with subsection (b), this plan considers, to the greatest extent possible, the processes already established in other RFMOs, particularly in ICCAT and WCPFC, expressly indicated by the COR as references, in addition to the experience of IOTC and CCSBT. In compliance with subsection (c), the Secretariat has already contacted the secretariats of said organizations to obtain the necessary information in this regard, as detailed in section 2.

Finally, in accordance with subsection (d), it is proposed that the COR establish a permanent agenda item to receive periodic updates from the Secretariat on the progress in the implementation of the priority elements of the work plan, which is already being done.

2. Progress made to date

As of the date of this document, the Secretariat has made concrete progress on several of the fronts necessary for automation, as summarized in the table below. It should be noted that much of this work relies on databases that the

Secretariat already has available and that are the basis of this automation exercise; therefore, several of the advances described here represent the enhancement of an existing infrastructure, and not the construction of a new one. It is also worth noting that the development of templates is a process that takes considerable time, since in several cases their content requires approval from the Commission before they can be used, which can slow down their implementation.

Component / Line of work	Status	Progress details
Cooperation with other tuna RFMOs	✓ Done	Meetings held with ICCAT, IOTC, WCPFC, and CCSBT to learn about their automated compliance systems and their implementation experience. This was done within the framework of the TCN's cooperation work.
Technical exchange with the WCPFC	🕒 in progress	Scheduled meeting with the WCPFC IT specialist to delve deeper into the technical aspects of their platform.
Compliance questionnaire template	✓ Ready	Template completed in coordination with the COR Chair and already in use for the 17 th COR meeting.
Template for reporting potential breaches	✓ Ready	Updated format in coordination with the COR Chair and already in use for the 17 th COR meeting, with status rating scale: resolved, unresolved, more information required, among other categories. Additionally, a compliance report format is already available in both draft and final versions.
Specific thematic formats	🕒 in progress	Formats developed for reporting seabird bycatch in longliners, shark conservation, and data from the observer program in the longline fleet, as well as reports on compliance with resolutions.
Web platform (mockup) for the compliance system	🕒 In development	A first basic test version of a web platform was recently released that is expected to be able to collect, process, and disseminate compliance information. The development of the backend, which is of considerable complexity given the diversity of users and privilege levels, is already underway.
Database of potential breaches and CPC responses	✓ Enhanced	Continuous development and strengthening of the existing database that records possible non-compliance and the responses issued by the CPCs.
Transshipment at sea database	🕒 In development	Work is underway on a database with similar characteristics, focused on transshipments at sea and the possible associated non-compliance.
Database for receiving reports and capturing data	🕒 Under integration	There is a database for receiving and capturing reports sent to the Secretariat in relation to the mandate of various resolutions.

3. Pending tasks

Based on the diagnosis and the progress described, the following pending tasks are identified for each of the planned modules.

Module 1 — Compliance Questionnaire and Potential Non-Compliance

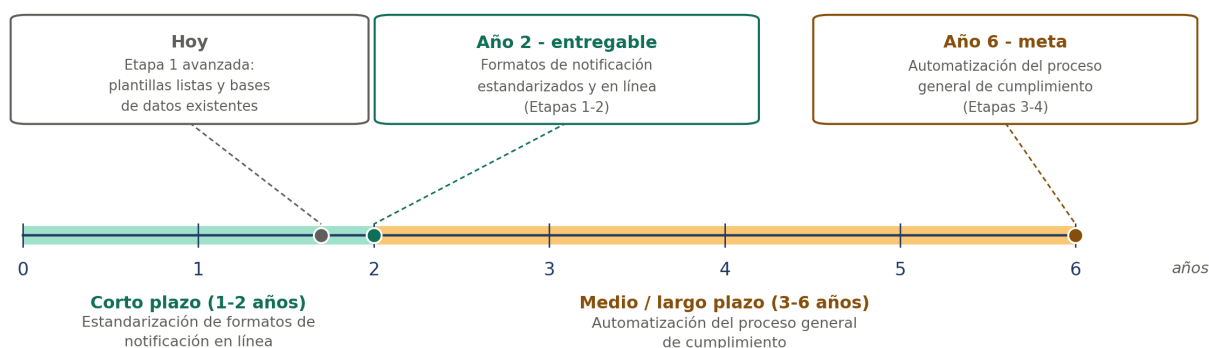
Task	Aim
Transfer the questionnaire template, already validated with the COR Chair, to the online form on the portal	Digitalizing an instrument that is already approved and in use
Define the required fields and validation rules for the online form	Enable the automatic completeness assessment described in Module 1
Design the CPC access and authentication flow to the portal	Ensure that each CPC only has access to their own information
Develop in the system the mechanism for automatic acknowledgment of receipt of the information received	Immediately confirm receipt of your questionnaire or response to the CPC, including the reference number, date, and time.
Automate the generation of the compliance report in its draft and final versions, based on the already defined format	Reduce the manual work of compiling reports for review by the Secretariat and the COR

Module 2 — Resolution Data and Reports

Task	Aim
Complete the integration of the report reception database with the internal obligations dashboard	Avoid parallel records and automate deadline tracking
Define the quality and completeness verification forms for each resolution	Moving from a mere reception record to a content evaluation
Standardize online reporting formats, resolution by resolution	Enable automatic format validation at the time of submission
Expand the database of transshipments at sea.	Improve the systematic monitoring of potential non-compliance in transshipments

Schedule agreed by the COR

The COR agreed on a differentiated timeline for this task: medium to long term (3 to 6 years) for the general automation process, and short term (1 to 2 years) for the standardization of online notification formats. The following timeline places the current progress within that route.



It should be noted that the creation of templates is one of the most arduous tasks of this route: its effective implementation does not depend only on the Secretariat but requires the full participation of the CPCs with the widespread use of the agreed templates to submit information, so the progress towards the two-year deliverable is also subject to the timing of that participation.

Stage 1 — Consolidation of bases and standardization (short term)

Tasks of the stage	Expected result
Continue the development of the backend of the web platform (mockup) already released in test version, considering the diversity of users and privilege levels	A solid technical foundation on which to build compliance interfaces
Conclude the technical meeting with the WCPFC IT specialist (and others as needed) and systematize the lessons learned from the other RFMOs	Technical inputs for the detailed design of the system

Stage 2 — Development of the access portal for CPCs (medium term)

Tasks of the stage	Expected result
Extend the platform (mockup) with compliance interfaces—reports and graphs—so that the CPC can answer questionnaires and submit reports online	Gradual replacement of email exchange, building on the existing foundation.
Connect the portal to existing non-compliance, transshipments, and report receipt databases	Automatic storage without duplicate records
Finalize the remaining thematic formats (seabirds, sharks, sea turtles, catch data, etc.), given that the questionnaire and compliance report templates are ready and in use at the 17 th COR Meeting	Complete set of instruments ready for use.

Stage 3 — Automation of evaluation and report generation (medium-long term)

Tasks of the stage	Expected result
Implement automated assessment of completeness, timeliness, and format	Reduction of manual review by the Secretariat
Automatically generate the draft compliance report by CPC and by resolution	Reports available for review by the Secretariat and the COR with less manual effort

Stage 4 — Full integration and dashboards for the COR and the Commission (long term)

Tasks of the stage	Expected result
Integrate the public access portal into the IATTC institutional website	The system is perceived as part of the IATTC and not as a separate platform.
Develop query dashboards for the COR and the Commission	Direct visualization of compliance status by CPC and by resolution

Tasks of the stage	Expected result
Explore, under parameters defined by the Commission, the automated rating of compliance by country and by fleet	It lays the groundwork for an eventual formal compliance rating.

5. Final considerations

The work carried out to date—cooperation with other tuna RFMOs; questionnaire and compliance report templates ready and in use for the 17th COR Meeting; thematic formats; strengthening of the non-compliance, transshipment, and report receipt databases; and a first test version of the web platform—confirms that the Secretariat is already on the path towards automation described in CORSB-02 INF-C, with concrete progress that goes beyond the conceptual design.

The incremental progress criterion is reiterated: first consolidate what is simplest and already available, observe its results, and based on that, continue towards the stages of greater technical complexity.

It is important to note that all the work described here has been carried out without additional resources, using the Commission's current staff. It is therefore highly recommended to have the support of the IATTC in terms of human and financial resources—for purchasing equipment and hiring specialized technical advisors—to sustain and accelerate this effort, without ruling out the possible collaboration of some countries through the voluntary provision of technical advice and additional resources.