Evaluate Capacity to Engage in RFMO Compliance Review Processes: A Self-Assessment Tool

IATTC 2025

Pew

Introduction

Purpose of the Capacity Self-Assessment Tool (CSAT)

Design and Functionality

Module Overview

Results and Outcomes

Looking ahead

Why a Capacity Self-Assessment Tool?

Compliance review processes are essential to ensuring the achievement of RFMO objectives

RFMO compliance review processes are labor intensive and can be demanding on members

Lack of capacity is often cited as a barrier to compliance

Many RFMOs have initiatives to support members with capacity challenges

Purpose of the Capacity Self-Assessment Tool?

To help States **identify the specific challenges** that prevent their full and effective engagement in compliance review processes and **prepare for taking action** to address these challenges.

Is beneficial for **auditing** and **enhancing systems**, tools, and processes for engaging in RFMO compliance assessment processes.

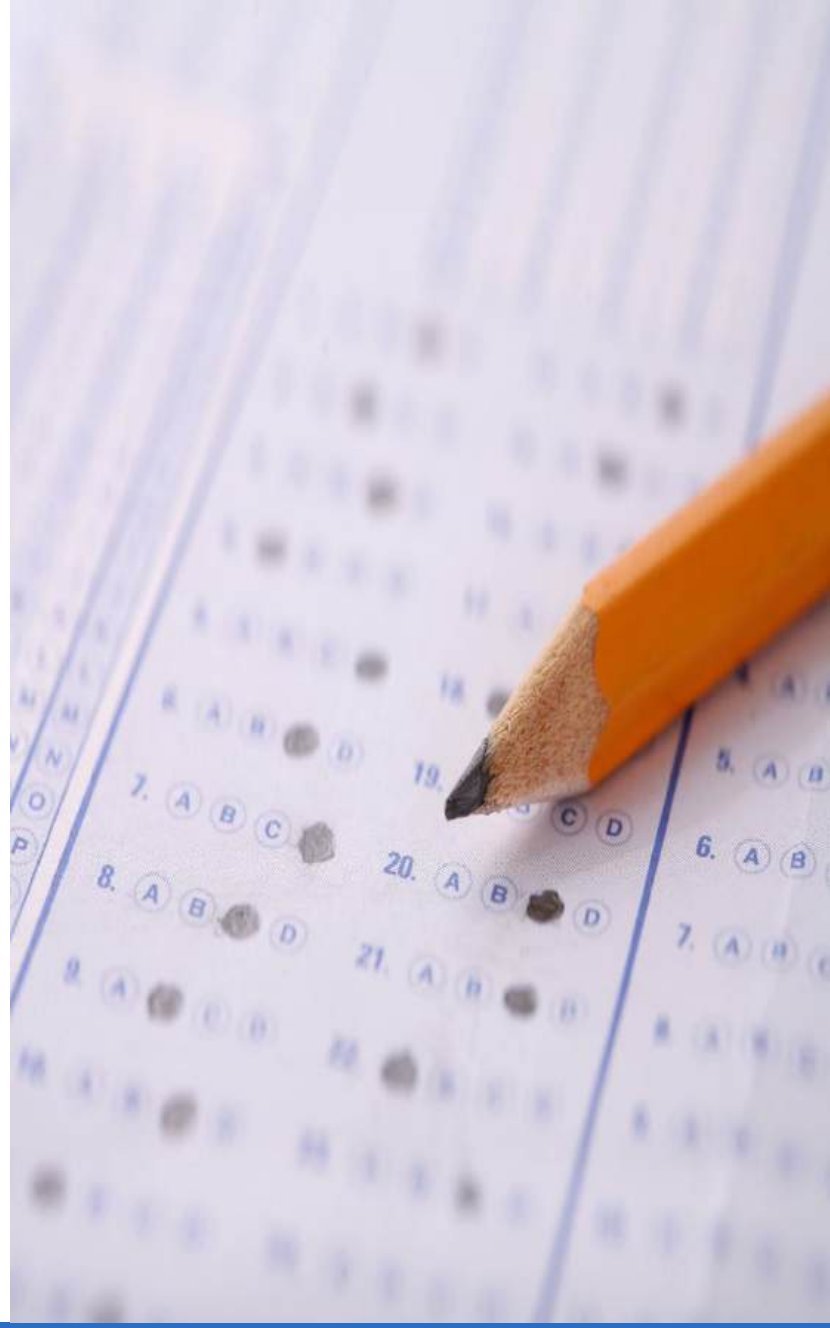
Who is the Capacity Self-Assessment Tool for?

Personnel in RFMO **member governments**.

Including those involved in national delegations to RFMOs.

The information gathered is primarily for **internal use but** can be shared at the discretion of the user.

There are **no requirements** to share results.

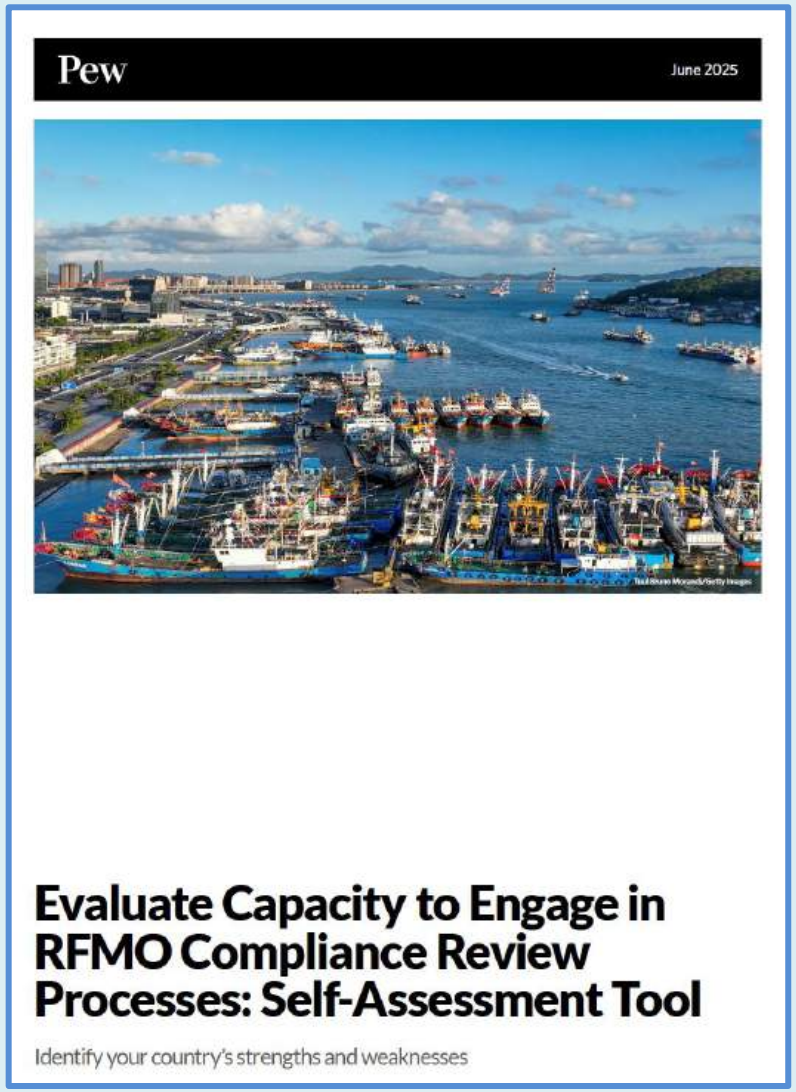


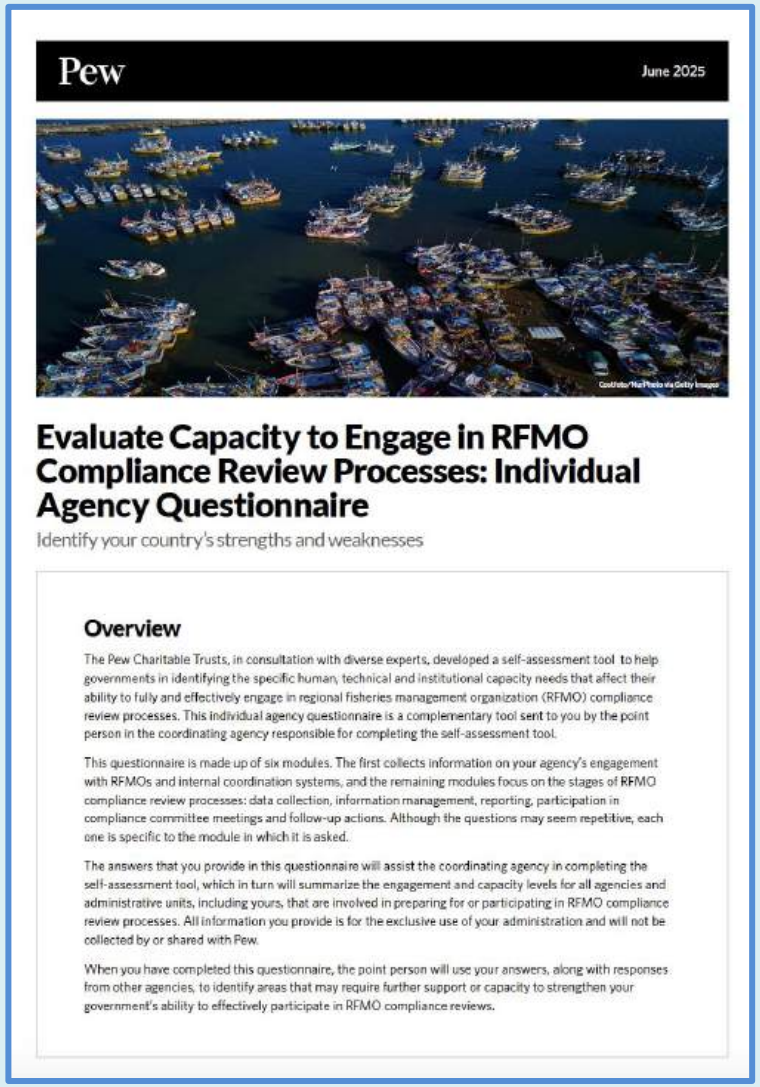
Design of the Capacity Self-Assessment Tool

Desk-top review of RFMO reporting requirements and templates, compliance reports and performance reviews

Contributions from RFMO compliance officers, government officials, survey specialists, and independent experts

Elements of the Capacity Self-Assessment Tool





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The Individual Agency Questionnaire

Pew June 2025

Evaluate Capacity to Engage in RFMO Compliance Review Processes: Individual Agency Questionnaire

Identify your country's strengths and weaknesses

Overview

The Pew Charitable Trusts, in consultation with diverse experts, developed a self-assessment tool to help governments in identifying the specific human, technical and institutional capacity needs that affect their ability to fully and effectively engage in regional fisheries management organization (RFMO) compliance review processes. This individual agency questionnaire is a complementary tool sent to you by the point person in the coordinating agency responsible for completing the self-assessment tool.

This questionnaire is made up of six modules. The first collects information on your agency's engagement with RFMOs and internal coordination systems, and the remaining modules focus on the stages of RFMO compliance review processes: data collection, information management, reporting, participation in compliance committee meetings and follow-up actions. Although the questions may seem repetitive, each one is specific to the module in which it is asked.

The answers that you provide in this questionnaire will assist the coordinating agency in completing the self-assessment tool, which in turn will summarize the engagement and capacity levels for all agencies and administrative units, including yours, that are involved in preparing for or participating in RFMO compliance review processes. All information you provide is for the exclusive use of your administration and will not be collected by or shared with Pew.

When you have completed this questionnaire, the point person will use your answers, along with responses from other agencies, to identify areas that may require further support or capacity to strengthen your government's ability to effectively participate in RFMO compliance reviews.

0 = Very difficult **1** = Somewhat difficult **2** = Rarely difficult **3** = Not difficult **n/a** = Collection not required

Topic	Score
Compliance review processes	
Potential non-compliance	
Follow-up on instances of potential non-compliance	
Corrective actions taken and planned	
Capacity-building needs	

Provide any additional comments, including on topics not mentioned above:

2.3 Is your agency aware of all the data it needs to collect for RFMO compliance review processes?
Yes No

2.4 Is your agency aware of the deadlines to report information for RFMO compliance review processes?
Yes No

2.5 Is your agency aware of where and how to obtain the data it is responsible for collecting for RFMO compliance review processes?
Yes No

2.6 Does your agency have access to all the data necessary to comply with RFMO reporting requirements?
Yes No

2.7 Does your agency have access to all the necessary data in time to comply with RFMO reporting requirements?
Yes No

2.8 Does your agency have sufficient personnel to collect the data required for RFMO compliance review processes?
Yes No

2.9 Are your agency's personnel, including new personnel, adequately trained to collect the data required for RFMO compliance review processes?
Yes No

Coordinating agency

Point person's name

Department **Date of completion**

Contact information

Module 1 Interagency coordination

Individual agencies are often responsible for communicating with RFMOs on matters related to compliance review processes, including reporting, clarifications and follow-up actions.

1.1 Is your agency responsible for communicating with one or more RFMOs on matters related to compliance review processes?
Yes No *(skip to Module 2)*

If yes, what is your agency responsible for communicating to RFMOs, such as reporting, providing clarifications and supplying information on follow-up actions? *Select the most appropriate option.*

- My agency is solely responsible for communicating with all RFMOs
  Provide name(s) of the RFMOs:
- My agency is solely responsible for communicating with one or more RFMOs
  Provide name(s) of the RFMOs:
- My agency is one of several that are jointly responsible for communicating with RFMOs
  Provide name(s) of the RFMOs your agency jointly communicates with:
- Other *(please specify)*:

Capacity Self Assessment Tool: Coordination

Coordinating agency and point person

Which agency and point person is responsible for completing this questionnaire?

Coordinating agency

Point person's name

Date of completion **Department**

Contact information

Has this questionnaire been completed in coordination with other government agencies?

○ Yes ○ No

If yes, which agencies have been involved? *Select all that apply.*

- ☐ Ministry/Department of Fisheries
- ☐ Fisheries Agency
- ☐ Fisheries Research Agency/Institute
- ☐ Maritime Authority
- ☐ Port Authority
- ☐ Coastguard/Military
- ☐ Police
- ☐ Customs
- ☐ Ministry of Foreign Affairs
- ☐ Ministry of Economy/Finance
- ☐ Ministry of the Environment
- ☐ Other *(please specify):*

Roughly how many people have been involved in completing the questionnaire?

○ 1 ○ 2-5 ○ 6-10 ○ More than 10

Module 1 RFMO membership and interagency coordination

1.1 Select each organization of which your country is a member or a cooperating non-member and provide the date when your country joined. *(Enter the most recent date if joined more than once.)*

RFMO or equivalent organization	Member	Cooperating non-member	Date
Commission for the Conservation of Antarctic Marine Living Resources (CCAMLR)	○	○	
Commission for the Conservation of Southern Bluefin Tuna (CCSBT)	○	○	
General Fisheries Commission for the Mediterranean (GFCM)	○	○	
Inter-American Tropical Tuna Commission (IATTC)	○	○	
International Commission for the Conservation of Atlantic Tunas (ICCAT)	○	○	
Indian Ocean Tuna Commission (IOTC)	○	○	
Northwest Atlantic Fisheries Organization (NAFO)	○	○	
North-East Atlantic Fisheries Commission (NEAFC)	○	○	
North Pacific Fisheries Commission (NPFC)	○	○	
South East Atlantic Fisheries Organization (SEAFO)	○	○	
Southern Indian Ocean Fisheries Agreement (SIOFA)	○	○	
South Pacific Regional Fisheries Management Organization (SPRFMO)	○	○	
Western and Central Pacific Fisheries Commission (WCPFC)	○	○	
Other *(please specify):*	○	○	

Functionality of the Capacity Self Assessment Tool

Fillable PDF format

2.2. Considering the capacity of the agencies involved in data collection identified in Section 1.3, enter the most appropriate answers for each indicator in the last column. *If you are completing this questionnaire electronically, total and average scores will automatically populate. If you are completing this questionnaire by hand, calculate and record the total and average scores where indicated.*

Indicator 2A. Agency capacity	Capacity assessment				Score
	0	1	2	3	
2A.1. Are agencies **aware of all the data they need to collect** for RFMO compliance review processes?	Most agencies are not aware **(0)**	Some agencies are aware **(1)**	Most agencies are aware **(2)**	All agencies are aware **(3)**	
2A.2. Are agencies **aware of the deadlines** to report information for RFMO compliance review processes?	Most agencies are not aware **(0)**	Some agencies are aware **(1)**	Most agencies are aware **(2)**	All agencies are aware **(3)**	
2A.3. Are agencies **aware of where and how to obtain** the data for RFMO compliance review processes?	Most agencies are not aware **(0)**	Some agencies are aware **(1)**	Most agencies are aware **(2)**	All agencies are aware **(3)**	
2A.4. Do agencies have **access to all the data** necessary to comply with RFMO reporting requirements?	Most agencies have no access **(0)**	Some agencies have access **(1)**	Most agencies have access **(2)**	All agencies have access **(3)**	
2A.5. Do agencies have **access to all the necessary data in time** to comply with RFMO reporting requirements?	Most agencies do not have access in time **(0)**	Some agencies have access in time **(1)**	Most agencies have access in time **(2)**	All agencies have access in time **(3)**	
2A total score	*If completing manually, add all scores for this indicator*				0
2A average score	*If completing manually, divide the total score for this indicator by 5*				0

Automated scoring

2.2. Considering the capacity of the agencies involved in data collection identified in Section 1.3, enter the most appropriate answers for each indicator in the last column. *If you are completing this questionnaire electronically, total and average scores will automatically populate. If you are completing this questionnaire by hand, calculate and record the total and average scores where indicated.*

Indicator 2A. Agency capacity	Capacity assessment				Score
	0	1	2	3	
2A.1. Are agencies **aware of all the data they need to collect** for RFMO compliance review processes?	Most agencies are not aware **(0)**	Some agencies are aware **(1)**	Most agencies are aware **(2)**	All agencies are aware **(3)**	2
2A.2. Are agencies **aware of the deadlines** to report information for RFMO compliance review processes?	Most agencies are not aware **(0)**	Some agencies are aware **(1)**	Most agencies are aware **(2)**	All agencies are aware **(3)**	2
2A.3. Are agencies **aware of where and how to obtain** the data for RFMO compliance review processes?	Most agencies are not aware **(0)**	Some agencies are aware **(1)**	Most agencies are aware **(2)**	All agencies are aware **(3)**	1
2A.4. Do agencies have **access to all the data** necessary to comply with RFMO reporting requirements?	Most agencies have no access **(0)**	Some agencies have access **(1)**	Most agencies have access **(2)**	All agencies have access **(3)**	2
2A.5. Do agencies have **access to all the necessary data in time** to comply with RFMO reporting requirements?	Most agencies do not have access in time **(0)**	Some agencies have access in time **(1)**	Most agencies have access in time **(2)**	All agencies have access in time **(3)**	1
2A total score	*If completing manually, add all scores for this indicator*				8
2A average score	*If completing manually, divide the total score for this indicator by 5*				1.60

Contents of the Capacity Self-Assessment Tool

Contents

Content of the Capacity Self Assessment Tool: Core Modules

Module 2	Module 3	Module 4	Module 5	Module 6
Data collection	Information management	Reporting	Participation in compliance committee meetings	Follow-up actions

Content of the Capacity Self Assessment Tool: Core Module Indicators

Indicator
2A. Agency capacity
2B. Personnel and knowledge base
2C. Technology and systems
2D. Organization and governance
Total data collection capacity score
Average data collection capacity score

Content of the Capacity Self Assessment Tool: Agency Capacity

2.2. Considering the capacity of the agencies involved in data collection identified in Section 1.3, enter the most appropriate answers for each indicator in the last column. *If you are completing this questionnaire electronically, total and average scores will automatically populate. If you are completing this questionnaire by hand, calculate and record the total and average scores where indicated.*

Indicator 2A. Agency capacity	**Capacity assessment**				**Score**
	0	**1**	**2**	**3**	
2A.1. Are agencies **aware of all the data they need to collect** for RFMO compliance review processes?	Most agencies are not aware **(0)**	Some agencies are aware **(1)**	Most agencies are aware **(2)**	All agencies are aware **(3)**	2
2A.2. Are agencies **aware of the deadlines** to report information for RFMO compliance review processes?	Most agencies are not aware **(0)**	Some agencies are aware **(1)**	Most agencies are aware **(2)**	All agencies are aware **(3)**	2
2A.3. Are agencies **aware of where and how to obtain** the data for RFMO compliance review processes?	Most agencies are not aware **(0)**	Some agencies are aware **(1)**	Most agencies are aware **(2)**	All agencies are aware **(3)**	1
2A.4. Do agencies have **access to all the data** necessary to comply with RFMO reporting requirements?	Most agencies have no access **(0)**	Some agencies have access **(1)**	Most agencies have access **(2)**	All agencies have access **(3)**	2
2A.5. Do agencies have **access to all the necessary data in time** to comply with RFMO reporting requirements?	Most agencies do not have access in time **(0)**	Some agencies have access in time **(1)**	Most agencies have access in time **(2)**	All agencies have access in time **(3)**	1
2A total score	*If completing manually, add all scores for this indicator*				8
2A average score	*If completing manually, divide the total score for this indicator by 5*				1.60

Content of the Capacity Self Assessment Tool: Summary

Summary of data collection capacity scores

Indicator	Average score for each indicator *If completing manually, insert from the sections above*
2A. Agency capacity	1.60
2B. Personnel and knowledge base	1.00
2C. Technology and systems	2.33
2D. Organization and governance	0.67
Total data collection capacity score	*If completing manually, add all indicator scores* 5.60
Average data collection capacity score	*If completing manually, divide the total score by 4* 1.40

Data collection capacity assessment (use average score)	0-0.75 Very limited capacity	0.76-1.5 Limited capacity	1.51-2.25 Moderate capacity	2.26-3 Sufficient capacity

Content of the Capacity Self Assessment Tool: Personnel & knowledge base / Technology & systems

Indicator 2B. Personnel & knowledge base	Capacity assessment				Score
	0	1	2	3	
2B.1. Do agencies have sufficient personnel to collect the data required for RFMO compliance review processes?	Agencies do not have sufficient personnel **(0)**	Agencies have sufficient personnel to collect some data **(1)**	Agencies have sufficient personnel to collect most data **(2)**	Agencies have sufficient personnel to collect all data **(3)**	3
2B.2. Are personnel, including new personnel, **adequately trained** to collect the data required for RFMO compliance review processes?	Personnel are not adequately trained **(0)**	Some personnel are adequately trained **(1)**	Most personnel are adequately trained **(2)**	All personnel are adequately trained **(3)**	2
2B.3. Is a **policy** in place to ensure sufficient **continuity** in personnel for effective data collection?	No policy is in place, and continuity in personnel is not sufficient **(0)**	No policy is in place, but there is some continuity **(1)**	A policy is in place to ensure some continuity **(2)**	A well-implemented policy is in place **(3)**	0
2B.4. Is a **policy in place** to ensure sufficient **supervision and support to prevent** data collection **errors**?	No policy is in place and supervision and support are not sufficient **(0)**	No policy is in place but there is some supervision and support **(1)**	A policy is in place to provide some supervision and support **(2)**	A well-implemented policy is in place **(3)**	0
2B total score	*If completing manually, add all scores for this indicator*				5
2B average score	*If completing manually, divide the total score for this indicator by 4*				1.25

Indicator 2C. Technology and systems	Capacity assessment				Score
	0	1	2	3	
2C.1. Is the data required for RFMO compliance review processes provided to the responsible agencies through **online or digital systems**?	No data is provided online or digitally **(0)**	Some data is provided online or digitally **(1)**	Most data is provided online or digitally **(2)**	All data is provided online or digitally **(3)**	2
2C.2. Is the data required for RFMO compliance review processes centralized in one **digital repository**?	Data is not centralized **(0)**	Some data is centralized **(1)**	Most data is centralized **(2)**	All data is centralized **(3)**	0
2C.3. Are **systems in place** to ensure that the data collected meets **RFMO reporting requirements**?	No systems are in place **(0)**	Systems are in place to ensure that data meets some requirements **(1)**	Systems are in place to ensure that data meets most requirements **(2)**	Systems are in place to ensure that data meets all requirements **(3)**	1
2C total score	*If completing manually, add all scores for this indicator*				3
2C average score	*If completing manually, divide the total score for this indicator by 3*				1.00

Content of the Capacity Self Assessment Tool: Organization & governance

Indicator 2D. Organization and governance	Capacity assessment				Score
	0	1	2	3	
2D.1. Is a **plan** in place for **how and when** to collect the annual data required by each RFMO?	No plan is in place for annual data collection **(0)**	No plan is in place, but most agencies collect data just in time for RFMO deadlines **(1)**	A plan is in place, and most agencies collect data well in advance of RFMO deadlines **(2)**	A plan is in place, and all agencies collect data throughout the year **(3)**	1
2D.2. Is a **process in place to coordinate** among involved agencies and administrative units to collect the data required for RFMO compliance review processes?	No process is in place **(0)**	No process is in place, but some agencies coordinate **(1)**	A process is in place, and some agencies coordinate **(2)**	A process is in place, and all agencies coordinate **(3)**	2
2D.3. Is a **process in place to identify the human and institutional capacity needed** to collect data for RFMO compliance review processes?	No process is in place **(0)**	No process is in place, but some agencies identify capacity needs **(1)**	A process is in place and some agencies identify capacity needs **(2)**	A process is in place and all agencies identify capacity needs **(3)**	1
2D total score	*If completing manually, add all scores for this indicator*				4
2D average score	*If completing manually, divide the total score for this indicator by 3*				1.33

Provide any additional comments on data collection

Content of the Capacity Self Assessment Tool: Factors that affect data collection

2.3 How much do the following factors affect the involved agencies' ability to collect the required data in time to meet deadlines set by the RFMOs? *For each factor, enter the score that best describes the level of impact:*

0 = Low impact **1** = Some impact **2** = High impact **3** = Very high impact

Factors that affect data collection	Score
Coordination among government agencies	1
Quality of technology and technological systems	3
Budget	2
Training	2
Personnel performance	0
Administrative organization and management	1
Other *(please specify)* :	
Total *If completing manually, add all factor scores*	9

Content of the Capacity Self Assessment Tool: Module 7 Summaries

Summary of data collection capacity scores

Indicator	Average score for each indicator *If completing manually, insert from the sections above*	
2A. Agency capacity		1.60
2B. Personnel and knowledge base		1.00
2C. Technology and systems		2.33
2D. Organization and governance		0.67
Total data collection capacity score	*If completing manually, add all indicator scores*	5.60
Average data collection capacity score	*If completing manually, divide the total score by 4*	1.40

Data collection capacity assessment (use average score)	0-0.75 Very limited capacity	0.76-1.5 Limited capacity	1.51-2.25 Moderate capacity	2.26-3 Sufficient capacity

7.1. Review your administration's average score for all capacity indicators for each stage of the RFMO compliance review processes. *If completing manually, enter the total for each indicator where noted, then enter the total for each row, and finally divide row totals by 5 to calculate the overall averages for each indicator.*

	Module 2 Data collection	Module 3 Information management	Module 4 Reporting	Module 5 Participation in compliance committee meetings	Module 6 Follow-up actions	Totals	Overall average indicator score
Agency capacity	Indicator 2A 1.60	Indicator 3A 2.00	Indicator 4A 1.75	Indicator 5A 0.67	Indicator 6A 0.33	6.35	1.27
Personnel and knowledge base	Indicator 2B 1.25	Indicator 3B 1.00	Indicator 4B 1.00	Indicator 5B 0.50	Indicator 6B 1.00	4.75	0.95
Technology and systems	Indicator 2C 1.00	Indicator 3C 3.00	Indicator 4C 1.33	Indicator 5C 1.50	Indicator 6C 0.50	7.33	1.47
Organization and governance	Indicator 2D 1.33	Indicator 3D 2.00	Indicator 4D 0.67	Indicator 5D 0.67	Indicator 6D 0.50	5.17	1.03

Indicator assessment (based on average scores)	0-0.75 Very limited capacity	0.76-1.5 Limited capacity	1.51-2.25 Moderate capacity	2.26-3 Sufficient capacity

Content of the Capacity Self Assessment Tool: Module 7 Summaries

7.2. Review your administration's overall average capacity score for each stage of RFMO compliance review processes. *If completing manually, enter the overall average for each module.*

	Module 2	Module 3	Module 4	Module 5	Module 6
	Data collection	Information management	Reporting	Participation in compliance committee meetings	Follow-up actions
Overall average score	1.29	2.00	1.19	0.83	0.58

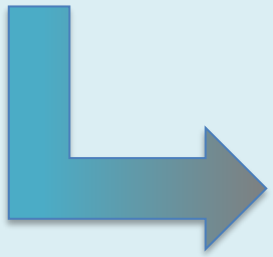
Module capacity assessment (based on average scores)	0-0.75 Very limited capacity	0.76-1.5 Limited capacity	1.51-2.25 Moderate capacity	2.26-3 Sufficient capacity

Content of the Capacity Self Assessment Tool: Module 7 Summaries

2.3 How much do the following factors affect the involved agencies' ability to collect the required data in time to meet deadlines set by the RFMOs? *For each factor, enter the score that best describes the level of impact:*

0 = Low impact **1** = Some impact **2** = High impact **3** = Very high impact

Factors that affect data collection	Score
Coordination among government agencies	
Quality of technology and technological systems	
Budget	
Training	
Personnel performance	
Administrative organization and management	
Other *(please specify)* :	
Total *If completing manually, add all factor scores*	0



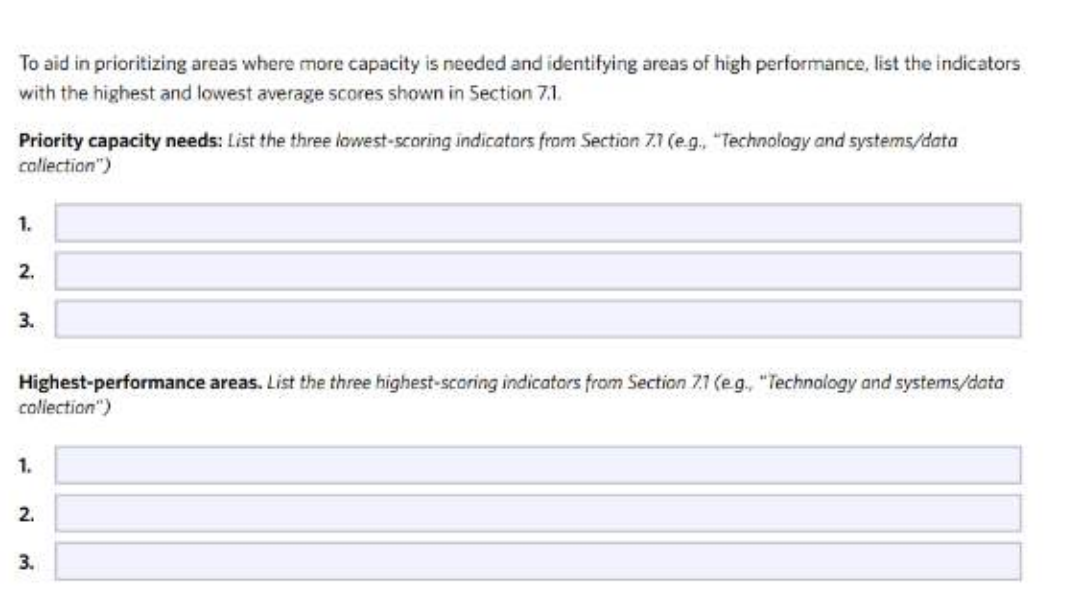
7.3. Review your administration's average score for each of the factors that affect its capacity to meet the requirements of RFMO compliance review processes. *If completing manually, enter the score for each question where noted, then enter the total for each row and column where noted, and finally divide row totals by 5 and column totals by 7 to calculate the overall averages for each factor and module.*

	Module 2 Data collection (Q2.3)	Module 3 Information management (Q3.2)	Module 4 Reporting (Q4.3)	Module 5 Participation in compliance committee meetings (Q5.5)	Module 6 Follow-up actions (Q6.4)	Totals	Overall average factor score
Coordination among government agencies	2	1	3	2	2	10	2.00
Quality of technology and technological systems	1	2	3	2	2	10	2.00
Budget	3	3	3	1	3	13	2.60
Training	2	0	3	1	3	9	1.80
Personnel performance	2	2	2	3	1	10	2.00
Administrative organization and management	3	1	2	3	1	10	2.00
Other	1	2	0	0	0	3	0.60
Totals	14	11	16	12	12		
Average overall module factor score	2.00	1.57	2.29	1.71	1.71		

Impact assessment (based on average scores)	0-0.75 Low impact	0.76-1.5 Some impact	1.51-2.25 High impact	2.26-3 Very high impact

Outcomes

Scores can be used to **produce a priority list** of areas that need attention



To aid in prioritizing areas where more capacity is needed and identifying areas of high performance, list the indicators with the highest and lowest average scores shown in Section 7.1.

Priority capacity needs: *List the three lowest-scoring indicators from Section 7.1 (e.g., "Technology and systems/data collection")*

1.
2.
3.

Highest-performance areas. *List the three highest-scoring indicators from Section 7.1 (e.g., "Technology and systems/data collection")*

1.
2.
3.

The tool can be **used as often as needed** to assess the impact of implemented changes or when new obligations are put in place.

You do not have to complete the tool in one go; it can be taken in a **modular approach**.

Looking ahead

- The final version is available to download via the Pew website at : https://www.pew.org/compliancecapacity
- Via this QR code
- Printed copies are available
- The tools are being translated into Spanish.

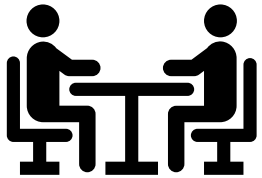
Looking ahead

- Tailored sessions with interested parties can be arranged and regional focused outreach is being planned.

- The Pew Charitable Trusts is available to answer any questions anytime

Thank You

For more information contact either Laura Eeles or Pew colleagues



In person at IATTC

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