



*Overview of procedures to assess
compliance in ICCAT*

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GENERAL OVERVIEW OF ICCAT

International Commission for the Conservation of Atlantic Tunas:

- **Convention signed in Río de Janeiro, 1966. Amendment process currently underway, final text agreed in 2019, pending formal ratification**
- **52 Contracting Parties + 5 with cooperating status. Over 75% of ICCAT Contracting Parties are classified as developing countries**
- **The objective of the Convention is to maintain the populations of tuna and tuna like species at levels which will permit the maximum sustainable catch for food and other purposes**



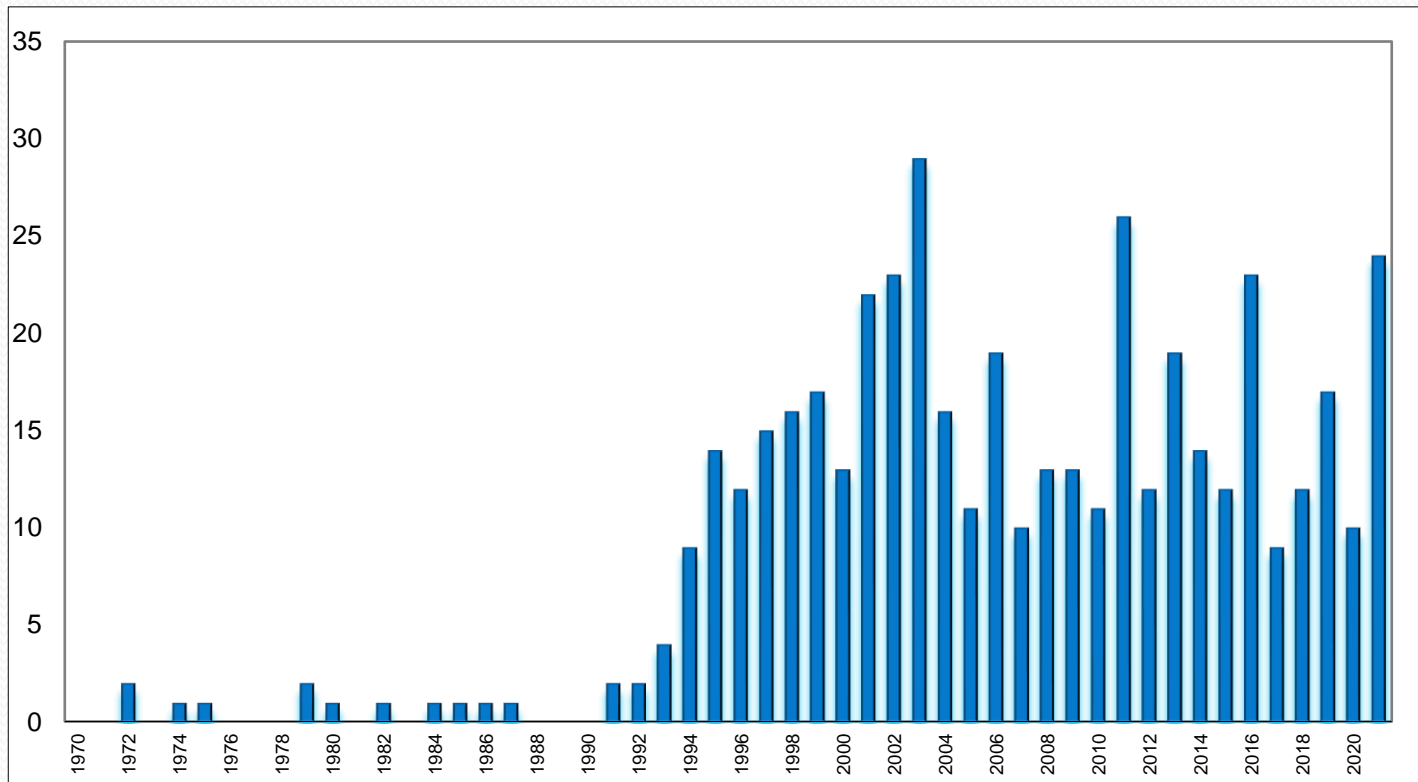


SCOPE

- The Convention area covers all water of the Atlantic Ocean, including the adjacent seas
- Over 30 species of tuna and tuna-like fishes
- Also manages shark species
- Management measures on other by-catch species such as sea-birds and turtles have also been taken.
- Currently 17,000 vessels on the ICCAT Record(s) – can increase significantly during certain fishing seasons
- In total, almost 150 reporting requirements, between management and scientific



NUMBER OF ICCAT CONSERVATION AND MANAGEMENT MEASURES ADOPTED BY YEAR



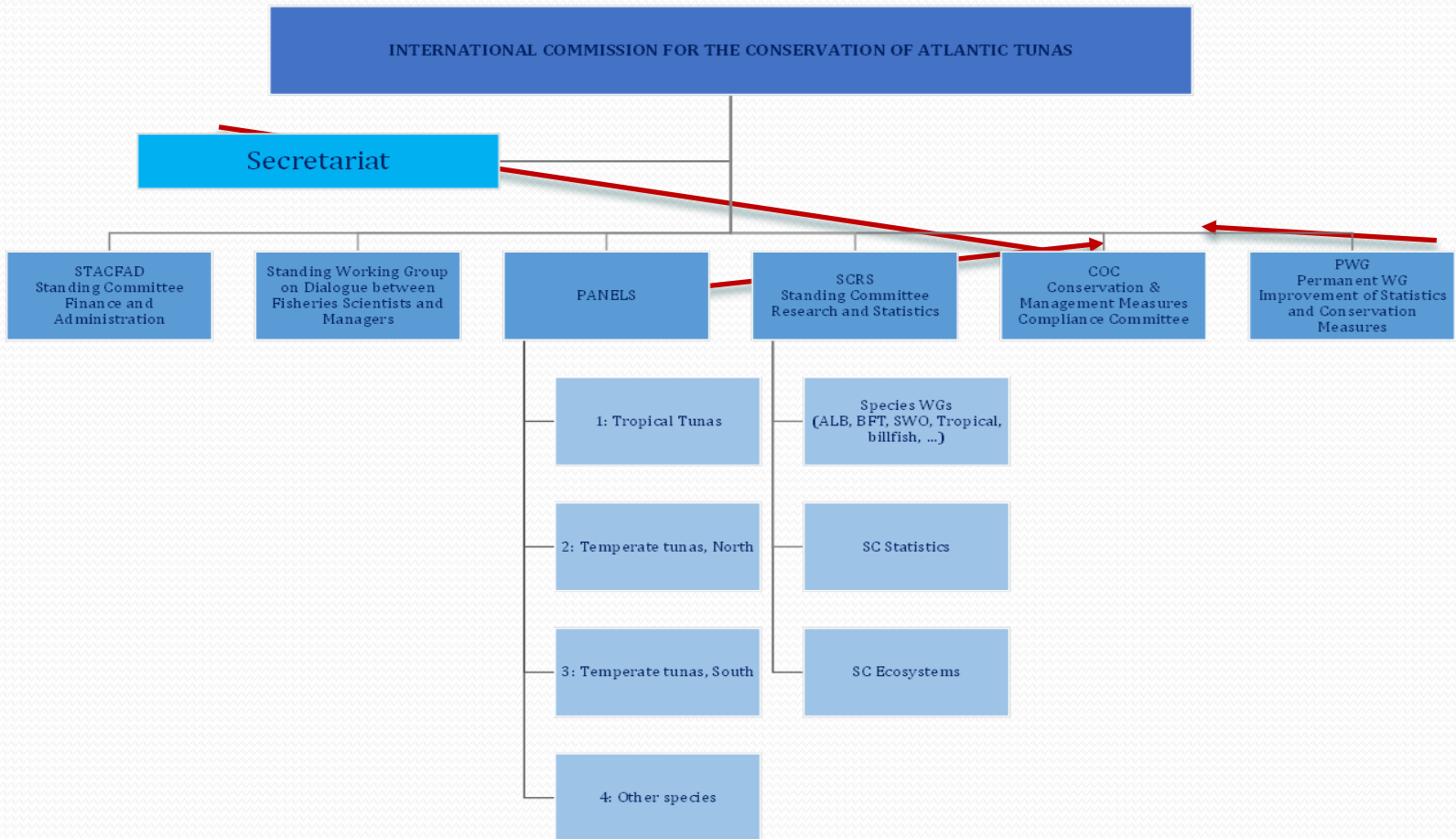


COMPLIANCE COMMITTEE – CURRENT PROCEDURES

- PANELS / PWG AGREE CONSERVATION AND MANAGEMENT MEASURES FOR ADOPTION BY COMMISSION
- SECRETARIAT EXTRACTS [REPORTING] REQUIREMENTS FROM RECOMMENDATIONS
- CPCs TO SUBMIT REPORTS ON THE IMPLEMENTATION OF THE MEASURES / FULFILMENT OF REQUIREMENTS
- SECRETARIAT AND COC CHAIR MAKE FIRST ANALYSIS OF REPORTS AND DRAFT INDIVIDUAL SUMMARIES OF POTENTIAL NON-COMPLIANCE ISSUES
- FRIENDS OF THE CHAIR ASSIST WITH ANALYSIS OF SUMMARIES
- CHAIR PUTS FORWARD FINDINGS OF FRIENDS TO COMPLIANCE COMMITTEE FOR ENDORSEMENT
- ACTIONS AGREED ON THE BASIS OF THESE FINDINGS



COMPLIANCE COMMITTEE IN THE ICCAT ORGANIGRAM





CURRENT REPORTING REQUIREMENTS - MANAGEMENT

- There are currently around 100 reporting requirements relating to fisheries management (in addition to scientific requirements). The Secretariat transmits a table each year with the current reporting requirements, and updates reporting forms as required.

<https://www.iccat.int/en/SubmitCOMP.html>

Statistical data and Biological data for use by SCRS

Currently 45 listed requirements

(<https://www.iccat.int/en/submitSTAT.html>)

In total, over 40 forms which require completion. Website for Integrated Online Management System currently under construction



EARLY YEARS

- Infractions Committee established in 1983 – changed to Compliance Committee in 1995 –
- Terms of Reference to 1) provide a **structured forum for discussion**, 2) **gather and review information** relevant to review of compliance and 3) To identify **problems related to the implementation** of ICCAT conservation and management measures



DEVELOPMENTS SINCE 2008

- A more serious look taken at compliance related issues at ICCAT.
- Compliance reviewed on a CPC by CPC basis; summary sheet for each developed.
- Agreement to review historic performance starting 2008
- In 2009, IUU list extended to CPCs as well as NCPs
- NCPs still reviewed under PWG; including cooperating status



2011 to present

- New TORS adopted 2011, implemented from 2012
<https://www.iccat.int/Documents/Recs/compendiopdf-e/2011-24-e.pdf>
- NCPs now also reviewed by Compliance Committee
- Cooperating status determined by COC
- In 2012, new Annual Report format adopted, including summary of all requirements, requiring CPCs to indicate applicability and date fulfilled.





RECENT IMPROVEMENTS

- Res. 16-17 – schedule of actions to improve compliance
 - Categorises types of non-compliance and ‘severity’. Has not yet been systematically implemented; gradual assimilation
- Res. 16-22 – to effect and efficient compliance process
 - Establishes procedure and formally recognises “Friends of the Chair”, a small group which assists CoC Chair in analysing information and determining actions
- Rec. 16-19 – WG on online reporting
 - An ongoing process which should ease the burden on all concerned by automating certain processes





eBCD

- Rec. 11-20 and updates– BFT Catch Documentation Scheme: The catch documentation scheme is now an electronic system to monitor catch, caging, harvesting and trade of bluefin tuna.
- There are several advantages of such a system; not only does it allow the tracking of catches and trade, but allows the extract of various reports (weekly/monthly/annually). In addition, the system does not allow any further movement in the chain until those events which require validation have been validated by the relevant governmental authorities.
- Rec. 21-20 has established a WG to consider extending this scheme to other species



CHALLENGES FACED

For all:

Number of reporting requirements

Duplication of information

Complexity of requirements / Cost of implementation

For Secretariat:

Storage and management of information;

Summarising and presenting information in a coherent/useful format;

Categorisation of potential non-compliance issues beyond scope/mandate of Secretariat





CHALLENGES FACED

For Compliance Committee/Commission:

Reviewing, digesting and analysing all available information

Taking decisions - taking into a/c mitigating circumstances, compliance history, coherent and consistent actions.....

Lack of time for compliance issues – one of the major problems – now a two day meeting every two years



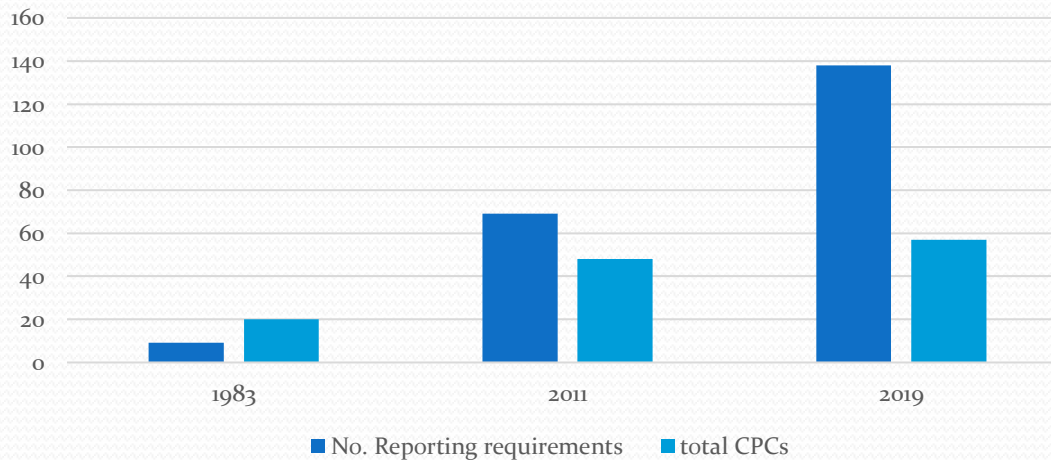


CHALLENGES FACED

First Infractions Committee 1983

Became Compliance Committee in 1995; ToRs updated 2011

Number of Reporting Requirements and CPCs; 1983; 2011 and present day





REVIEW OF ANNUAL REPORTS

Major challenge to analyse compliance

- 57 Annual Reports – less than one month to analyse (as same time as collating other information / drafting reports + normal activity)
- Often incomplete / old format used
- All dates / submissions need to be checked – time consuming

The IOMS has been developed to assist both members and Secretariat with this task and the first module – reporting summary has been completed.



COMPLIANCE PERFORMANCE

- 31 CPCs received letters addressing areas of concern to the Compliance Committee following the 2021 meeting, five CPCs are currently identified as having undermined ICCAT conservation and management measures.
- Many ‘infractions’ concern late or incomplete reporting, rather than major IUU activity
- Better reviewing procedures encourage CPCs to better performance
- More attention being paid to steps taken to implement requirements and improve past deficiencies



CONSEQUENCES OF NON-COMPLIANCE

- One of the major challenges is to provide incentives to CPCs to comply with conservation and management measures. Currently, there are few consequences of non-compliance:
- Rec. 06-13
- In first instance, any the Chair of the compliance Committee sends a letter to the CPC encouraging improved compliance and requesting the submission of missing information
- If insufficient response is received, a CPC can be identified as undermining ICCAT Conservation and Management Measures
- If the situation does not improve, the Commission may impose non-discriminatory trade sanctions on the CPC in question.



CONSEQUENCES OF NON-COMPLIANCE-2

- *Rec. 11-15*
- If Task 1 (basical statical data) is not submitted, the CPC is probhibited from fishing for the species for which data is missing.
- *Rec. 96-14 and others*
- For certain species, if overharvest takes place two years in a row, the overharvest may be deducted at the rate of 125% from the initial quota.
- *Res. 16-17*

Allows for the categorisation types of non-compliance and 'severity', with possible sanctions being imposed. This Has not yet been systematically implemented but its implementation is currently under discussion at the compliance committee



THE FUTURE



- **Online Reporting** – WG established in 2017 – work ongoing. First module for reporting summary now completed
- **Streamlining** of measures / requirements - linked to above to avoid duplications / redundancies
- **Capacity building** – currently assistance to developing countries is limited mainly to scientific and data collection capacity – more emphases needed on compliance
- **Schedule of actions** –classification of the severity of the non-compliance issue and possible consequences
- **Learning** from other fora – ideas for best practices



THANK YOU

