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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.

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):*

1.2 Does your agency coordinate with other agencies before communicating with the RFMOs?

Yes   No *(skip to Module 2)*

If yes, how is that coordination carried out? *Select the most appropriate option.*

My agency coordinates the input/involvement of other government agencies
Provide names of other government agencies/administrative units:

My agency coordinates in a special working group/committee focused on a single RFMO

My agency has well-defined tasks, and it communicates directly with the RFMO individually

My agency communicates in an ad hoc manner with the RFMO individually

Other *(please specify):*

Module 2 — Data collection

Data collection is the systematic process of gathering observations or measurements, which can be used as part of RFMO compliance review processes.

2.1 **Is your agency involved in the collection of data that is managed and used for RFMO compliance review processes?**

Yes *(continue to Question 2.2)*   No *(skip to Module 3)*

2.2 **For each topic, indicate the level of difficulty – whether related to technical, knowledge, coordination, human, temporal or other challenges – that your agency has in collecting accurate data.** *Enter "n/a" if your administration is not required to collect the data type.*

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

Topic	Score
Vessels and vessel activity	
Vessel information (e.g., name, flag, vessel numbers, owner)	
Vessel activity (e.g., authorization and licensing, scrapping, decommissioning)	
Vessel and gear markings	
Chartered vessels	
Supply vessels and activities	
Transshipment vessels and events	
Illegal, unreported and unregulated (IUU) fishing and enforcement actions	
IUU fishing activities (domestic vessels and nationals)	
IUU fishing activities (foreign vessels)	
Enforcement actions	

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

Topic	Score
Fisheries management	
Measures for target species (e.g., catch and effort data, retention obligations, follow-up actions in case of overcatch)	
Fish aggregating device (FAD) management	
Measures for non-target and other species (cetaceans, turtles, sea-birds)**, including no-retention obligations and incidental interaction**	
Other gear management/prohibitions (gill nets, large-scale drift-nets, artificial lights, bottom fishing, etc.)	
Protected areas, including vulnerable marine ecosystems (VMEs) (monitoring and reporting on encounters, collection and reporting on catch data)	
Recreational fisheries	
Catch documentation and monitoring, control and surveillance	
Catch documentation schemes/statistical documents and export/import data	
Observer schemes and observer activity	
Logbooks (e.g., fishing, transshipment, FADs)	
Vessel monitoring systems (VMS)	
High seas boarding and inspection	
Domestic at-sea inspections	
Port State measures, including port inspections	
Scientific	
Catch and effort data for target species	
Data on non-target species	
Data collection and processing systems (e.g., observer data, logbooks, port sampling)	
Data collection from regional observer programs	
Research data and programs	

| **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

2.10 Does your agency have a policy to ensure sufficient continuity in personnel for effective data collection?

Yes   No

2.11 Does your agency have a policy to ensure sufficient supervision and support to prevent data collection errors?

Yes   No

2.12 Does your agency collect data required for RFMO compliance review processes through an online or digital system?

Yes   No

2.13 Does your agency store the data required for RFMO compliance review processes in one centralized digital repository?

Yes   No

2.14 Does your agency have systems to ensure that the collected data meets RFMO reporting requirements?

Yes   No

2.15 Does your agency have a plan for how and when to collect the annual data required by each RFMO? *Select the most appropriate answer.*

No plan is in place for annual data collection.

My agency collects data just in time for RFMO processes.

My agency collects data well in advance of RFMO deadlines.

2.16 Does your agency have a process to support coordination of required data collection for RFMO compliance review processes among all involved agencies and administrative units?

Yes   No

2.17 Does your agency have a process to identify the human and institutional capacity needed to collect data for RFMO compliance review processes?

Yes   No

Provide any additional comments on data collection:

2.18 How much do the following factors affect your agency's ability to collect the required data within the allotted timelines? *Enter the number that most appropriately reflects the level of impact for each factor:*

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) :*	

Provide any additional comments

Module 3 — Information management

Information management refers to the processing and analysis of the data referred to in Module 2. For example, for catch data, "information management" would refer to an RFMO member's ability to calculate the difference between established catch limits and actual catches.

3.1 Is your agency involved in information management?

Yes *(continue to Question 3.2)*   No *(skip to Module 4)*

3.2 Is your agency aware of the information it needs to organize, process and analyse for RFMO compliance review processes?

Yes   No

3.3 Is your agency aware of the deadlines to report information for RFMO compliance review processes?

Yes   No

3.4 Does your agency cross-check information that comes from different sources or methodologies (e.g., data by calendar year vs. fishing season year) for consistency after analysis? *Select one answer.*

No information is cross-checked for consistency.

Some information is cross-checked for consistency.

Most information is cross-checked for consistency.

All information is cross-checked for consistency.

3.5 Does your agency verify information with other sources (e.g., port call data reported by flag State vs. by port State)? *Select one answer.*

No information is verified.

Some information is verified.

Most information is verified.

All information is verified.

3.6 Does your agency have sufficient personnel to manage the required information for RFMO compliance review processes?

Yes   No

3.7 Are your agency's personnel, including new personnel, adequately trained to manage the information required for RFMO compliance review processes?

Yes   No

3.8 **Does your agency have a policy to ensure sufficient supervision and support for efficient and effective information management?**

Yes   No

3.9 **Does your agency automatically organize and process information required for RFMO compliance review processes?**

Yes   No

3.10 **Does your agency organize, process and analyse information in a way that meets RFMO reporting requirements?**

Yes   No

3.11 **Does your agency share organized, processed and analysed information with involved agencies through digital platforms or other digital systems?**

Yes   No

3.12 **Does your agency have a process to coordinate with other involved agencies and administrative units on organizing, processing and analysing the information required for RFMO compliance review processes?**

Yes   No

3.13 **Does your agency have a process to identify the human and institutional capacity needed to manage the information required for RFMO compliance review processes?**

Yes   No

Provide any additional comments on information management:

3.14 How much do the following factors affect your agency's ability to manage the information required for RFMO compliance review processes? *Enter the number that most appropriately reflects the level of impact for each factor:*

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

Factors that affect information management	Score
Coordination among government agencies	
Quality of technology and technological systems	
Budget	
Training	
Personnel performance	
Administrative organization and management	
Other *(please specify):*	

Provide any additional comments

Reporting refers to communicating required information to the RFMO through online systems or other means, including information provided in response to specific requests and calls for comments.

4.1   Is your agency involved in reporting information to at least one RFMO?

Yes *(continue to Question 3.2)*   No *(skip to Module 4)*

4.2   For each type of information, indicate the level of difficulty – whether related to the amount of information, the need to collate information from many sources, technology or other challenges – that your agency has in reporting the information. *Enter the score that best describes the level of difficulty or enter "n/a" if your agency is not responsible for reporting that type of data.*

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

Topic	Score
Vessel information and operations (identification, authorized vessels, transshipment, etc.)	
Implementation of fisheries management measures	
MCS-related information (VMS, port controls, inspections at sea, catch documentation schemes, etc.)	
Scientific information and research	
Compliance review information (e.g., reporting on follow-up actions in situations of non-compliance, capacity-building)	

4.3   Is your agency aware of what information it needs to report for RFMO compliance review processes?

Yes   No

4.4   Is your agency aware of the RFMO reporting deadlines, including the reviews of draft compliance reports?

Yes   No

4.5   Is your agency aware of the points of contact in RFMO secretariats and from whom to request reporting help, including online forms and data submissions?

Yes   No

4.6   Does your agency have systems to prevent errors or missing information when reporting to the RFMO(s)?

Yes   No

4.7   Does your agency have sufficient personnel to meet RFMO reporting requirements?

Yes   No

4.8 Are your agency's personnel, including new personnel, adequately trained to provide required reports to the RFMO(s)?

Yes   No

4.9 Does your agency have the technological capacity to effectively use RFMO online reporting systems?

Yes   No

4.10 Does your agency have the technological capacity to automatically generate reports for RFMO compliance review processes?

Yes   No

4.11 Does your agency regularly update its reporting systems to incorporate new requirements and improve efficiency?

Yes   No

4.12 Does your agency have a plan for how and when to prepare annual reports required by the RFMO(s)?
Select one answer.

No information is verified.

Some information is verified.

Most information is verified.

All information is verified.

4.13 Does your agency have a process to coordinate with other involved agencies and administrative units on production of required reports for RFMO compliance review processes?

Yes   No

4.14 Does your agency have a process to identify all the human and institutional capacity needed to implement RFMO reporting requirements?

Yes   No

Provide any additional comments on reporting:

4.15 How much do the following factors affect your agency's ability to report the information required for RFMO compliance review processes? *Enter the number that most appropriately reflects the level of impact for each factor:*

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

Factors that affect reporting	Score
Coordination among government agencies	
Quality of technology and technological systems	
Budget	
Training	
Personnel performance	
Administrative organization and management	
Other *(please specify):*	

Provide any additional comments

Module 5 — Participation at RFMO compliance committee meetings

These questions refer to compliance committee or other meetings related to the implementation of compliance review processes (e.g., review of rules of procedure, establishment of corrective action systems, etc.), whether in person or virtual. They do not refer to RFMO commission meetings.

5.1 Are personnel from your agency usually a part of your country's delegation to compliance committee meetings?

Yes *(continue to Question 5.2)*   No *(skip to Module 6)*

5.2 Does your agency have sufficient personnel and expertise to form a delegation that can effectively participate in compliance committee meetings?

Yes   No

5.3 Do government representatives coordinate adequately among themselves and with other involved agencies before compliance committee meetings?

Yes   No

5.4 Do government representatives have sufficient support from personnel in the capital to ensure effective participation in compliance committee meetings?

Yes   No

5.5 Are the number of country delegates and their expertise adequate to effectively participate in compliance committee meetings?

Yes   No

5.6 Are the personnel who attend the meetings adequately trained to effectively participate in compliance committee meetings?

Yes   No

5.7 Are personnel who do not attend compliance committee meetings adequately trained to effectively support delegations before and during the meetings?

Yes   No

5.8 Do national delegations have enough continuity to effectively participate in compliance committee meetings?

Yes   No

5.9 Do government representatives have adequate technological tools and technical support to participate effectively in virtual or in-person compliance committee meetings?

Yes   No

5.10 Can government representatives attending compliance committee meetings effectively use the available electronic resources, including for paper-free meetings?

Yes   No

5.11 Does your agency have a plan for how and when to prepare for participation in compliance committee meetings?

No plan is in place to prepare for participation at compliance committee meetings.

No plan is in place, but my agency prepares just in time for meetings.

A plan is in place, and my agency prepares well in advance of meetings.

A plan is in place, and my agency prepares throughout the year.

5.12 Does your agency have a process to coordinate with other involved agencies and administrative units to effectively participate in compliance committee meetings?

Yes   No

5.13 Does your agency have a process to identify the human and institutional capacity needed to ensure adequate compliance committee meeting participation?

Yes   No

Provide any additional comments on participation at compliance committee meetings:

5.14 How much do the following factors affect your agency's ability to effectively participate in RFMO compliance committee meetings? *Enter the number that most appropriately reflects the level of impact for each factor:*

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

Factors that affect meeting participation	Score
Coordination among government agencies	
Quality of technology and technological systems	
Budget	
Training	
Personnel performance	
Administrative organization and management	
Other *(please specify):*	

Provide any additional comments

Module 6 — Follow-up actions

Outcomes of the compliance review processes may include RFMO requirements to report missing data back to the RFMO, provide evidence of actions taken to resolve situations of non-compliance (including investigations and fines or sanctions to nationals), or provide explanation on how implementation gaps will be addressed.

6.1   Does your agency deal with RFMO follow up actions?

   Yes *(continue to Question 6.2)*   No *(the questionnaire is complete; submit it to your point person)*

6.2   Which of the following actions is your agency responsible for taking in response to RFMO compliance review process outcomes? *Select all that apply.*

   Responding to compliance letters or information requests

   Leading in-country investigations and enforcement measures

   Requesting capacity-building initiatives

   Other *(please specify):*

6.3   Has your agency carried out programs to strengthen its capacity to effectively participate in RFMO compliance review processes, including training and IT development and implementation?

   Yes   No

If yes, which type of capacity development program have you been involved in? *Select all that apply.*

   Training of government agency personnel in RFMO requirements

   Training of government agency personnel in the use of RFMO forms and online systems

   Improving systems to collect and process information

   Improving systems for inter-agency coordination

   Other *(please specify):*

If yes, how were these programs financed? *Select all that apply.*

   Regular funds of government agencies

   Extraordinary government funds

   RFMO

   Other external funds *(please specify):*

Provide any additional comments

6.4   Is your agency informed of RFMO compliance review process outcomes and of needed follow-up actions?

Yes   No

6.5   Is your agency aware of deadlines to respond to RFMO requests on compliance matters?

Yes   No

6.6   Does your agency have the capacity to respond to RFMO compliance review outcomes?

Yes   No

6.7   Does your agency have sufficient personnel to follow up on RFMO compliance review outcomes?

Yes   No

6.8   Are your agency personnel adequately trained to respond to RFMO compliance review outcomes?

Yes   No

6.9   Does your agency have sufficient supervision and support to maximize the efficiency and effectiveness of follow-up actions?

Yes   No

6.10 Does your agency have systems to identify the capacity development it needs to effectively respond to RFMO compliance review outcomes?

Yes   No

6.11 Does your agency have capacity to update its technologies and systems to adequately respond to RFMO compliance review outcomes?

Yes   No

6.12 Is a process in place to coordinate with other involved agencies and administrative units to effectively follow up on RFMO compliance review outcomes?

Yes   No

6.13 How much do the following factors affect your agency's ability to effectively follow up on RFMO compliance review outcomes? *Enter the number that most appropriately reflects the level of impact for each factor.*

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

Factors that affect follow-up actions	Score
Coordination among government agencies	
Quality of technology and technological systems	
Budget	
Training	
Personnel performance	
Administrative organization and management	
Other *(please specify):*	

Provide any additional comments

Thank you for completing the questionnaire. Provide this completed document to your **point person**.

For more information, please visit: pew.org/internationalfisheries

The Pew Charitable Trusts

Email: RFMOCompliance@pewtrusts.org
Project website: pew.org/internationalfisheries

Founded in 1948, **The Pew Charitable Trusts** uses data to make a difference. Pew addresses the challenges of a changing world by illuminating issues, creating common ground, and advancing ambitious projects that lead to tangible progress.