

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

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

Who is the Capacity Self-Assessment Tool for?

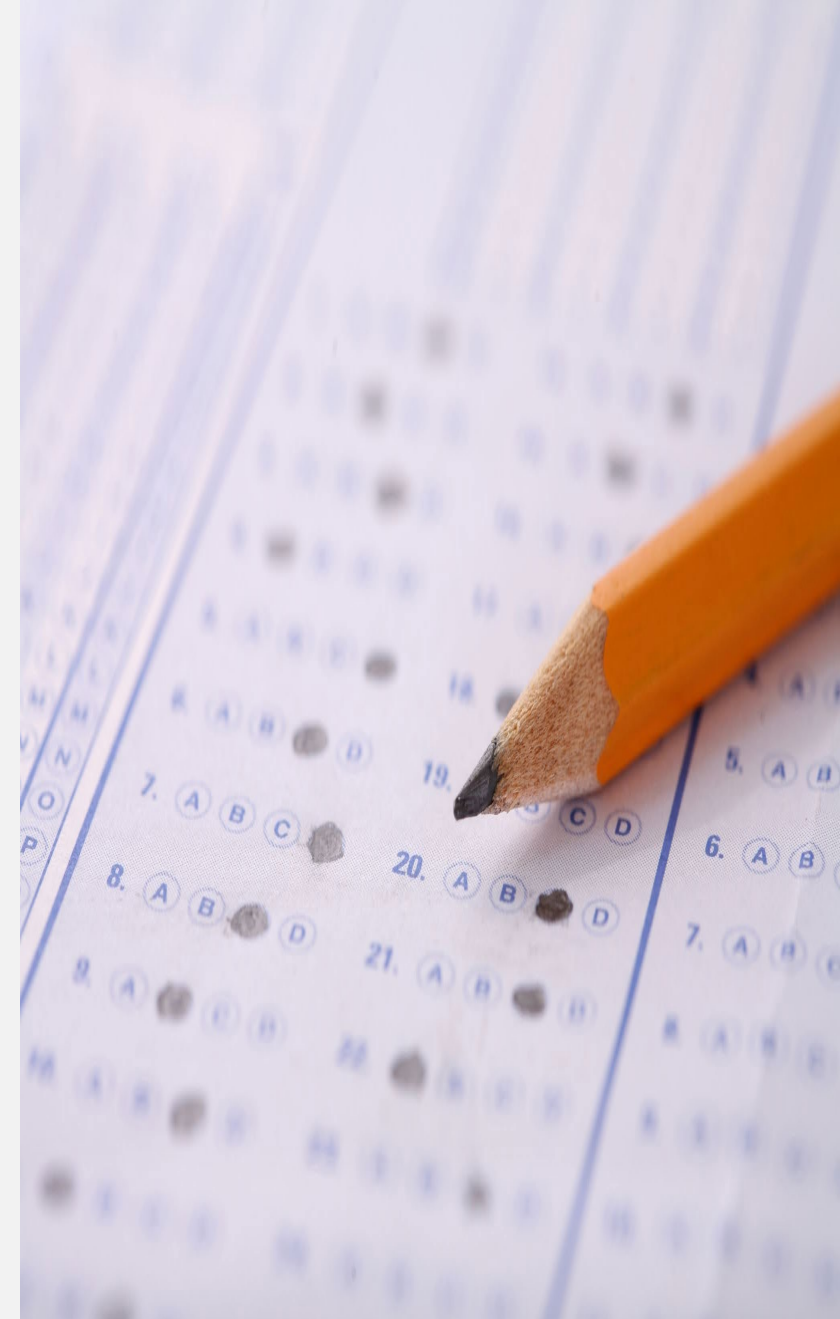
For you!

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.



Elements of the Capacity Self-Assessment Tool

Pew

June 2025



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

Identify your country's strengths and weaknesses

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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.

* Only required if more than one agency is involved.

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				
2A average score	If completing manually, divide the total score for this indicator by 5				

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

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: Module 7 Summaries

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	Module 3	Module 4	Module 5	Module 6		
	Data collection (Q2.3)	Information management (Q3.2)	Reporting (Q4.3)	Participation in compliance committee meetings (Q5.5)	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.

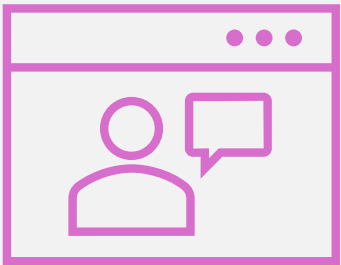
The tool can be **used as often as needed** to assess the impact of implemented changes or when new obligations are put in place.

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

Looking ahead



Regional outreach and 1:1 sessions are being planned



Instruction video is being produced in English and Spanish



The Pew Charitable Trusts is available to answer questions anytime

Download here



<https://www.pew.org/compliancecapacity>

Printed copies of the tool are available in English and Spanish.

THANK YOU

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