

FOLLOW-UP OF THE ICCAT PERFORMANCE REVIEW – STACFAD

Colour key for column “Completion status following annual meeting” only:

Red – Not started or little progress, requiring significant work.
Orange – Started, progress but still requiring additional work to respect deadlines.
Green – Completed or Significant progress made and on track for completion within deadlines

<i>Chapter</i>	<i>Recommendations</i>	<i>Lead</i>	<i>Timeframe</i>	<i>Proposed Next Steps</i>	<i>Observations / Comments</i>	<i>Actions to be taken, or already taken</i>	<i>Completion status following Annual meeting</i>	<i>Comments</i>
ICCAT Basic Texts	3. The Panel recommends that ICCAT make consolidated versions of individual basic ICCAT instruments available on the ICCAT website.	STACFAD	S	Refer this and related recommendations, in particular those concerning revisions to ICCAT's Rules of Procedure and observer rules, to STACFAD for consideration and appropriate action, including providing advice to the Commission on the timing for posting of these documents on the ICCAT website.	Mail voting procedures (Rule 9) need particular attention. In addition, several other recommendations from the Performance Review relate to revisions to ICCAT's Rules of Procedure and should be considered as a package by STACFAD.	The 6th revision of ICCAT Basic Texts and updated version of Staff Rules & Regulations were posted on ICCAT web-site following the 2017 Commission meeting. The Basic Texts reflects further changes to Rule 9 of the Rules of Procedure concerning mail voting. A revised version of the Basic Texts will need to be published in line with the outcomes of the Convention amendment process.	Progress to require additional work following adoption of Convention	

ICCAT Basic Texts						The STACFAD needs to continue work intersessionally and consider this again at the 2020 Annual meeting.		
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Decision Making	92. Reviews its Rules of Procedure, among other things to integrate its 2011 Deadlines and Guidelines for the Submission of Draft Proposals, Rec. 03-20 and Res. 94-06.				<p><u>In 2019 establishment of a Working Group on Review of Rules of Procedure (VWG-RRP) was approved. During the 2022 work, a text was developed with the principles and processes for submission of proposed Recommendations and Resolutions by the Commission (PLE 112 REV/2022). This point will be revisited by STACFAD.</u></p> <p><u>In 2021, Rec. 21-24 on criteria for attaining the status of Cooperating Non-contracting Party, Entity or Fishing Entity in ICCAT was approved.</u></p>	Progress/requires additional work	
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Transparency	<p>94. Considers codifying its practices on participation by NGOs - which are consistent with international minimum standards and comparable to those of other tuna RFMOs - by amending the ICCAT Observer Guidelines and Criteria or the ICCAT Rules of Procedure.</p>	M		<p>No action has yet to be taken in regard to review of the policy on NGOs' attendance at ICCAT meetings.</p> <p>The STACFAD may need to further consider this recommendation. To date, no difficulties have been encountered as all NGOs which meet the criteria have been accepted.</p>	Not started/little progress	
	<p>95. Considers requiring Contracting Parties that object to an application by an NGO for Observer Status with ICCAT to provide their reasons in writing.</p>	S				

Transparency	96. Considers that closing formal ICCAT meetings to observers requires an explicit and reasoned decision supported by a simple majority of Contracting Parties.		S/M					
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<p>Reporting Requirements</p>	<p>87. The Panel recommends that ICCAT consider introducing a provision in new recommendations, whereby the introduction of new reporting requirements would only become effective after a 9 to 12 month period has elapsed. This would assist Developing States to adapt to new requirements. This is particularly relevant where the volume and/or nature of the reporting have changed significantly. The difficulties Developing States encounter in introducing new administrative/reporting requirements at short notice, is well documented in the compliance context. The option for Developed CPCs to apply immediately the new reporting requirements may of course be maintained, if those CPCs consider it opportune.</p>	<p>COM - to be considered by all bodies</p>	<p>S</p>	<p>Refer to all ICCAT bodies that can recommend binding reporting requirements for consideration when developing such recommendations. Commission to coordinate action among the bodies.</p>		<p>Discussed at the April 2018 IMM A global standard (application) may not be appropriate and could be handled on a case-by-case basis rather than a blanket coverage for all recommendations.</p>	<p>Some Recommendations have made specific provisions to take this into account</p>	
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Reporting Requirements	<p>86. The Panel recommends that before the adoption of each new recommendation, there should be an assessment as to the likely impact on the Secretariat's workload that its implementation implies.</p>	STACFAD	<p>Refer to STACFAD to develop options for implementing this recommendation.</p>	<p>Option 1 - The Secretariat with guidance from the STACFAD shall develop a "cover note" template that would be embedded in a new recommendation with a view to indicating <i>inter alia</i>, the timeframe for implementation, the resources it will require to achieve implementation and the potential impact on the Secretariat's workload.</p>	<p>This was implemented on a trial basis in 2021.</p> <p><u>In 2021 and 2022 the Secretariat submitted a STACFAD document with financial implications of the new Recommendations proposed for 2021.</u></p>	<p>This was discussed and agreed in 2019. A template was developed for trial use in 2021.</p>	
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Decision Making	89.Revises the opt-out procedures included in Res 12-11 and the most recent text of the Amended ICCAT Convention to bring them more in line with modern opt-out procedures used by RFMOs that have been recently established or that have recently amended their constitutive instruments.	STACFAD	M - re/ Res. 12-11; NOAC - re/ Conv. amendment opt-out provisions	Refer recommendation to revise Res. 12-11 to STACFAD for consideration	The opt-out procedures developed by the CWG was a topic of intense negotiation. No further actions are considered necessary until such time the Commission adopts such procedures.	-	No further action required at present	
Participation and Capacity Building	108. Considers pursuing capacity building initiatives to strengthen participation in ICCAT meetings in a broader sense - including for key ICCAT positions - for instance by human resource development (e.g. by training courses on participation in, and chairing of, intergovernmental negotiations and bodies).	STACFAD	S/M	Refer to STACFAD to consider and advise on this issue.	Option 1 = Organization of regional workshops / consultation meetings by Commission Chair to provide inputs to formulate an overarching strategy built on needs of Developing CPCs. Option 2 = To this end, SWGSM Terms of Reference	The STACFAD needs to work intersessionally and further consider this recommendation at the 2020 Annual meeting.	Not started/little progress	<u>Could be discussed in the VWG-SF</u>

<p>Participation and Capacity Building</p>	<p>109. Develops an overarching strategy for capacity building and assistance programs, which integrates the various existing capacity building initiatives.</p>		<p>Refer to STACFAD to undertake a review of its capacity building and assistance work and advise on how to improve it.</p>	<p>could be amended to incorporate focused actions to be undertaken by SWGSM towards identification of specific mechanisms and strategies for streamlining capacity building and assistance works in ICCAT. Option 3 = The Secretariat with guidance from the STACFAD shall develop a Terms of Reference for establishment of an ad hoc working group (or an internal correspondence group) with the mandate to develop an overarching strategy on capacity building to that end.</p>	
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<p>Total Quality Management Process</p>	<p>126. The Panel recommends that ICCAT provides training in efficient chairing meetings to current Chairs and to new ones when they assume their duties.</p>	<p>STACFAD</p>	<p>S</p>	<p>Refer to STACFAD to consider and advise on options for acquiring such training and on financial aspects; the Secretariat should assist STACFAD in considering this matter as needed.</p>	<p>Option 1 = The Secretariat shall facilitate and organize bilateral meetings between outgoing/incoming chairs with a view to ensuring continuity of the works, efficiency and transfer of knowledge to the incoming chairs.</p> <p>Option 2 = Whenever there is a new assignment or a change in current assignment of chairs of ICCAT's main and subsidiary bodies, the ICCAT Secretariat shall undertake to provide a two days training on procedural and substantive roles of the chairs and in efficient chairing meetings to current chairs and to new ones when they assume their duties.</p> <p>Option 3 = In order to avoid creating an additional workload on the Secretariat, outsource such task to an external training company.</p>	<p>The STACFAD may wish to consider this recommendation at the 2020Annual meeting.</p>	<p>Not started/little progress</p>	<p><u>Could be discussed in the VWG-SF</u></p>
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<p>Adequacy SRCS and Secretariat</p>	<p>118.The Panel recommends that ICCAT evaluates the benefits of outsourcing its stock assessments to an external science provider while retaining the SCRS as a body to formulated the advice based on the stock assessments.</p>	<p>COM</p>	<p>M/L</p>	<p>For additional information, SCRS could advise on the pros and cons from a scientific perspective and STACFAD from a financial perspective. Commission to coordinate action among the bodies.</p>	<p>It was noted that the proposed changes on the current structure and functioning of SCRS would require further deliberations in future meetings of SCRS. (2018 SCRS REPORT)</p>	<p>This item is primarily pending SCRS and COM action. The STACFAD may wish to consider this Recommendation at the 2020 Annual meeting, following the outcomes of the Meeting on SCRS Process and Protocol.</p>	<p>Not started/little progress, <u>although the SCRS has not discussed it in depth.</u></p>	
<p>Capacity Building Initiatives</p>	<p>119.The Panel recommends that specific mentoring projects to include trainees in stock assessment teams be implemented.</p>	<p>SCRS</p>	<p>M/L</p>	<p>Refer to SCRS to advise on the merits of this idea and how it might be implemented effectively. STACFAD should assess any financial implications.</p>	<p>SCRS has conducted some training on stock assessment techniques in the past.</p>	<p>This item is primarily pending SCRS action. The STACFAD needs to consider any financial implications.</p>	<p>Progress to require additional work.</p>	

Capacity Building Initiatives Capacity Building Initiatives	120.The Panel recommends that ICCAT develop specific mechanisms to ensure that more scientists with knowledge of the fisheries participate in stock assessment meetings and are directly involved in assessment teams.	SCRS	S/M	Refer to SCRS to advise CPCs/ Commission on key participants needed at science meetings and any other relevant matters. STACFAD should assess any financial implications.	It was noted that the proposed changes on the current structure and functioning of SCRS would require further deliberations in future meetings of SCRS. (2018 SCRS Report)	This item is primarily pending SCRS action. The STACFAD needs to consider any financial implications.	<u>Terms of reference have been developed for hire of experts and a list of available experts has been prepared. Experts have been hired, provided that the SCRS has so requested, to assist in stock evaluations.</u>	
	121. The Panel also recommends that formal training in stock assessment be provided, possibly in cooperation with other organizations.	SCRS	M	Refer to SCRS to advise on the merits and how it might be implemented effectively. STACFAD should assess the financial implications.	Several sessions were organized by SCRS to improve the capacity in MSE processes with the involvement of external experts / in cooperation with other organizations at different times. The proposed changes on the current structure and functioning of SCRS would require further deliberations in future meetings of SCRS. (2018 SCRS Report)	STACFAD needs to consider this recommendation following discussion/ conclusion by SCRS.	Progress to require additional work.	

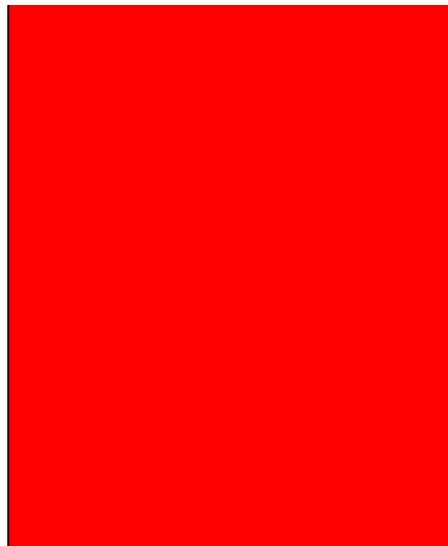
<p>SCRS Long-Term Strategy</p>	<p>122.The Panel recommends that a process to formally incorporate scientific priorities with funding implications into the budget be implemented to fund the activities in the strategic plan. This could be achieved by a scientific research quota.</p>	<p>COM</p>	<p>S</p>	<p>Refer to the Commission to request that the Secretariat include relevant SCRS recommendations with financial implications in the draft biennial budget. SCRS should continue to prioritize its recommendations. STACFAD should consider and advise on any viable options to fund scientific priorities that cannot or should not be funded through the regular budget.</p>	<p>In 2017, the financing of SCRS was included in the regularization process of the Commission's budget (Chapter 11 - Strategic Research Programme) and the new budget maintained the inclusion of the funds allocated for SCRS activities and of other expenses that had been financed through the Working Capital Fund.</p> <p>In 2015, SCRS recommended to develop a formal process to establish a scientific research quota to facilitate required research to improve the science. However, ICCAT has not yet approved such a fund.</p>	<p>The STACFAD needs to continue to consider this recommendation, but SCRS priorities are considered when allocating research funds.</p>	<p>Progress to require additional work. <u>The SCRS must develop its new strategic plan for the coming years.</u></p>	
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Implementation Res 11-17	125. The Panel recommends that ICCAT considers adopting a system with scientists from external organisations, universities or otherwise are contracted to review SCRS assessments.	SCRS	S	Refer to SCRS to review and update the current TORs for these reviewers	A mechanism already exists for external reviewers to participate in SCRS stock assessments.	This recommendation is primarily pending SCRS action.	No further action required at present	
Financial and Administrative Issues	127. The Panel recommends that a Working Capital Fund equivalent to 70% of the Annual Budget is prudent. This fund needs to be kept at that level in the interest of sound financial management. It should also be borne in mind that	STACFAD	S	Refer to STACFAD to consider and advise on options.	The level of working capital fund (WCF) has been set by ICCAT at 15% of the total annual budget. This level is now recommended by the Panel to be advanced to 70% of the Annual Budget in the interest of a sound financial management. STACFAD	The STACFAD needs to consider this recommendation.	Not started/little progress	<u>The recommendation could be discussed in STACFAD to agree on a more realistic percentage.</u>

there are no guarantees that the costs of Annual meetings and scientific programmes etc., will continue to be financed by extra budgetary funds.



needs to provide advice to the Commission for adoption of a more practical and realistic level of WCF



<p>Financial and Administrative Issues</p>	<p>128. The Panel, taking account of the clear progress made by ICCAT in reducing outstanding debts on annual contributions by CPCs, recommends that ICCAT consider erasing CPCs debts for annual contributions outstanding for more than two years i.e. debts before 2015. This measure would alleviate the debt burden for certain Developing States. However, in parallel, ICCAT should amend its financial procedures and introduce an automatic sanction whereby, if the previous two years' contributions have not been paid in full by the following Annual meeting, then the right to vote and be</p>	<p>STACFAD</p>	<p>S</p>	<p>Refer to STACFAD consider and advise on options.</p>	<p>Total amount due from pending contributions of Contracting Parties has reached to a level above 2 million Euros. Article X of the Convention and Rule 9 of ICCAT Rules of Procedure stipulates that the Commission may suspend the voting rights of any Contracting Party when its arrears of contributions equal or exceed the amount due from it for the two preceding years.</p>	<p>Previously, in such situations, CPCs were invited to propose a payback plan to pay their arrears over several years. The Commission may again wish to consider this option to facilitate payment. Discussion in 2019 was inconclusive, and further work is needed on this, although intersessional work is ongoing in the context of Virtual Working Group on Sustainable Financial Position for ICCAT.</p>	<p>Not started/little progress</p>	
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	a quota holder is withdrawn for that CPC, until those debts are acquitted in full.							
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<p>Financial and Administrative Issues</p>	<p>129. The Panel also recommends that ICCAT consider cost recovery to finance key parts of their activities and thereby reduce the CPCs budgetary contributions and/or expand ICCAT's activities (e.g. the High Seas Inspection Scheme). This cost recovery approach is based on the principle that the vessels of CPCs, which benefit from access to profitable fisheries, should share the financial burden for the science and monitoring programmes, which are crucial for the sustainability of those resources. An annual fee could be envisaged which would be paid per vessel of a certain size to ICCAT, via if necessary, the Flag CPC.</p>	<p>STACFAD</p>	<p>M/L</p>	<p>Refer to STACFAD and consider options.</p>	<p>STACFAD needs to decide on the draft proposed addition to ICCAT Financial Regulation 4 for an EBCD System Funding Scheme (STF-207/2018).</p> <p>Option 1 = The Secretariat with guidance from the STACFAD shall develop a Terms of Reference for establishment of an <i>ad hoc</i> working group (that may be considered in the form of an internal correspondence group) with the mandate to develop a cost-recovery policy towards a sustainable financial position at ICCAT</p>	<p>Initial discussion at 2018 meeting, intersessional work has been ongoing during 2019; further discussion will be required at the <u>2023</u> meeting.</p>	<p>Initial discussion at 2018 meeting, intersessional work during 2020. <u>Discussions in STACFAD continue.</u></p>	
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<p>Financial and Administrative Issues</p>	<p>130. The Panel recommends, in line with good management practice, that ICCAT reviews every five years, through an independent human resources consultancy company, the staffing profile and workload of the Secretariat and, if necessary, adjust it to accurately reflect current and programmed workloads. In that review, the company should also review the staff assessment process.</p>	<p>STACFAD</p>	<p>S</p>	<p>Refer to STACFAD to consider and advise on financial and other considerations. Contracting process would be undertaken by the Secretariat</p>	<p>The nature of workload question in the Secretariat needs to be identified first. In this regard, ICCAT Secretariat has taken initiative to make a preliminary examination in the interim period, and contacted a few HRs consultancy companies to receive proposals for an independent review of the staffing profile, staff assessment process and workload of the Secretariat.</p>	<p>The STACFAD agreed to this at the 2019 Annual meeting. The Secretariat will proceed as agreed and present the results at the 2020 meeting. Linked to Recommendation 86 above. <u>In 2021, the first review of the Secretariat's workload was carried out. Consequently the Secretariat organigram has been restructured.</u></p>	<p>Progress to require additional work <u>related to the staff evaluation process</u></p>	
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Financial and Administrative Issues	131. The Panel recommends that STACFAD be responsible for the terms of reference and the follow-up to the report of the consultancy.	STACFAD	M	Please refer to the above-cited observations	See 130 above	Progress to require additional work.	
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