

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

# Introduction

**Why a Capacity Self Assessment Tool?**

**Who is the Capacity Self Assessment Tool For?**

**What is the Capacity Self Assessment Tool?**

**Design and functionality of the Capacity Self Assessment Tool**

**How to use the tool**

**Outcomes and Conclusions of the tool**

**Next Steps**

# 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

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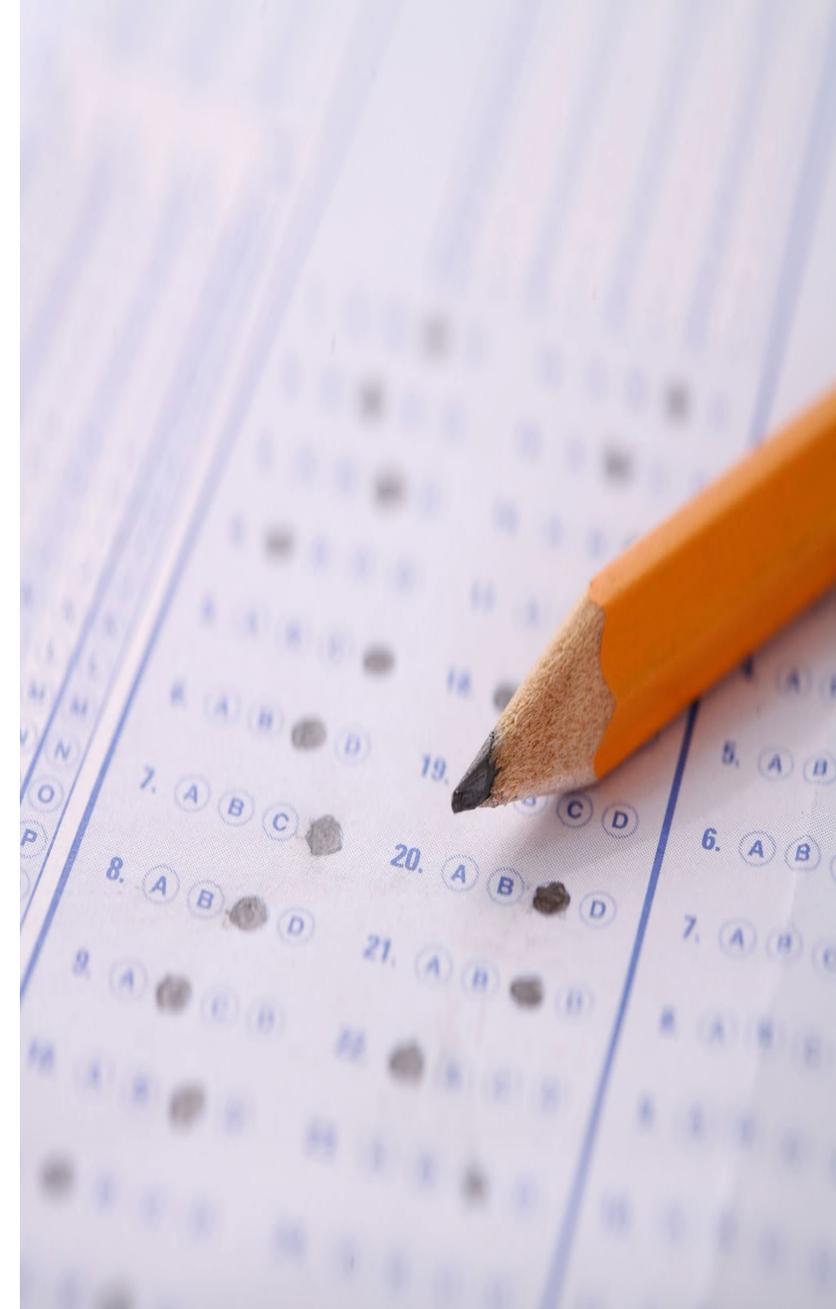
# Who is the Capacity Self Assessment Tool for?

## 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 your discretion

There are **no requirements to divulge your results**



# What is the Capacity Self Assessment Tool?



This tool can 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



the tool could be beneficial for **auditing and enhancing systems**, tools, and processes for engaging in RFMO compliance assessment processes



# Design of the Capacity Self Assessment Tool



A tool based on a 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

# Design of the Capacity Self Assessment Tool

The assessment tool consists of

- Six main modules
- Multiple-choice and open-ended questions
- Summary section

## **INTRODUCTION**

## **HOW TO USE THE TOOL**

## **COORDINATING AGENCY & POINT PERSON**

## **CAPACITY ASSESSMENT**

### **Module 1 OVERVIEW OF RFMO MEMBERSHIP & INTER-AGENCY COORDINATION**

### **Module 2 DATA COLLECTION**

### **Module 3 INFORMATION MANAGEMENT**

### **Module 4 REPORTING**

### **Module 5 PARTICIPATION AT RFMO COMPLIANCE COMMITTEE MEETINGS**

### **Module 6 FOLLOW UP ACTIONS**

## **SUMMARY SECTION**

## **Appendix. Glossary of terms**

# Design of the Capacity Self Assessment Tool

## Fillable PDF format

	Data collection	Information management	Reporting
Ministry of Fisheries/Department of Fisheries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fishing Agency	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fisheries Research Agency/Institute	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Maritime Authority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Port Authority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Coastguard/Military	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Police	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Customs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Ministry of Foreign Affairs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Ministry of Economy/Finance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Ministry of the Environment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (please specify)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## Automated scoring

Indicator 2D Organization & governance	Capacity assessment				Score
	0	1	2	3	
Is there an <b>annual plan</b> for how and when to collect data required by each RFMO your country is a member of?	There is no annual plan for data collection (0)	There is no annual plan, but most agencies collect data just in time for RFMO processes (1)	There is an annual plan, and most agencies collect data well in advance of RFMO processes (2)	There is an annual plan, and all involved agencies collect data throughout the year (3)	<input type="checkbox"/>
Is there a <b>system in place to support</b> inter-agency coordination between all involved agencies and administrative units to collect the data required for the RFMO compliance review processes, as necessary?	There is no system in place to support inter-agency coordination for data collection (0)	There is no system in place, but some agencies coordinate for data collection (1)	There is a system in place and some agencies coordinate for data collection (2)	There is a system in place and all involved agencies coordinate for data collection (3)	<input type="checkbox"/>
Is there a system in place to <b>identify all the human and institutional capacity needed</b> to collect the data required for the RFMO compliance review processes?	There is no system to identify capacity needs for data collection (0)	There is no system in place, but some agencies identify capacity needs (1)	There is a system in place and some agencies identify capacity needs (2)	There is a system to identify capacity needs for data collection (3)	<input type="checkbox"/>
<b>2D - Total score</b>	Please add all scores recorded for this indicator				<input type="text" value="0"/>
<b>2D - Total average score</b>	Please divide total score by 3				<input type="text" value="0.0"/>
Please provide any additional comments, including on collection of other data not mentioned above					
<input type="text"/>					

## How to use the tool

- Who should be consulted?
  - **A Coordinating agency** determines which government agencies to consult
  - **A point person** within the coordinating agency collates all relevant information and compiles into the assessment tool
  - Only the agencies required are those involved in RFMO compliance review processes
- How to coordinate and obtain input for this tool
  - An **individual agency questionnaire** is provided to facilitate consultation if more than one agency is involved



# How to use the tool

- Once all individual agencies have provided answers, the point person will assess the responses and will reflect the overall answers in the assessment tool
- The **main assessment tool** ascertains the level of **overall capacity**
- The separate **individual agency questionnaire** is only used to collect individual agency input



# Outcomes and Conclusion

The final summary section provides a table highlighting the total average score of the capacity needs for each module:

Data Collection   Information management   Reporting   Participation   Follow up

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

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

Final outcomes can be **shared internally, with RFMOs**, or other institutions to help **access capacity assistance**



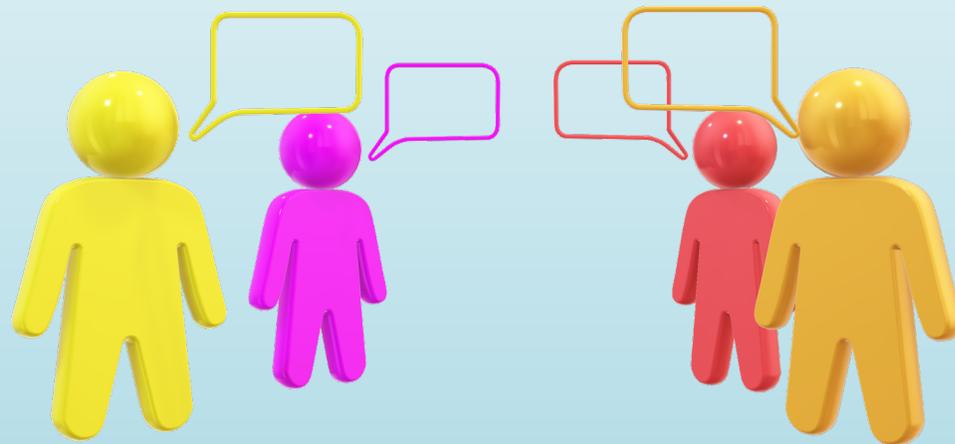
# Outcomes and Conclusion

## ICCAT Capacity Building and Compliance Missions

Identify common areas

Joint missions

Increase progress



## Next steps

- Testing is underway by 5 governments of various sizes who participate in either IATTC, ICCAT, IOTC or WCPFC to ensure both the content and design achieve the desired objective
- Once testing is complete, the tool will be made available to all interested parties, including RFMO members and Secretariats
- The Pew Charitable Trusts is available to answer any questions you may have

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# Thank You

For more information contact Laura Eeles



In person during ICCAT



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