



# Guidelines for Completing the New SIOFA CCPs Compliance Report Template

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# Introduction

Following the endorsement of the new SIOFA CCPs<sup>1</sup> Compliance Report (CCR) template by the 11<sup>th</sup> Meeting of the Parties (MoP) to the SIOFA, the Secretariat was tasked with facilitating an informal workshop aimed at providing CCPs with an opportunity to seek clarification, guidance, and assistance in filling out the new template. The goal of the workshop is to ensure that all CCPs are well-prepared and equipped to transition smoothly to the new template, helping them understand its requirements and how to complete it appropriately.

This document serves as a complementary resource to the workshop, designed to reinforce the workshop's objectives and provide additional guidance on how to complete the CCR template. It aims to provide clear instructions on completing the template and further clarifies its key aspects. CCPs may use these guidelines as a reference during and after the workshop. The workshop and this complementary guideline should ensure a standardised approach by CCPs to compliance reporting.

## General Principles of the New CCR Template

The key concept of the new template is to streamline the reporting process while improving the quality of data collected for the assessment process (as recommended by the 1st SIOFA Performance Review) to ensure a rigorous assessment process by the compliance committee. One of the improvements to the template includes an improved layout to enhance its clarity and readability. The assessment questions have also been updated to be better aligned and consistent with the obligations being assessed. The template layout should also provide a more logical flow through the various sections and obligations of the template.

Similar or related obligations have been grouped into tables to facilitate the information input into the template for such obligations. The template also eliminates the need to report data that is already available to the secretariat during the assessment. However, it provides the opportunity for CCPs to provide quantitative data in relation to some of the obligations where such data will be useful during the compliance assessment process (E.g., observer coverage, inspection level, etc.).

The template employs various tools and functions to facilitate data input, such as drop-down menus for easy selection of predefined options, check boxes for quick choices, and input fields that indicate the information required by the relevant obligation being assessed, where necessary. All of these should provide for an improved experience while compiling a compliance report.

The template has also been streamlined to improve the reporting process by removing questions that duplicate assessments of similar obligations, grouping obligations that establish procedures into one assessment question (e.g. HSBI procedures), and eliminating the need for CCPs to annually report on national domestic measures unless:

- There have been changes to the domestic measures
- There have been changes to the respective obligation / Conservation and Management Measures (CMM) being assessed
- A new CMM is being assessed for the first time

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<sup>1</sup> Contracting Parties, non-Contracting Parties & Participating Fishing Entities, collectively CCPs

# Instructions on Completing a CCR Template

## *Description of Obligations*

Binding obligations fall into two main categories.

The first category of obligations requires a Contracting Party (CCP) to adopt domestic measures to implement (or domesticate) CMMs. This may include enacting national legislation, establishing administrative procedures, or issuing regulatory (or binding) directives to properly implement SIOFA CMMs internally. These domestic measures serve as the legal and operational framework through which a CCP fulfils its responsibilities under the agreement and the CMMs.

The second category of obligations applies directly to the intended subjects of regulation, such as fishing vessels, nationals, or competent authorities. These obligations mandate compliance with the measures established by SIOFA, ensuring that fishing activities are conducted in accordance with the obligations of the agreement and existing CMMs. For example, vessels operating in the SIOFA Agreement Area must adhere to specific reporting requirements (including data standards and formats), monitoring, and enforcement requirements. At the same time, competent authorities oversee and ensure compliance with these regulations.

Both categories of obligations are essential to the effective implementation of SIOFA's conservation and management framework. They ensure that CCPs not only establish the necessary legal and administrative measures but also enforce compliance among those subject to these rules.

⚠ CCPs should be aware that while the assessment process is generally guided by the above principles, the submission of measures does not preclude the assessment of the effectiveness of these measures if there were verifiable instances of non-compliance by vessels, nationals or other subjects against these obligations.

## *Compliance Assessment Period*

In accordance with the SIOFA Compliance Monitoring Scheme (CMS)<sup>2</sup> The compliance assessment period is from 1 January to 31 December of the preceding year, both dates included. A common mistake among CCPs when completing the CCR template is confusion about the compliance assessment period. There are many instances where the provided responses do not relate to the period being assessed, with most erroneous entries providing data related to the current year. This is sometimes exacerbated when some obligations/questions assess compliance with the submission of reports during the compliance assessment period for activities that occurred in the calendar year preceding the assessment period.

A typical example is when CCPs respond to questions that assess compliance with paragraphs 6 and 7 of CMM 02 (2023) on Data Standards, which require the submission of catch and effort data and an annual catch report, respectively, for the previous calendar year during a compliance assessment period. Therefore, this year (2025), CCPs should report if they have submitted these reports by the 31<sup>st</sup> of May 2024 (the compliance assessment period being reviewed) for activities conducted in 2023.

Another typical example concerns the assessment of compliance with the requirement to complete and submit a CCR template annually.<sup>3</sup> In many instances, CCPs respond to the

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<sup>2</sup> [Conservation and Management Measure for the Establishment of a Southern Indian Ocean Fisheries Agreement \(SIOFA\) Compliance Monitoring Scheme \(Compliance Monitoring Scheme\), CMM 11 \(2020\)](#)

<sup>3</sup> Paragraph 12 of the SIOFA [Compliance Monitoring Scheme](#)

assessment based on the current year they are submitting the assessment rather than for the compliance assessment period under review.

CCPs must therefore pay attention to the applicable compliance assessment period when completing the template, as the CMS requires. Failure to adhere to this may be assessed as potential non-compliance with paragraph 12 of the CMS.

### *Responding to the Assessment Questions*

For the most part, the template only requires that CCPs indicate their compliance against an obligation by checking a yes or no checkbox (Figure 1.). Some obligations may require that CCPs provide additional quantitative data (Figure 2) (such as observer coverage and inspection level) to support their preliminary compliance status. This is useful when determining the best course of remedial action when discussing cases of non-compliance (such as additional capacity where required).

*Figure 1: Example of assessment requiring an indication of compliance using checkboxes*

**Interim bottom fishing measures (cont.)**

**Para-10(2): Did you disclose to the ordinary Meeting of the Parties, measures established pursuant to paragraph 10?**

Yes

No

Not applicable -- Please provide an explanation:

*Figure 2: Example of a field that requires the submission of quantitative data*

**Scientific Observer Coverage**

**Para-39 of CMM-01(2023) & Para-37 of CMM-01(2024)**

Indicate observer level (in percentage) for:

Vessel(s) using trawl gears: [Click or tap here to enter text.](#)

Vessel(s) using any other fishing gears: [Click or tap here to enter text.](#)

When the obligation under assessment requires reporting of domestic measures, the template will clearly indicate this in relation to the specific obligation being evaluated, as illustrated in Figure 3. In such cases, the submission must specify the measure in place, the type of measure (such as enacting national legislation, establishing administrative procedures, or issuing regulatory or binding directives), and the legal effects or consequences of those domestic measures. Reporting of measures should also include any gaps that may prevent the effective implementation (partial or in its entirety) of the obligation being assessed. CCPs may also provide references to domestic laws and measures that implement the relevant obligation.

*Figure 3: Example of assessment requiring submission of domestic measures in place*

■ *Implementation of the Southern Indian Ocean Fisheries Agreement*

<p><b>Article 10(2): (For Coastal States only)</b> Indicate measures (if any) taken to manage straddling stocks occurring in waters under your jurisdiction adjacent to the SIOFA Area.</p>	<p>Preliminary Self-Assessment</p>
<p>Indicate measures here</p> <p><input type="checkbox"/> Measures have not been updated since the last compliance assessment.</p> <p><input type="checkbox"/> No measures established</p> <p><input type="checkbox"/> Not applicable -- Please provide an explanation</p>	<p>Choose an item</p>

In cases where no domestic measures have been established to implement an obligation, CCPs are advised to indicate this by selecting “No measures established.”

As previously stated, CCPs are not required to resubmit measures related to an obligation if those measures remain unchanged and were already provided in a previous compliance assessment. In such cases, CCPs may indicate this by selecting “Measures have not been updated since the last compliance assessment” in the template.

*Non-Applicability*

Some obligations or CMMs may not apply to CCPs. As such, CCPs are to indicate when such obligations or CMMs do not apply to them by using the selection tool (checkbox) where available. Additionally, any declaration of an obligation's non-applicability must be supported by clear justifications explaining why the obligation does not apply in the field provided in the template (Figure 4).

In cases where an entire CMM does not apply to a CCP, they may skip the CMM entirely and move to the next applicable CMM.

**CCPs are advised not to provide a preliminary compliance status when an obligation does not apply to them.**

Figure 4: Indication of Non-Applicability

■ *Implementation of the Southern Indian Ocean Fisheries Agreement*

<p><b>Article 10(2): (For Coastal States only)</b> Indicate measures (if any) taken to manage straddling stocks occurring in waters under your jurisdiction adjacent to the SIOFA Area.</p>	<p>Preliminary Self-Assessment</p>
<p>Indicate measures here</p> <p><input type="checkbox"/> Measures have not been updated since the last compliance assessment.</p> <p><input type="checkbox"/> No measures established</p> <p><input type="checkbox"/> Not applicable -- Please provide an explanation</p>	<p>Choose an item</p>

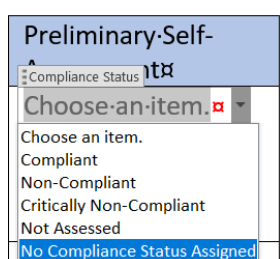
### *Preliminary Self-Assessment*

The CMS requires that CCPs include a preliminary self-assessment for each obligation that is applicable to them. CCPs must assign a preliminary self-assessment in the 'Preliminary Self-Assessment' column corresponding to each obligation being assessed using the drop-down menu available (Figure 5) unless the obligation does not apply to them. This Preliminary self-assessment should be based on the Compliance Categories defined in Annex 1 of the CMS, which outlines the following compliance statuses:

- Compliant;
- Non-compliant;
- Critically non-compliant;
- Not assessed, and;
- No compliance Status assigned

CCPs should ensure that their preliminary self-assessment reflects the specific criteria for each compliance status.

*Figure 5. Preliminary Self Assessment selection tool.*



### *Submission of CCP Compliance Report*

As required by the CMS, CCPs must prepare and submit a CCR to the Secretariat no later than 60 days before the commencement of each ordinary Meeting of the Parties. The CCR must be completed using the template provided by the Secretariat, which is usually circulated at the start of each year but no later than 120 days before the next ordinary Meeting of the Parties. Therefore, CCPs should exercise due diligence and carefully verify that they use the correct template before compiling their report. This is crucial as using an incorrect version may also result in a non-compliant status assessment when assessing compliance with paragraph 12 of the CMS. It is equally important to note that all CCRs must include all relevant information related to implementing each obligation assessed for compliance, as this is a key requirement of the CMS.

CCPs may submit their CCR to the Secretariat using the Secretariat email ([secretariat@siofa.org](mailto:secretariat@siofa.org)), cc'ing the Executive Secretary and the Compliance Officer on the following email addresses:

Executive Secretariat: [thierry.clot@siofa.org](mailto:thierry.clot@siofa.org)

Compliance Officer: [johnny.louys@siofa.org](mailto:johnny.louys@siofa.org)

## Further Queries/One-on-One

CCPs are encouraged to contact the Secretariat, specifically the Compliance Officer (details below), at any time should they require clarification or assistance while compiling the CCR. The Secretariat will also be available for one-on-one consultations with CCPs who may require further assistance with understanding and completing the new template until the deadline for submitting this year's CCR, i.e., 1 May 2025.

### **Contact Details:**

Johnny Louys (Mr.)

Compliance Officer

Email: [johnny.louys@siofa.org](mailto:johnny.louys@siofa.org)

Phone./WhatsApp: +262 (0) 693 44 35 35

## Useful Documents

- [Conservation and Management Measure for the Establishment of a Southern Indian Ocean Fisheries Agreement \(SIOFA\) Compliance Monitoring Scheme \(Compliance Monitoring Scheme\), CMM 11\(2020\)](#)
- [Active Conservation and Management Measures \(CMMs\) of the Southern Indian Ocean Fisheries Agreement \(Updated Oct 2024\)](#)