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## A New Self-Assessment Tool to Evaluate a Country's Capacity to Engage in RFMO Compliance Review Processes.

The Pew Charitable Trusts

<b>Meeting</b>	Compliance Committee ✓ Meeting of the Parties <input type="checkbox"/>
<b>Document type</b>	working paper <input type="checkbox"/> information paper ✓
<b>Distribution</b>	Public ✓ Restricted <sup>1</sup> <input type="checkbox"/> Closed session document <sup>2</sup> <input type="checkbox"/>
<b>Abstract</b>	<p>The Pew Charitable Trusts, in consultation with a wide range of experts, has developed a self-assessment tool to assist RFMO members in evaluating their own human, technical and institutional capacity needs and identifying the specific barriers that prevent full and effective engagement in RFMO compliance review processes.</p>

<sup>1</sup> Restricted documents may contain confidential information. Please do not distribute restricted documents in any form without the explicit permission of the SIOFA Secretariat and the data owner(s)/provider(s).

<sup>2</sup> Documents available only to members invited to closed sessions.

## A New Self-Assessment Tool to Evaluate a Country's Capacity to Engage in RFMO Compliance Review Processes.

RFMO compliance review processes are typically labor-intensive, requiring members to collect, manage, and report large amounts of information; prepare for and participate in compliance meetings; and take follow-up actions to improve compliance. Some RFMO members consistently highlight a lack of capacity to fulfill existing requirements, while experts have identified the importance of having adequate capacity-building mechanisms in place to support effective compliance reviews.

Many RFMOs have initiatives to support members in addressing general compliance review capacity challenges, but to date, no comprehensive tool has been available to help members identify the specific barriers that prevent them from fully and effectively engaging in compliance review processes.

***To address this resource gap, The Pew Charitable Trusts, in consultation with a wide range of experts, has developed a self-assessment tool to enable RFMO members to identify their own human, technical, and institutional capacity needs.***

The self-assessment tool was created for the internal use of individual RFMO members. None of the information entered in the tool is collected or shared with Pew or any other organization. Members may wish to use the results of this assessment to develop a list of priorities for capacity building, which may be helpful when seeking external financial and technical resources, and as an ongoing evaluation mechanism.

This tool is designed as a PDF that can be completed on a computer or printed and filled out by hand. It is structured in seven modules, with five core modules addressing different stages of engagement in RFMO compliance review processes: *Data collection; Information management; Reporting; Participation in RFMO Compliance Committee meetings; and Follow-up actions.*

Modules contain multiple-choice questions, with scores automatically calculated and averaged, and a summary section displays scores obtained in the different modules.

The tool also includes open-ended questions and space for comments.

Indicator 3A. Agency capacity	Capacity assessment				Score
	0	1	2	3	
3A.1. Are agencies aware of the information they need to organize, process and analyse 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)	<input type="text"/>
3A.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)	<input type="text"/>
3A.3. Is information from different sources/methodologies (e.g., data by calendar year vs. fishing season year) cross-checked for consistency after analysis?	No information is cross-checked (0)	Some information is cross-checked (1)	Most information is cross-checked (2)	All information is cross-checked (3)	<input type="text"/>
3A.4. Is the information to be reported verified using other sources (e.g., port call data reported by flag State vs. by port State)?	No information is verified (0)	Some information is verified (1)	Most information is verified (2)	All information is verified (3)	<input type="text"/>
3A total score	If completing manually, add all scores for this indicator				<input type="text"/>
3A average score	If completing manually, divide the total score for this indicator by 4				<input type="text"/>

*An example of a set of questions from the Information management module*

This tool is designed to meet the needs of member governments of all sizes, whether they have one or several agencies involved in compliance reviews processes. It can be used once to provide a snapshot of capacity needs or multiple times to assess progress over time.

***This resource is accessible online and available to download from***  
<https://www.pew.org/compliancecapacity>

For any enquiries about the capacity needs self-assessment tool, please contact  
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