



# Survey of Compliance/Implementation Committees

July 2020

## Table of Contents

<b>Conventions</b>	<b>4</b>
<i>Aarhus Convention</i>	4
<i>Arms Trade Treaty (ATT)</i>	5
<i>Convention on the International Trade in Endangered Species (CITES)</i>	6
<i>Espoo Convention</i>	7
<i>International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGR)</i>	9
<i>Nagoya Protocol on Access and Benefit-sharing</i>	11
<i>UNFCCC Paris Agreement</i>	12
<b>Regional and Sectoral Bodies/Organizations</b>	<b>13</b>
<i>International Maritime Organization (IMO)</i>	13
<i>International Seabed Authority (ISA)</i>	15
<i>Convention on the Conservation of Antarctic Living Resources (CCAMLR)</i>	16
<i>Inter-American Tropical Tunas Commission (IATTC)</i>	18
<i>International Commission for the Conservation of Atlantic Tunas (ICCAT)</i>	19
<i>Indian Ocean Tuna Commission (IOTC)</i>	20
<i>Northwest Atlantic Fisheries Organization (NAFO)</i>	21
<i>North East Atlantic Fisheries Commission (NEAFC)</i>	23
<i>South East Atlantic Fisheries Organization (SEAFO)</i>	25
<i>South Pacific Regional Fisheries Management Organization (SPRFMO)</i>	26
<i>Western and Central Pacific Fisheries Commission (WCPFC)</i>	27

This survey examines compliance and/or implementation committees that currently exist under a number of international agreements, frameworks and bodies, with the aim of providing further understanding of (i) the legal text establishing the compliance and/or implementation committees; (ii) how they were established (*i.e.* within Convention text, through a CoP); (iii) their role/mandate; and iv) their composition.

The preliminary results illustrate that newer agreements, frameworks and bodies have provisions for the direct or indirect creation of compliance and/or implementation committees within their convention text. Older agreements, frameworks and bodies are either lacking a compliance and/or implementation committee, or established one via a CoP or by request of the Contracting Parties.

Of the newer agreements, frameworks and bodies that have implementation and/or compliance committees, a majority have provisions for the creation of subsidiary bodies through a CoP or through the Contracting Parties, while a minority have direct references to the creation of compliance and/or implementation committees within the convention text. From this review, Agreements, frameworks and bodies that have enabled the creation of compliance and/or implementation committees within the convention text have correspondingly established these committees (along with their rules and procedures), more expeditiously than those established through a CoP or by the Contracting Parties.

**Table 1. Agreements, Frameworks and Bodies that have Compliance/Implementation Committees and how they were established.**

<b>Agreement/Body</b>	<b>Compliance/Implementation Committee (Y/N)</b>	<b>Established through Convention text (Y/N)</b>
Aarhus	Yes (Compliance Committee)	No
ATT	Yes (Implementation Committee)	No
CITES	Yes (Implementation Committee)	No
<b>CMS</b>	<b>No</b>	<b>--</b>
ESPOO	Yes (Compliance and Implementation Committee)	No
ITPGR	Yes (Compliance Committee)	No
Nagoya	Yes (Compliance Committee)	Yes
UNFCCC - Paris Agreement	Yes (Compliance and Implementation Committee)	Yes
IMO	Yes (Implementation Committee only)	No
<b>ISA</b>	<b>No (LTC only)</b>	<b>--</b>
CCAMLR	Yes (Compliance and Implementation Committee)	No
IATTC	Yes (Compliance Committee)	Yes
ICCAT	Yes (Compliance Committee)	No
IOTC	Yes (Compliance Committee)	No
SEAFO	Yes (Compliance Committee)	Yes
<b>NAFO</b>	<b>No - but compliance review</b>	<b>--</b>
NEAFC	Yes (Compliance Committee)	No
<b>OSPAR</b>	<b>No</b>	<b>--</b>
<b>SIOFA</b>	<b>No</b>	<b>--</b>
SPRFMO	Yes (Compliance and Implementation Committee)	Yes
WCPFC	Yes (Compliance and implementation Committee)	Yes

# Conventions

## Aarhus Convention

**Compliance/Implementation Committee:** Yes – [Compliance Committee](#)

**Objective/Mandate of the Compliance/Implementation Committee:**

- 1) Consider any submission, referral, communication or request
- 2) Provide advice and facilitate assistance to individual Parties
- 3) Report to the Meeting of the Parties
- 4) Monitor reporting requirements
- 5) Measures by the Meeting of the Parties to address compliance issues
- 6) Inter-sessional measures by the committee to address compliance issues

View the full guide to the Aarhus Convention Compliance Committee [here](#).

**Composition:**

Full composition and election of committee members can be found [here](#).

**Established through the agreement/convention text:** No, established through a CoP. However the Convention states in [Art. 15](#):

“The Meeting of the Parties shall establish, on a consensus basis, optional arrangements of a non-confrontational, non-judicial and consultative nature for reviewing compliance with the provisions of this Convention. These arrangements shall allow for appropriate public involvement and may include the option of considering communications from members of the public on matters related to this Convention.”

**Established through a CoP or other means:** Yes

At the first session (October 2002) the Meeting of the Parties adopted [Decision I/7](#) on the review of compliance. Decision I/7 establishes an advanced compliance mechanism for the Convention, creates the Compliance Committee as the main body for the review of compliance and sets out the structure and functions of the body as well as the procedures to review compliance.

## Arms Trade Treaty (ATT)

**Compliance/Implementation Committee:** Yes (Implementation Committee only) - [Working Group on Effective Treaty Implementation \(WGETI\)](#). Three sub-working groups: Article 5 (general implementation), Article 6 and 7 (Prohibitions, export and export assessment) and Article 11 (Diversion).

### **Objective/Mandate of the Compliance/Implementation Committee:**

The Conference decided to establish an ad hoc open-ended Working Group on “[Effective Implementation of the Arms Trade Treaty](#)”, in line with Rule 42.2 with the objective of sharing experiences, challenges and best practice on national implementation to further contribute to the work under Article 17 paragraph 4. The Working Group would convene meetings, with the assistance of the Secretariat, twice per year, or as appropriate, in a public format, that would enable the participation of experts, as necessary, with a mandate to exchange knowledge on the practical issues related to the national implementation of the ATT, including difficulties encountered, identify priority areas for capacity building and outreach on the implementation of the ATT, make recommendations and, where possible, elaborate guidance for consideration by all States Parties on the practical national implementation of the ATT in accordance with Articles 5-15 of the Treaty and identify priority themes on effective implementation for the up-coming CSP.

### **Mandate:**

- a) *exchange knowledge on the practical issues related to the national implementation of the ATT, including difficulties encountered;*
- b) *identify priority areas for capacity building and outreach with regard to the implementation of the ATT;*
- c) *make recommendations and, where possible, elaborate guidance for consideration by all States Parties on the practical national implementation of the ATT in accordance with Articles 5-15 of the Treaty; and*
- d) *identify priority themes of effective implementation for the up-coming CSP3 (paragraph 27, CSP2 Final Report, ATT/CSP2/2016/5).*

### **Composition:**

President appoints the co-chairs.

**Established through the agreement/convention text:** No

**Established through a CoP or other means:** Yes.

Established by the second ATT CoP in 2016, and became a standing WG of the Conference by decision of the third [ATT COP in 2017](#).

# Convention on the International Trade in Endangered Species (CITES)

**Compliance/Implementation Committee:** “[Standing Committee](#)” - focuses on implementation of the Convention only (not compliance). The Standing Committee was set up in 2000 through Resolution Conference 11.1 (and revised at CoP17).

**Objective/Mandate of the Compliance/Implementation Committee:**  
[Resolution 18.2 Annex I - Terms of Reference of the Standing Committee of the Conference of the Parties:](#)

*Purpose:*

1. *As the senior committee of the Conference of the Parties, the Standing Committee plays an important role in steering the work and performance of the Convention in the periods between the meetings of the Conference of the Parties.*

*Functions:*

2. *The Standing Committee, in accordance with instructions from and authority delegated by the Conference of the Parties in its resolutions and decisions, shall:*
  - a. *undertake the tasks directed to it by the Conference of the Parties, including those related to the handling of general and specific compliance matters;*
  - b. *provide general policy and general operational direction to the Secretariat concerning the implementation of the Convention;*

[...]

## **Composition:**

The members of the [Standing Committee](#) are Parties representing each of the six major geographical regions (Africa, Asia, Europe, North America, Central and South America and the Caribbean, and Oceania), with the number of representatives weighted according to the number of Parties within the region.

Additionally, the Standing Committee systematically includes a representative from:

- the Depositary;
- the Party that hosted the previous meeting of the CoP; and
- the Party that will host the next meeting of the CoP.

**Established through the agreement/convention text:** No

**Established through a CoP or other means:** Established through [Resolution 18.2](#) - “Establishment of Committees”.

Rules of Procedure of the Standing Committee can be found [here](#).

# Espoo Convention

**Compliance/Implementation Committee:** Yes – [Implementation Committee](#).

## **Role of compliance/implementation committee:**

Decision III/4 reads as follows:

4. *The objective of the Committee shall be to assist Parties to comply fully with their obligations under the Convention, and to this end it shall:*

*(a) Consider any submission made in accordance with paragraph 5 below or any other possible non-compliance by a Party with its obligations that the Committee decides to consider in accordance with paragraph 6, with a view to securing a constructive solution;*

*(b) Review periodically, in accordance with guidelines or criteria formulated by the Meeting of the Parties, compliance by the Parties with their obligations under the Convention on the basis of the information provided in their reports;*

*(c) Prepare the reports referred to in paragraph 11 with a view to providing any appropriate assistance to the Party or Parties concerned, for example by clarifying and assisting in the resolution of questions; providing advice and recommendations relating to procedural, technical or administrative matters; and providing advice on the compilation and communication of information; and*

*(d) Prepare, at the request of the Meeting of the Parties, and based on relevant experience acquired in the performance of its functions under subparagraphs (a), (b) and (c) above, a report on compliance with or implementation of specified obligations in the provisions of the Convention.*

## **Composition:**

The Committee comprises 8 members, nominated by Parties that are, in turn, elected by the Meeting of the Parties. Alternatives are elected for Protocol matters.

**Established through the agreement/convention text:** No, established through a CoP.

However, the Convention text indicates in [Article 11.2](#):

*The Parties shall keep under continuous review the implementation of this Convention, and, with this purpose in mind, shall:*

- a) Review the policies and methodological approaches to environmental impact assessment by the Parties with a view to further improving environmental impact assessment procedures in a transboundary context*
- b) Exchange information regarding experience gained in concluding and implementing bilateral and multilateral agreements or other arrangements regarding the use of*

*environmental impact assessment in a transboundary context to which one or more of the Parties are party;*

- c) Seek, where appropriate, the services of competent international bodies and scientific committees in methodological and technical aspects pertinent to the achievement of the purposes of this Convention»*
- d) At their first meeting, consider and by consensus adopt rules of procedure for their meetings»*
- e) Consider and, where necessary, adopt proposals for amendments to this Convention»*
- f) Consider and undertake any additional action that may be required for the achievement of the purposes of this Convention.*

**Established through a CoP or other means: Yes**

The Committee was established by the second Meeting of the Parties in February 2001 (decision II/4 and now revised as [decision III/2](#)) which provides the structure and functions of the Implementation Committee and procedures for review of compliance.

# International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGR)

**Compliance/Implementation Committee:** Yes - [Compliance Committee](#)

**Objective/Mandate of the Compliance/Implementation Committee:**

[Resolution 2/2011](#)

Annex

## *IV. FUNCTIONS OF THE COMMITTEE*

*1. The Committee shall, with a view to promoting compliance and addressing issues of non-compliance, and under the overall guidance of the Governing Body, have the following functions:*

- a) Consider information submitted to it regarding matters relating to compliance and issues of non-compliance;*
- b) Offer advice and/or facilitate assistance, as appropriate, to any Contracting Party, on matters relating to compliance with a view to assisting it to comply with its obligations under the International Treaty;*
- c) Assist the Governing Body in its monitoring of the implementation by Contracting Parties of their obligations under the International Treaty on the basis of reports of the Contracting Parties in accordance with Section V below;*
- d) Address issues of non-compliance and identify the specific circumstances of the issue referred to it, in accordance with Sections VI to VIII below;*
- e) Promote compliance by addressing statements and questions concerning the implementation of obligations under the International Treaty, in accordance with Section IX below;*
- f) Carry out any other functions as may be assigned to it by the Governing Body pursuant to Article 21 of the International Treaty;*
- g) Submit a report to each regular session of the Governing Body reflecting:
  - i) the work that the Committee has undertaken;*
  - ii) the conclusions and recommendations of the Committee; and*
  - iii) the future programme of work of the Committee.**

*2. The Committee shall not consider any questions concerning the interpretation of, implementation of, or compliance with the Standard Material Transfer Agreement by parties or potential parties to it.*

**Composition:**

[Resolution 2/2011](#)

*2. The Committee shall consist of a maximum of 14 members, being up to two from each of the FAO regions and not more than one from a Contracting Party. The members shall be elected by the Governing Body on the basis of up to two nominations from each of the seven FAO regions.*

*3. Members of the Committee shall have recognized competence in the field of genetic resources or other fields relevant for the International Treaty, including legal or technical expertise, and they shall serve objectively and in their individual capacity.*

*4. Members shall be elected by the Governing Body for a period of four years, this being a full term, commencing on January 1st of the first year of the financial period of the International Treaty following their election. At its Fifth Session, the Governing Body shall elect up to seven members, one from each FAO region, for half a term, and up to seven members for a full term. Thereafter, the Governing Body shall elect, as appropriate, new members for a full term to replace those whose term has expired or for the remainder of a term to fill any vacancy. Members shall not serve for more than two consecutive terms.*

**Established through the agreement/convention text:** No but [convention text](#) includes Article 21 on compliance:

“The Governing Body shall, at its first meeting, consider and approve cooperative and effective procedures and operational mechanisms to promote compliance with the provisions of this Treaty and to address issues of non-compliance. These procedures and mechanisms shall include monitoring, and offering advice or assistance, including legal advice or legal assistance, when needed, in particular to developing countries and countries with economies in transition.”

**Established through a CoP or other means:** Yes - The Compliance Committee was established by the Governing Body through [Resolution 3/2006](#).

The Rules and Procedures were adopted through [Resolution 9/2013](#).

# Nagoya Protocol on Access and Benefit-sharing

**Compliance/Implementation Committee:** Yes – [Compliance Committee](#)

## **Role of compliance/implementation committee:**

In accordance with the cooperative procedures and institutional mechanisms (annex to [decision NP-1/4](#)), the Committee can receive submissions relating to issues of compliance and non-compliance with the provisions of the Protocol from:

- (a) Any Party with respect to itself
- (b) Any Party with respect to another Party
- (c) The COP-MOP

The Committee may also examine a situation where a Party fails to submit its national report under [Article 29](#) of the Protocol or where information indicates that a Party is faced with difficulties complying with its obligations under the Protocol as well as systemic issues of general non-compliance. Both the Committee and the COP-MOP may take measures to promote compliance and address cases of non-compliance.

Full Rules of Procedure can be found [here](#).

## **Composition:**

- Composed of 15 members nominated by Parties and elected by the CoP.
- 3 members from each of the five regional groups of the United Nations and two representatives of indigenous peoples and local communities (serve as observers).

**Established through the agreement/convention text:** No

Article 30 of Nagoya Protocol:

*“The Conference of the Parties serving as the meeting of the Parties to this Protocol shall, at its first meeting, consider and approve cooperative procedures and institutional mechanisms to promote compliance with the provisions of this Protocol and to address cases of non-compliance. These procedures and mechanisms shall include provisions to offer advice or assistance, where appropriate. They shall be separate from, and without prejudice to, the dispute settlement procedures and mechanisms under Article 27 of the Convention.”*

**Established through a CoP or other means:** Yes - Rules of procedure for the meetings of the Compliance Committee were adopted by CoP-MOP 2, in the annex to [decision NP-2/3](#)

## UNFCCC Paris Agreement

**Compliance/Implementation Committee:** Yes – [Subsidiary Body for Implementation](#) (through the UNFCCC.)

Focuses on implementation issues under the Convention, the Kyoto Protocol and the Paris Agreement.

**Objective/Mandate of the Compliance/Implementation Committee:**

Paris Agreement - [Article 15](#)

- 1. A mechanism to facilitate implementation of and promote compliance with the provisions of this Agreement is hereby established.*
- 2. The mechanism referred to in paragraph 1 of this Article shall consist of a committee that shall be expert-based and facilitative in nature and function in a manner that is transparent, non-adversarial and non-punitive. The committee shall pay particular attention to the respective national capabilities and circumstances of Parties.*
- 3. The committee shall operate under the modalities and procedures adopted by the Conference of the Parties serving as the meeting of the Parties to this Agreement at its first session and report annually to the Conference of the Parties serving as the meeting of the Parties to this Agreement.*

**Composition:**

Expert-based

**Established through the agreement/convention text:** [Yes](#)

**Established through a CoP or other means:** No

## Regional and Sectoral Bodies/Organizations

### International Maritime Organization (IMO)

**Compliance/Implementation Committee:** Implementation Committee only - [Sub-Committee on Implementation of IMO Instruments \(III\)](#)

**Objective/Mandate of the Compliance/Implementation Committee:**

The III Sub-Committee works under the following [terms of reference](#):

1. *Under the direct instructions of the Maritime Safety Committee and the Marine Environment Protection Committee, the Sub-Committee on Implementation of IMO Instruments (III), in addressing the effective and consistent global implementation and enforcement of IMO instruments concerning maritime safety and security and the protection of the marine environment, will consider technical and operational matters related to the following subjects, including the development of any necessary amendments to relevant conventions and other mandatory and non-mandatory instruments, as well as the preparation of new mandatory and non-mandatory instruments, guidelines and recommendations, for consideration by the Committees, as appropriate:*
  - .1 *comprehensive review of the rights and obligations of States emanating from the IMO treaty instruments;*
  - .2 *assessment, monitoring and review of the current level of implementation of IMO instruments by States in their capacity as flag, port and coastal States and countries training and certifying officers and crews, with a view to identifying areas where States may have difficulties in fully implementing them;*
  - .3 *identification of the reasons for the difficulties in implementing provisions of relevant IMO instruments, taking into account any relevant information collected through, inter alia, the assessment of performance, the investigation of marine casualties and incidents and the port State control (PSC) data, while paying particular attention to the perceived difficulties faced by developing countries;*
  - .4 *consideration of proposals to assist States in implementing and complying with IMO instruments by the development of appropriate mandatory and non-mandatory instruments, guidelines and recommendations for the consideration by the Committees, as appropriate;*
  - .5 *analyses of investigations reports into marine casualties and incidents and maintaining an efficient and comprehensive knowledge-based mechanism to support the identification of trends and the IMO rule-making process;*
  - .6 *review of IMO standards on maritime safety and security and the protection of the marine environment, to maintain an updated and harmonized guidance on survey and certification related requirements; and*



## **International Seabed Authority (ISA)**

**Compliance/Implementation Committee:** No dedicated compliance/implementation body. Only has the [Legal and Technical Commission](#).

The LTC is entrusted with various functions relating to activities in the Area including, inter alia, the review of applications for plans of work, supervision of exploration or mining activities (including review of annual reports submitted by contractors), development of environmental management plans, assessment of the environmental implications of activities in the Area, formulate and keep under review the rules, regulations and procedures in relation to activities in the Area, and make recommendations to the Council on all matters relating to exploration and exploitation of non-living marine resources (such as polymetallic nodules, polymetallic sulphides and cobalt-rich ferromanganese crusts).

**Objective/Mandate of the Compliance/Implementation Committee:**

### **Composition:**

Rule 77 - In the composition of subsidiary organs due account shall be taken of the principle of equitable geographical distribution and of special interests and the need for members qualified and competent in the relevant technical questions dealt with by such organs.

**Established through the agreement/convention text:** No, but text indicates that:  
Rule 76 – The Assembly may establish such subsidiary organs as it finds necessary for the exercise of its functions.

# Convention on the Conservation of Antarctic Living Resources (CCAMLR)

**Compliance/Implementation Committee:** Yes, [Standing Committee on Implementation and Compliance \(SCIC\)](#).

Meets annually to review the operation of conservation measures and compliance systems and to advise the Commission on their implementation.

## **Objective/Mandate of the Compliance/Implementation Committee:**

[Standing Committee on Implementation and Compliance \(SCIC\) - Terms of Reference and Organisation of Work](#)

*1. The Committee shall be tasked with providing the Commission with information, advice and recommendations necessary to give effect to Articles X, XXI, XXII and XXIV of the Convention.*

*2. The Committee shall:*

*(i) review and assess Contracting Parties' implementation of, and compliance with, conservation and management measures adopted by the Commission;*

*(ii) review and assess, as appropriate, the implementation of, and compliance with, conservation and management measures by those non-Contracting Parties which have agreed to apply such measures;*

*(iii) provide technical advice and recommendations on means to promote the effective implementation of, and compliance with, conservation and management measures;*

*(iv) review and analyse information pertaining to activities of Contracting Parties and non-Contracting Parties which undermine the objectives of the Convention, including in particular illegal, unregulated and unreported (IUU) fishing, and recommend actions to be taken by the Commission to prevent, deter and eliminate such activities;*

*(v) review the operation of, and recommend priorities of and improvements to, the System of Inspection and, in association with the Scientific Committee, as appropriate, the Scheme of International Scientific Observation;*

*(vi) exchange information with the Scientific Committee and its subsidiary bodies as well as the Standing Committee on Administration and Finance (SCAF), as appropriate, on matters of relevance for the exercise of their respective functions;*

*(vii) provide the Commission with recommendations on appropriate interaction with other fisheries or conservation management, technical or scientific organisations on matters of relevance to the effective implementation of, and compliance with, conservation and management measures;*

*(viii) perform such other functions consistent with its terms of reference as the Commission might decide; and*

*(ix) prepare a report on its activities and recommendations, as well as an agenda for its next meeting, for consideration by the Commission.*

**Composition:**

Representatives and experts from each Contracting Party.

**Established through the agreement/convention text:** No

[CCAMLRL Convention Text:](#)

“6. The Commission may establish such subsidiary bodies as are necessary for the performance of its functions.”

**Established through a CoP or other means:** Yes – established by CCAMLRL Contracting Parties.

## **Inter-American Tropical Tunas Commission (IATTC)**

**Compliance/Implementation Committee:** Yes – [Committee on Compliance Review \(COR\)](#)

### **Objective/Mandate of the Compliance/Implementation Committee:**

[Annex 3](#) of Convention:

*The functions of the Committee for the Review of Implementation of Measures Adopted by the Commission established under Article X of this Convention shall be the following:*

- a) review and monitor compliance with conservation and management measures adopted by the Commission, as well as cooperative measures referred to in Article XVIII, paragraph 9, of this Convention;*
- b) analyze information by flag or, when information by flag would not cover the relevant case, by vessel, and any other information necessary to carry out its functions;*
- c) provide the Commission with information, technical advice and recommendations relating to the implementation of, and compliance with, conservation and management measures;*
- d) recommend to the Commission means of promoting compatibility among the fisheries management measures of the members of the Commission;*
- e) recommend to the Commission means to promote the effective implementation of Article XVIII, paragraph 10, of this Convention;*
- f) in consultation with the Scientific Advisory Committee, recommend to the Commission the priorities and objectives of the program for data collection and monitoring established in Article VII, subparagraph (I) of paragraph 1, of this Convention and assess and evaluate the results of that program;*
- g) perform such other functions as the Commission may direct.*

### **Composition:**

Representatives from each Contracting Party.

**Established through the agreement/convention text:** Yes.

[Article 10.1](#): The Commission shall establish a Committee for the Review of Implementation of Measures Adopted by the Commission, which shall be composed of those representatives designated for this purpose by each member of the Commission, who may be accompanied by such experts and advisers as that member may deem advisable.

**Established through a CoP or other means:** No

# International Commission for the Conservation of Atlantic Tunas (ICCAT)

**Compliance/Implementation Committee:** Yes - [ICCAT Conservation and Management Measures Compliance Committee](#)

**Objective/Mandate of the Compliance/Implementation Committee:**

## [2. Mandate and Objectives of the Compliance Committee](#)

*2.1 The Compliance Committee shall be broadly responsible for reviewing all aspects of compliance with ICCAT conservation and management measures in the ICCAT Convention Area, with particular reference to compliance with such measures by ICCAT Contracting Parties.*

*2.2 The Compliance Committee shall report directly to the Commission on its deliberations and recommendations.*

*2.3 The Compliance Committee shall cooperate closely with ICCAT subsidiary bodies in order to remain informed on all issues concerning compliance with ICCAT conservation and management measures.*

*2.4 The work of the Compliance Committee shall be guided by the following overall objectives:*

*2.4.1 To provide a structured forum for discussion of all problems related to effective implementation of, and compliance with, ICCAT conservation and management measures in the ICCAT Convention area.*

*2.4.2 To gather and review information relevant to review of compliance with ICCAT conservation and management measures from ICCAT subsidiary bodies, and from National Reports submitted by ICCAT Contracting Parties.*

*2.4.3 To identify and discuss problems related to the implementation of, and compliance with, ICCAT conservation and management measures, and to make recommendations to the Commission on how to address these problems.*

**Composition:** N/A

**Established through the agreement/convention text:** No

**Established through a CoP or other means:** Established in 1995 through [CM 95-15](#)

## **Indian Ocean Tuna Commission (IOTC)**

**Compliance/Implementation Committee:** Yes – [Compliance Committee](#) – setup in 2003 and strengthened in 2009.

**Objective/Mandate of the Compliance/Implementation Committee:**

### **IOTC Rules of Procedure**

Appendix V - Article 2:

- a) The Compliance Committee shall be responsible for reviewing all aspects of CPCs individual compliance with binding IOTC Conservation and Management Measures in the IOTC area of competence.*
- b) The Compliance Committee shall report directly to the Commission on its deliberations and recommendations.*
- c) The Compliance Committee shall cooperate closely with other IOTC subsidiary bodies in order to remain informed on all issues concerning compliance with binding IOTC Conservation and Management Measures.*
- d) The work of the Compliance Committee shall be guided by the following overall objectives:
  - i) To provide a structured forum for discussion of all problems related to effective implementation of, and compliance with, binding IOTC Conservation and Management Measures in the IOTC Area.*
  - ii) To gather and review information relevant to compliance with IOTC Conservation and Management Measures from IOTC subsidiary bodies, and from Reports of Implementation submitted by CPCs.*
  - iii) To identify and discuss problems related to the implementation of, and compliance with, binding IOTC Conservation and Management Measures, and to make recommendations to the Commission on how to address these problems.**

### **Composition:**

It is constituted of policy makers (Commissioners) and fisheries monitoring, control and surveillance (MCS) practitioners.

**Established through the agreement/convention text:** No

**Established through a CoP or other means:** Establish by the Commission in 2003

## Northwest Atlantic Fisheries Organization (NAFO)

**Compliance/Implementation Committee:** No - but does have a [Standing Committee on International Control \(STACTIC\)](#) - one of many roles includes compliance monitoring and reporting/conducting compliance reviews, but no direct dedicated compliance/implementation body.

### **Objective/Mandate of the Compliance/Implementation Committee:**

#### [Rules and Procedures](#)

*5.1 There shall be a Standing Committee on International Control (STACTIC) consisting of one representative from each Contracting Party, who may be assisted by experts and advisers, and which shall:*

- A. review and evaluate the effectiveness of the Conservation and Enforcement Measures established by the Commission;*
- B. review and evaluate the compliance by Contracting Parties with the Conservation and Enforcement Measures established by the Commission;*
- C. review and evaluate reports on the inspection and surveillance activities carried out by the Contracting Parties;*
- D. review and evaluate reports on infringements, including serious infringements, and the follow-up thereto by Contracting Parties;*
- E. produce an annual report on compliance by all Contracting Parties for the preceding calendar year. The report shall be based on a comprehensive provisional compilation by the Executive Secretary of relevant reports submitted by Contracting Parties and any other information available to the Executive Secretary. This compilation shall be dispatched to all Contracting Parties together with the draft provisional agenda pursuant to Rule 4.1;*
- F. promote the co-ordination of inspection and surveillance activities carried out by the Contracting Parties;*
- G. develop inspection methodologies;*
- H. consider the practical problems of international measures of control;*
- I. consider such other technical matters as may be referred to it by the Commission;*
- J. obtain and compile all available information on the fishing activities of non-Contracting Parties in the Regulatory Area, including details on the type, flag and name of vessels and reported or estimated catches by species and area;*
- K. obtain and compile all available information on landings, and transshipments of fish caught in the Regulatory Area by non Contracting Parties, including details on the name and flag of the vessels; the quantities by species landed, transshipped; and the countries and ports through which the product was shipped;*
- L. examine and assess all options open to NAFO Contracting Parties including measures to control imports of fish caught by non-Contracting Party vessels in the Regulatory Area and to prevent the reflagging of fishing vessels to fish under the flags of non-Contracting Parties;*

- M. to review information regarding non-Contracting Party vessels engaged in illegal, unreported and unregulated (IUU) fishing and compile a list of such vessels; and*  
*N. make appropriate recommendations to the Commission,*

**Composition:**

STATIC consists of one representative from each Commission member who is assisted by experts and advisers.

**Established through the agreement/convention text:** No

But [convention text](#) indicates:

“5. The Commission shall:

(b) establish such subsidiary bodies as it considers desirable for the exercise of its functions and direct their activities;”

**Established through a CoP or other means:** Yes

## North East Atlantic Fisheries Commission (NEAFC)

**Compliance/Implementation Committee:** Yes – Permanent Committee on Monitoring and Compliance (PECMAC).

Established pursuant to Article 3(8) of the [Convention](#), and Chapter 5 of the [Rules of Procedure](#).

### **Objective/Mandate of the Compliance/Implementation Committee:**

#### [Terms of Reference:](#)

*The functions of the Committee shall be to:*

- a) *provide the Commission with information, technical advice and proposal relating to the implementation of, and compliance with, recommendations and measures established under Articles 5, 6, 7, 8 and 9 of the Convention;*
- b) *monitor and review the implementation of the Scheme of Control and Enforcement*

*In performing its functions, the Committee shall*

- a) *review and evaluate the effectiveness of the recommendations and measures established by the Commission;*
- b) *review and evaluate reports on the inspection and surveillance activities carried out by the Contracting Parties;*
- c) *receive reports from each Contracting Party and each co-operating non-Contracting Party on measures taken to investigate and penalise infringements and serious infringements;*
- d) *review and evaluate compliance by each Contracting Party and each co-operating non-Contracting Party with recommendations and measures adopted by the Commission;*
- e) *promote the coordination of inspection and surveillance activities carried out by the Contracting Parties;*
- f) *seek advice from the Joint Advisory Group on Data Management, as appropriate;*
- g) *provide a forum of information concerning the implementation of, and compliance with, recommendations and measures established by the Commission and complementary measures adopted within areas under national fisheries' jurisdiction of the Contracting Parties;*
- h) *produce an annual report on compliance by all Contracting Parties and all co-operating non-Contracting Parties for the preceding calendar year;*
- i) *consider such other technical matters as may be referred to it by the Commission;*
- j) *report to the Commission its findings, conclusions and/or proposals; and*
- k) *any proposals by Contracting Parties or other papers to be considered by the Committee shall be forwarded to the Secretariat not less than 30 days before the meeting and shall immediately be circulated to Contracting Parties.*

**Composition:**

Comprised of representatives from all the Contracting Parties.

**Established through the agreement/convention text:** No, the compliance/implementation body was not directly established through convention text. However, article 3(8) of Convention indicates that:

“8. The Commission may set up such Committees and other subsidiary bodies as it considers desirable for the exercise of its duties and functions.”

**Established through a CoP or other means:** Yes, established by NEAFC after adoption of the Convention.

## South East Atlantic Fisheries Organization (SEAFO)

**Compliance/Implementation Committee:** Yes – [Compliance Committee](#)

**Objective/Mandate of the Compliance/Implementation Committee:**

### [ARTICLE 9. THE COMPLIANCE COMMITTEE](#)

1. *Each Contracting Party shall be entitled to appoint one representative to the Compliance Committee who may be accompanied by alternate representatives and advisers.*
2. *Unless otherwise decided by the Commission, the functions of the Compliance Committee shall be to provide the Commission with information, advice and recommendations on the implementation of, and compliance with, conservation and management measures.*
3. *In performing its functions, the Compliance Committee shall conduct activities as the Commission may direct and shall:*
  - (a) *coordinate compliance activities undertaken by or on behalf of the Organisation*
  - (b) *coordinate with the Scientific Committee on matters of common concern; and*
  - (c) *perform such other tasks as directed by the Commission.*
4. *The Compliance Committee shall meet as deemed necessary by the Commission.*
5. *The Compliance Committee shall adopt, and amend as necessary, rules of procedure for the conduct of its meetings and the exercise of its functions. The rules and any amendments thereto shall be approved by the Commission. The rules shall include procedures for the presentation of minority reports.*
6. *The Compliance Committee may establish, with the approval of the Commission, such subsidiary bodies as are necessary for the performance of its functions.*

### **Composition:**

Article 9.1 – Each Contracting Party shall be entitled to appoint one representative to the Compliance Committee who may be accompanied by alternative representatives and advisors.

**Established through the agreement/convention text:** Yes (Article 9), with Terms of Reference adopted by the Commission afterwards.

**Established through a CoP or other means:** [Terms of Reference](#) adopted by the Commission in 2007.

# South Pacific Regional Fisheries Management Organization (SPRFMO)

**Compliance/Implementation Committee:** Yes - [Compliance and Technical Committee \(CTC\)](#)

**Objective/Mandate of the Compliance/Implementation Committee:**

Article 11.2:

2. *The functions of the Compliance and Technical Committee shall be to:*

*(a) monitor and review the implementation of, and compliance with, conservation and management measures adopted under this Convention and provide advice and recommendations to the Commission;*

*(b) provide such other information, technical advice and recommendations as it considers appropriate or as may be requested by the Commission relating to the implementation of and compliance with the provisions of this Convention and the conservation and management measures adopted, or under consideration, by the Commission; and 11*

*(c) review the implementation of cooperative measures for monitoring, control, and surveillance and enforcement adopted by the Commission and provide advice and recommendations to the Commission.*

**Composition:**

Article 11.1: Each member of the Commission shall be entitled to appoint one representative to the Compliance and Technical Committee who may be accompanied by alternate representatives and advisers.

**Established through the agreement/convention text:** Yes

Article 6.2 (c): The Organisation shall consist of: A Compliance and Technical Committee

**Established through a CoP or other means:** No

# Western and Central Pacific Fisheries Commission (WCPFC)

**Compliance/Implementation Committee:** Yes – [Technical and Compliance Committee](#)

## **Objective/Mandate of the Compliance/Implementation Committee:**

Article 14:

1. *The functions of the Technical and Compliance Committee shall be to:*
  - (a) *provide the Commission with information, technical advice and recommendations relating to the implementation of, and compliance with, conservation and management measures;*
  - (b) *monitor and review compliance with conservation and management measures adopted by the Commission and make such recommendations to the Commission as may be necessary; and*
  - (c) *review the implementation of cooperative measures for monitoring, control, surveillance and enforcement adopted by the Commission and make such recommendations to the Commission as may be necessary.*
  
2. *In carrying out its functions, the Committee shall:*
  - (a) *provide a forum for exchange of information concerning the means by which they are applying the conservation and management measures adopted by the Commission on the high seas and complementary measures in waters under national jurisdiction;*
  - (b) *receive reports from each member of the Commission relating to measures taken to monitor, investigate and penalize violations of provisions of this Convention and measures adopted pursuant thereto;*
  - (c) *in consultation with the Scientific Committee, recommend to the Commission the priorities and objectives of the regional observer programme, when established, and assess the results of that programme;*
  - (d) *consider and investigate such other matters as may be referred to it by the Commission, including developing and reviewing measures to provide for the verification and validation of fisheries data;*
  - (e) *make recommendations to the Commission on technical matters such as fishing vessel and gear markings;*
  - (f) *in consultation with the Scientific Committee, make recommendations to the Commission on the fishing gear and technology which may be used;*
  - (g) *report to the Commission its findings or conclusions on the extent of compliance with conservation and management measures; and*
  - (h) *make recommendations to the Commission on matters relating to monitoring, control, surveillance and enforcement.*
  
4. *The Committee may establish, with the approval of the Commission, such subsidiary bodies as may be necessary for the performance of its functions.*
  
5. *The Committee shall exercise its functions in accordance with such guidelines and directives as the Commission may adopt.*

**Composition:**

Article 11.2: Each member of the Commission shall be entitled to appoint one representative to each Committee who may be accompanied by other experts and advisers. Such representatives shall have appropriate qualifications or relevant experience in the area of competence of the Committee.

**Established through the agreement/convention text:** Yes

Article 11.1: There are hereby established as subsidiary bodies to the Commission a Scientific Committee and a Technical and Compliance Committee to provide advice and recommendations to the Commission on matters within their respective areas of competence

**Established through a CoP or other means:** No