



Report of the 16th Session of the Standing Committee on Administration and Finance

Hyderabad, India, 12–13 June 2019

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ACRONYMS

ABNJ	Areas Beyond National Jurisdiction
CLAV	Consolidated List of Active Vessels
CMM	Conservation and Management Measure (of the IOTC; Resolutions and Recommendations)
CNCP	Cooperating Non-Contracting Parties
CoC	Compliance Committee, of the IOTC
CPCs	Contracting Parties and Cooperating non-Contracting Parties
CSM	Compliance Support Mission
FAO	Food and Agriculture Organization of the United Nations
ICRU	Improved Cost Recovery Uplift
IOTC	Indian Ocean Tuna Commission
MPF	Meeting Participation Fund
MSE	Management Strategy Evaluation
PSC	Project Servicing Costs
SC	Scientific Committee of the IOTC
SCAF	Standing Committee on Administration and Finance, of the IOTC

HOW TO INTERPRET TERMINOLOGY CONTAINED IN THIS REPORT

The following report has been written using the following terms and associated definitions so as to remove ambiguity surrounding how particular paragraphs should be interpreted.

Level 1: *From a subsidiary body of the Commission to the next level in the structure of the Commission:*

RECOMMENDED, RECOMMENDATION: Any conclusion or request for an action to be undertaken, from a subsidiary body of the Commission (Committee or Working Party), which is to be formally provided to the next level in the structure of the Commission for its consideration/endorsement (e.g. from a Working Party to the Scientific Committee; from a Committee to the Commission). The intention is that the higher body will consider the recommended action for endorsement under its own mandate, if the subsidiary body does not already have the required mandate. Ideally this should be task specific and contain a timeframe for completion.

Level 2: *From a subsidiary body of the Commission to a CPC, the IOTC Secretariat, or other body (not the Commission) to carry out a specified task:*

REQUESTED: This term should only be used by a subsidiary body of the Commission if it does not wish to have the request formally adopted/endorsed by the next level in the structure of the Commission. For example, if a Committee wishes to seek additional input from a CPC on a particular topic, but does not wish to formalise the request beyond the mandate of the Committee, it may request that a set action be undertaken. Ideally this should be task specific and contain a timeframe for the completion.

Level 3: *General terms to be used for consistency:*

AGREED: Any point of discussion from a meeting which the IOTC body considers to be an agreed course of action covered by its mandate, which has not already been dealt with under Level 1 or level 2 above; a general point of agreement among delegations/participants of a meeting which does not need to be considered/adopted by the next level in the Commission's structure.

NOTED/NOTING: Any point of discussion from a meeting which the IOTC body considers to be important enough to record in a meeting report for future reference.

Any other term: Any other term may be used in addition to the Level 3 terms to highlight to the reader of and IOTC report, the importance of the relevant paragraph. However, other terms used are considered for explanatory/informational purposes only and shall have no higher rating within the reporting terminology hierarchy than Level 3, described above (e.g. **CONSIDERED; URGED; ACKNOWLEDGED**).

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Executive summary

The 16th Session of the Standing Committee on Administration and Finance (SCAF) of the Indian Ocean Tuna Commission (IOTC) was held in Hyderabad, India 12-13 June 2019. A total of 66 participants attended the Session, comprising delegates from 23 Contracting Parties, 1 Cooperating Non-Contracting Party, and 3 Observers as well as 5 Invited Experts. The meeting was Chaired by the SCAF Chairperson, Mr Hussain Sinan (Maldives).

The following recommendations were made to the Commission.

Contributions Outstanding

SCAF16.01 Para 26: The SCAF **EXPRESSED** its concerns that the CPCs that have long-term payment problems (Eritrea, I.R Iran, Sudan and Yemen) were not present at the meeting. The SCAF **RECOMMENDED** that should any of these CPCs be present at the Commission meeting, they should be invited to provide the Commission with an update on their circumstances.

Programme of Work and Budget Estimates for 2020 and tentatively for 2021

SCAF16.02 Para 41: The SCAF **RECOMMENDED** that the Commission adopt the Programme of Work and Budget and the scheme of contributions for 2020 and 2021 (indicative) as outlined in Appendix 4 and Appendix 5 respectively, while **NOTING** that the *Program of Work* for the IOTC Secretariat is based on the assumption that the nature and extent of the activities undertaken by the IOTC Secretariat will remain within the current scope. Any new activities agreed to during the 23rd Session of the Commission (S23) that have budgetary consequences, will require an amendment of the figures.

Proposed Amendments to the IOTC Financial Regulations

SCAF16.03 Para 43: The SCAF made further amendments to the regulations and **RECOMMENDED** that the Commission consider the proposed amendments (Appendix 6) and forward an agreed final version to the FAO Finance Committee for consideration in 2019.

Report on the Outcomes of the FAO Internal Audit of the IOTC Secretariat

SCAF16.04 Para 49: The SCAF **RECOMMENDED** that the Secretariat report to SCAF17 on the actions it has taken in response to the improvements proposed in the Audit Report.

Date and place of the 17th and 18th Sessions of the Standing Committee on Administration and Finance

SCAF16.05 Para 52: The SCAF **RECOMMENDED** to the Commission that the 17th and 18th Sessions of the SCAF in 2020 and 2021 respectively, should be held prior to the corresponding annual Commission meetings **NOTING** the dates and locations will be decided during the 23rd Session of the Commission.

Review of the Draft and Adoption of the Report of the 16th Session of the Standing Committee on Administration and Finance

SCAF16.06 Para 54: The SCAF **RECOMMENDED** that the Commission consider the consolidated set of recommendations arising from SCAF16, provided at Appendix 8.

1. Opening of the Session

1. The 16th Session of the Standing Committee on Administration and Finance (SCAF16) of the Indian Ocean Tuna Commission (IOTC) was held in Hyderabad, India 12-13 June 2019. A total of 66 participants attended the Session, comprising delegates from 23 Contracting Parties, 1 Cooperating Non-Contracting Party, and 3 Observers including 5 Invited Experts. The list of participants is provided in [Appendix 1](#). The meeting was conducted by the SCAF Chairperson, Mr Hussain Sinan (Maldives).

2. Adoption of the agenda and arrangements for the Session

2. The SCAF **ADOPTED** the Agenda as provided in [Appendix 2](#). The documents presented to the SCAF are listed in [Appendix 3](#).

3. Admission of observers

3. In accordance with Rule XIV of the IOTC Rules of Procedure (2014), the following observers attended the meeting:
 - a. *Non-governmental Organisations (NGO)*
 - International Seafood Sustainable Foundation
 - Pew Charitable Trusts
 - b. *Invited Experts*
 - Taiwan, Province of China.

4. Report of the IOTC Secretariat: 2018

4. The SCAF **NOTED** document IOTC–2019–SCAF16–03 which outlined the activities of the Secretariat in 2018.
 - 4.1 *Support to scientific activities*
 5. The SCAF **NOTED** that the work carried out by the IOTC Secretariat in support of the IOTC science processes in 2018 included supporting the Scientific Committee, seven scientific working party meetings and the TCMP. The Secretariat led the drafting of over 60 meeting documents, and the Secretariat's stock assessment expert produced the 2018 yellowfin tuna assessment. The Secretariat facilitated a training workshop on CPUE for neritic tunas and the ROS standards workshop. In addition, the Science team managed and developed a range of externally funded projects.
 6. The SCAF **NOTED** that the data team continued its work to strengthen the collection, storage and provision of IOTC data, and providing in-country capacity building to CPCs.
 - 4.2 *Support to compliance activities*
 7. The SCAF **NOTED** that the inaugural meeting of the WPICMM was held in 2018. The Compliance team continued its work maintaining the IOTC vessels lists and supporting the Compliance Committee. The team also coordinated the implementation of the Regional Observer Programme (ROP) to monitor transshipment at sea for large-scale tuna longline vessels, including developing the new ROP contract which was awarded in 2018. The Compliance team also undertook 10 in-country missions in support of the implementation of IOTC CMMs.
 8. The SCAF **NOTED** with concern that the position of IOTC Compliance Manager was not filled in 2018, due to FAO not endorsing the recruitment process undertaken. The Executive Secretary informed the SCAF that the recruitment would be undertaken in 2019.
 9. The SCAF **NOTED** and encouraged CPCs to raise this matter with their FAO Representatives.
 - 4.3 *Communications and public information*
 10. The SCAF **NOTED** that the Secretariat developed several externally funded projects in 2018 that will require a range of communication activities in future years.
 - 4.4 *Support to meetings*

11. The SCAF **NOTED** that the Secretariat continued to facilitate all IOTC meetings in the form of logistical support and preparation of reports and documents. 14 meetings were held in 2018, including the inaugural meetings of the TCP/R and WPICMM.

4.5 Information Technology

12. The SCAF **NOTED** the ongoing development of the E-Maris and e-PSM tools that will assist monitoring control and surveillance activities.

4.6 Administration

13. The SCAF **NOTED** that the Secretariat continued to improve processes for estimating and monitoring budgets; in addition to introducing new FAO recruitment, travel and contracting processes. The SCAF also **NOTED** a marked increase in the volume of project management activities undertaken within the Secretariat.

5. Financial Statements

5.1 Financial statement: Fiscal year 2018

14. The SCAF **NOTED** paper IOTC–2019–SCAF16–04_Rev1 which provided the financial statement for the Commission for the period 1 January 2018 to 31 December 2018.
15. The SCAF **RECALLED** that the total budget for 2018 was US\$ 3,905,655 but the contributions received amounted to US\$ 3,838,743. This constituted a short fall of US\$ 66,916. The Commission expenditures in 2018 amounted to US\$ 3,302,139. This was US\$ 536,604 less than it received in contributions.
16. The SCAF **NOTED** that the 2018 budget was under spent by US\$ 603,516 (a -15% variance). This under-expenditure was mainly due to reduced staff costs as the Science Manager did not commence his duties until the second half of 2018, and the P1 Data Expert post was not filled until the end of the year. In addition, two General Service posts remained vacant.
17. The SCAF **NOTED** that the Improved Cost Recovery Uplift (ICRU) charges that cover field project personnel costs (for staff and consultants) continued to be applied by FAO in 2018. The SCAF **REITERATED** its reluctance to accept these charges.
18. The SCAF **NOTED** an overall saving of 11% in operating expenses in 2018.
19. The SCAF **NOTED** that extra-budgetary funds continue to be an important part of the overall budget. The extra-budgetary contributions utilised in 2018 totalled US\$ 1,644,278.
20. The SCAF **NOTED** that the overall balance of IOTC funds, as of 31 December 2018, was positive, at around US\$ 1.3 million.

5.2 Contributions Outstanding

21. The SCAF **NOTED** the information presented in document IOTC–2019–SCAF16–05_Rev1 on the contributions outstanding.
22. The SCAF **NOTED** that, as of 31 December 2018, the cumulative total of outstanding contribution payments was US\$ 2,889,010 and this constituted an increase of 2% from the previous year. The SCAF also **NOTED** that 11 Members and 3 ex Members had contributions in arrears.
23. The SCAF **NOTED** that, as of the SCAF16 meeting date (12 June 2019), seven members: Eritrea, I.R. Iran, Mozambique, Sierra Leone, Federal Republic of Somalia, Sudan and Yemen had contributions that were in arrears by two years or more. The SCAF **REITERATED** that the financial position of the Commission is a shared responsibility of all Contracting Parties (Members) and the level of unpaid contributions merits immediate attention from those concerned.
24. The SCAF **ACKNOWLEDGED** a range of difficulties being faced by CPCs to pay their contributions on time and **NOTED** that many CPCs have financial cycles that are not compatible with the deadlines for the IOTC contribution payments.
25. The CPCs that had contributions outstanding updated the SCAF on the status of, and plans for, their pending contribution payments.

26. The SCAF **EXPRESSED** its concerns that the CPCs that have long-term payment problems (Eritrea, I.R Iran, Sudan and Yemen) were not present at the meeting. The SCAF **RECOMMENDED** that should any of these CPCs be present at the Commission meeting, they should be invited to provide the Commission with an update on their circumstances.
27. The SCAF **REQUESTED** the Executive Secretary to use the FAO network to contact the three ex-members of IOTC (Belize, Guinea and Vanuatu) and attempt to obtain their outstanding contributions.
28. The SCAF **NOTED** the Secretariat's request for guidance on the interpretation of Regulation V.3 of the IOTC financial regulations related to the definition of arrears. The outcomes of the SCAF's deliberations are reflected in the proposed amendments to the IOTC Financial Regulations in Appendix 6. The SCAF **NOTED** that there was no agreement on the interpretation of 'arrears'.
29. Some CPCs informed the SCAF that they are not receiving the Call For Funds sent out by FAO (invoices for the IOTC contributions) or are receiving them late. The SCAF **REQUESTED** the Secretariat to work with CPs to confirm the addresses being used by FAO.

5.3 IOTC Meeting Participation Fund

30. The SCAF **NOTED** document IOTC–2019–SCAF16–06 which provides past and present details of the MPF. A total of 122 participants were supported by the MPF in 2018 and the total expenditure was US\$ 250,903.
31. The SCAF also **NOTED** the importance of extra-budgetary contributions in 2018. These amounted to \$50,903 and were essential in meeting the current demand for MPF support.
32. The SCAF **REITERATED** the importance of the MPF to ensure the full participation of CPCs to IOTC meetings, and to this end, the SCAF **AGREED** that the annual MPF budget should be increased to US\$ 250,000.
33. The SCAF **ACKNOWLEDGED** the extra contributions to the MPF received from China and Australia in 2018 and **WELCOMED** their respective commitments to make similar contributions.

6. Programme of Work and Budget Estimates for 2020 and tentatively for 2021

34. The SCAF **NOTED** document IOTC–2019–SCAF16–07 which outlined the budget estimates for the IOTC Secretariat's *Program of Work* for the financial period 1 January to 31 December 2020, together with indicative figures for the 2021 financial period.
35. The SCAF **NOTED** that the proposed budget for 2020 constituted a 3% overall increase from the 2019 budget.
36. The SCAF **NOTED** that the budget lines for capacity building in 2020 had been reduced. The Executive Secretary informed the SCAF that capacity building activities would not be reduced despite the reduction in the budget, as this work would continue through the use of extra budgetary sources.
37. Australia confirmed that it would contribute AUD\$ 300,000 over 3 years to the IOTC's proposed work on the yellowfin tuna MSE. The SCAF **THANKED** Australia for this extra-budgetary contribution.
38. As a result of this contribution, the SCAF **AGREED** that the Consultants/Service Providers budget line (which included some MSE work) should be reduced by US\$ 50,000 and the MPF budget increased by this amount to US\$ 250,000 (as proposed in para 32 above).
39. Australia informed the SCAF that it plans to contribute AUD\$ 40,000 over 2 years (2020/2021) to support capacity building in VMS in the IOTC Area.
40. The SCAF **AGREED** on an Administrative Budget for 2020 of US\$ 4,367,285 (Appendix 4). The SCAF also **AGREED** on the corresponding revised table of contributions (Appendix 5) and **NOTED** that Sierra Leone had been re-included in the table for 2020, **NOTING** that Sierra Leone had not paid their contributions for a number of years.
41. The SCAF **RECOMMENDED** that the Commission adopt the Programme of Work and Budget and the scheme of contributions for 2020 and 2021 (indicative) as outlined in Appendix 4 and Appendix 5, respectively, while **NOTING** that the *Program of Work* for the IOTC Secretariat is based on the assumption that the nature and extent of the activities undertaken by the IOTC Secretariat will remain within the current scope. Any new activities agreed to during the 23rd Session of the Commission (S23) that have budgetary consequences, will require an amendment of the figures.

7. Proposed Amendments to the IOTC Financial Regulations

42. The SCAF **NOTED** document IOTC-2019-SCAF16-08, produced by a SCAF working group, that provided proposed amendments for the IOTC Financial Regulations.
43. The SCAF made further amendments to the regulations and **RECOMMENDED** that the Commission consider the proposed amendments (Appendix 6) and forward an agreed final version to the FAO Finance Committee for consideration in 2019.

8. Report on the Outcomes of the FAO Internal Audit of the IOTC Secretariat

44. The SCAF **NOTED** document IOTC-2019-SCAF16-10 which reported on the outcomes of the 2019 audit of the Secretariat undertaken by the FAO Office of the Inspector General.
45. The SCAF **NOTED** that the main objective of the review was to assess whether the IOTC Secretariat is managing its administrative and financial operations in an economic, efficient and effective way. This included assessing:
 - (i) the general control environment at the IOTC Secretariat;
 - (ii) governance and the impact of the IOTC status as an Article XIV body and its relation with FAO, in the economy, efficiency and effectiveness of its operations;
 - (iii) the extent to which financial and administrative operations are conducted with due care and in compliance with FAO rules.
46. The SCAF **NOTED** that the audit concluded that the Secretariat is now operating in a strong control environment and with general adherence to FAO's policies and procedures; and it has a solid administrative team with a strong knowledge of FAO rules and regulations, under strong leadership. The report also identified a range of opportunities for further improvements.
47. The SCAF **NOTED** proposals to amend the IOTC Rules of Procedures are publicly available 60 days before Commission meetings and **NOTED** the FAO has participatory rights in IOTC meetings. The SCAF **NOTED** the FAO should make use of these processes to consult with the IOTC on amendments to its Rules of Procedures.
48. The SCAF **NOTED** CPCs' ongoing commitment to develop a process for selection and appointment of the IOTC Executive Secretary that was mutually agreeable to the Commission and the FAO.
49. The SCAF **RECOMMENDED** that the Secretariat report to SCAF17 on the actions it has taken in response to the improvements proposed in the Audit Report.

9. Update on the SCAF Actions Related to the 2nd Performance Review (Resolution 16/03 on the second performance review follow-up)

50. The SCAF **NOTED** paper IOTC–2019–SCAF16–08 which outlined the four actions allocated to the SCAF by the Commission arising from the 2nd Performance Review of the IOTC (IOTC-2016-PRIOTC02-R).
51. The SCAF **DISCUSSED** each action and updated the status, timelines and priorities for each (Appendix 7).

10. Other business

10.1 Date and place of the 17th and 18th Sessions of the Standing Committee on Administration and Finance

52. The SCAF **RECOMMENDED** to the Commission that the 17th and 18th Sessions of the SCAF in 2020 and 2021 respectively, should be held prior to the corresponding annual Commission meetings **NOTING** the dates and locations will be decided during the 23rd Session of the Commission.
53. The SCAF was unanimous in **THANKING** India for hosting the 16th Session of the SCAF and commended the local authorities of Hyderabad on the warm welcome, the excellent facilities and the assistance provided to the IOTC Secretariat in the organisation and running of the Session.

11. Review of the Draft and Adoption of the Report of the 16th Session of the Standing Committee on Administration and Finance

54. The SCAF **RECOMMENDED** that the Commission consider the consolidated set of recommendations arising from SCAF16, provided at Appendix 8.
55. The report of the 16th Session of the Standing Committee on Administration and Finance (IOTC–2019–SCAF16–R) was **ADOPTED** on 13 June 2019.

Appendix 1

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Appendix 2

Agenda of the 16th Session Standing Committee on Administration and Finance

Date: 12-13 June 2019

Location: Hotel Novotel Conference Centre, Hyderabad, India

Chairperson: Mr Hussain Sinan (Maldives); **Vice-Chairperson:** Mr Muhammad Farhan Khan (Pakistan)

Wednesday, 12 June: 09:00 – 17:00

- 1. OPENING OF THE SESSION**
- 2. LETTERS OF CREDENTIALS / ADMISSION OF OBSERVERS**
- 3. ADOPTION OF THE AGENDA AND ARRANGEMENTS FOR THE SESSION** — IOTC-2019-SCAF16-01b IOTC-2019-SCAF16-02
- 4. REPORT OF THE SECRETARIAT: 2018** — IOTC-2019-SCAF16-03
- 5. FINANCIAL STATEMENTS**
 - 5.1 Financial Statement: Fiscal Year 2018 — IOTC-2019-SCAF16-04_Rev1
 - 5.2 Contributions Outstanding — IOTC-2019-SCAF16-05_Rev1
 - 5.3 IOTC Meeting Participation Fund — IOTC-2019-SCAF16-06
- 6. PROGRAMME OF WORK AND BUDGET ESTIMATES FOR 2020 AND TENTATIVELY FOR 2021** — IOTC-2019-SCAF16-07
- 7. PROPOSED AMENDMENTS TO THE IOTC FINANCIAL REGULATIONS** – IOTC-2019-SCAF16-09
- 8. REPORT ON THE OUTCOMES OF THE FAO INTERNAL AUDIT OF THE IOTC SECRETARIAT** – IOTC-2019-SCAF16-10
- 9. UPDATE OF THE SCAF ACTIONS RELATED TO THE 2ND PERFORMANCE REVIEW** — IOTC-2019-SCAF16-08
The SCAF is responsible for four actions arising from the recommendations from the Report of the 2nd IOTC Performance Review Panel (IOTC-2016-PRIOTC02-R). The SCAF is invited to discuss the progress of these activities.
- 10. OTHER BUSINESS**
 - 10.1 Date and place of the 17th and 18th Sessions of the Standing Committee on Administration and Finance.

Thursday, 13 June: 14.00 – 17.00

ADOPTION OF THE REPORT OF SCAF16

Appendix 3 List of Documents

Document	Title
IOTC-2019-SCAF16-01a	Draft agenda for SCAF16 (12 April).
IOTC-2019-SCAF16-01b	Annotated draft agenda for SCAF16 (13 May).
IOTC-2019-SCAF16-02	List of documents.
IOTC-2019-SCAF16-03	Report of the IOTC Secretariat on the year 2018.
IOTC-2019-SCAF16-04_Rev1	Financial Statement for 2018.
IOTC-2019-SCAF16-05_Rev1	Contributions Outstanding.
IOTC-2019-SCAF16-06	IOTC Meeting Participation Fund: 2020 expected and 2021 proposal.
IOTC-2019-SCAF16-07	Provisional Program of work and budget for 2020 (and Indicative Budget for 2021).
IOTC-2019-SCAF16-08	Update on progress implementing the recommendations of the second performance review.
IOTC-2019-SCAF16-09	Proposed amendments to the IOTC Financial Regulations.
IOTC-2019-SCAF16-10	Report on the audit of the IOTC Secretariat by FAO.

Appendix 4

Proposed budget for 2020 and indicative budget for 2021 (in US\$)

		Actuals 2018	2019	2020	2021
1	Staff costs				
1.1	Professional				
	Executive Secretary (D1)	171,728	174,785	185,095	188,797
	<i>Science</i>				
	Science Manager (P5)	73,346	145,588	135,319	138,025
	Science Coordinator (P4)	-	0	0	0
	Stock Assessment Expert (P4)	106,913	108,327	117,749	120,104
	Fishery Officer (Science P3)	64,198	96,533	104,852	106,949
	<i>Compliance</i>				
	Compliance Manager (P5)	-	143,376	135,319	138,025
	Compliance Coordinator (P4)	115,232	133,488	125,113	127,615
	Compliance Officer (P3)	115,853	123,986	125,381	127,889
	Fishery Officer (P1)	-	55,917	57,497	58,647
	<i>Data</i>				
	Data Coordinator (P4)	111,127	111,108	120,503	122,913
	Statistician (P3)	97,660	98,589	107,201	109,345
	<i>Admin.</i>				
	Administrative Officer (P3)	121,005	111,689	118,378	120,746
1.2	General Service				
	Administrative Assistant	24,346	18,790	18,643	19,016
	Office Associate	17,283	15,204	13,749	14,024
	Database Assistant	24,575	18,508	19,213	19,598
	Office Assistant	5,200	13,174	13,746	14,020
	Driver	13,279	10,095	10,169	10,372
	Overtime	2,695	5,450	5,100	5,202
	Total Salary Costs	1,064,439	1,384,607	1,413,027	1,441,288
1.3	Employer Pension and Health	288,469	379,736	386,021	393,741
1.4	Employer FAO Entitlement Fund	560,868	781,501	644,315	657,201
1.5	Adjustment entitlement fund	50,013			
1.6	Improved Cost Recovery Uplift	56,872	71,709	70,858	72,275
	Total Staff Costs	2,020,662	2,617,553	2,514,220	2,564,505
2	Operating Expenditures				
2.1	Capacity Building	86,741	100,000	40,000	40,000
2.2	Co-funding Science/Data grants	70,268	205,000	188,400	37,350
2.3	Co-funding Compliance grants	22,714	30,000	0	0
2.4	Misc. Contingencies	0	0	0	0
2.5	Consultants/Service Providers	175,325	155,000	568,600	508,600
2.6	Duty travel	111,173	150,000	160,000	160,000
2.7	Meetings	127,169	145,000	135,000	135,000
2.8	Interpretation	97,343	140,000	140,000	140,000
2.9	Translation	101,441	110,000	110,000	110,000
2.10	Equipment	30,769	25,000	25,000	25,000
2.11	General Operating Expenses	60,038	68,000	68,000	68,000
2.12	Printing	16,203	0	0	0
2.13	Contingencies	0	10,000	10,000	10,000
	Total OE	899,182	1,138,000	1,445,000	1,233,950
	SUB-TOTAL	2,919,843	3,755,553	3,959,220	3,798,455
3	Additional Contributions Seychelles	0	-20,100	-20,100	-20,100
4	FAO Servicing Costs	131,393	169,684	178,165	170,930
5	Deficit Contingency	-	150,000		
6	Meeting Participation Fund	250,903	200,000	250,000	250,000
	GRAND TOTAL	3,302,139	4,255,137	4,367,285	4,199,285
				3%	-3.8%

Appendix 5 Scale of Contributions for 2019 (in US\$)

Country	World Bank Classification in 2017	OECD Membership	Average catch for 2015-2017 (in metric tons)	Base Contribution	Operations Contribution	GNI Contribution	Catch Contribution	Total Contribution (in USD)
Australia	High	Yes	5,302	\$14,088	\$18,197	\$142,605	\$17,185	\$192,075
Bangladesh	Middle	No	1,363	\$14,088	\$18,197	\$35,651	\$884	\$68,820
China	Middle	No	75,362	\$14,088	\$18,197	\$35,651	\$48,856	\$116,792
Comoros	Middle	No	12,074	\$14,088	\$18,197	\$35,651	\$7,827	\$75,763
Eritrea	Low	No	219	\$14,088	\$0	\$0	\$142	\$14,230
European Union	High	Yes	212,798	\$14,088	\$18,197	\$142,605	\$689,759	\$864,649
France(Terr)	High	Yes	0	\$14,088	\$0	\$142,605	\$0	\$156,693
India	Middle	No	162,262	\$14,088	\$18,197	\$35,651	\$105,191	\$173,127
Indonesia	Middle	No	366,204	\$14,088	\$18,197	\$35,651	\$237,401	\$305,337
Iran, Islamic Republic of	Middle	No	246,478	\$14,088	\$18,197	\$35,651	\$159,786	\$227,722
Japan	High	Yes	15,449	\$14,088	\$18,197	\$142,605	\$50,075	\$224,965
Kenya	Middle	No	734	\$14,088	\$18,197	\$35,651	\$476	\$68,412
Korea, Rep of	High	Yes	21,874	\$14,088	\$18,197	\$142,605	\$70,903	\$245,793
Madagascar	Low	No	8,625	\$14,088	\$18,197	\$0	\$5,591	\$37,876
Malaysia	Middle	No	20,384	\$14,088	\$18,197	\$35,651	\$13,214	\$81,151
Maldives	Middle	No	130,739	\$14,088	\$18,197	\$35,651	\$84,755	\$152,691
Mauritius	Middle	No	13,780	\$14,088	\$18,197	\$35,651	\$8,933	\$76,869
Mozambique	Low	No	4,332	\$14,088	\$18,197	\$0	\$2,808	\$35,093
Oman	High	No	50,107	\$14,088	\$18,197	\$142,605	\$32,483	\$207,374
Pakistan	Middle	No	59,238	\$14,088	\$18,197	\$35,651	\$38,403	\$106,339
Philippines	Middle	No	243	\$14,088	\$0	\$35,651	\$158	\$49,897
Seychelles	High	No	118,278	\$14,088	\$18,197	\$142,605	\$76,677	\$251,567
Sierra Leone	Low	No	0	\$14,088	\$0	\$0	\$0	\$14,088
Somalia	Low	No	0	\$14,088	\$0	\$0	\$0	\$14,088
South Africa	Middle	No	496	\$14,088	\$18,197	\$35,651	\$321	\$68,258
Sri Lanka	Middle	No	92,495	\$14,088	\$18,197	\$35,651	\$59,962	\$127,899
Sudan	Middle	No	34	\$14,088	\$0	\$35,651	\$22	\$49,761
Tanzania	Low	No	7,343	\$14,088	\$18,197	\$0	\$4,760	\$37,045
Thailand	Middle	No	12,780	\$14,088	\$18,197	\$35,651	\$8,285	\$76,221
United Kingdom(Terr)	High	Yes	4	\$14,088	\$0	\$142,605	\$12	\$156,705
Yemen	Middle	No	34,010	\$14,088	\$18,197	\$35,651	\$22,048	\$89,984
			Total	436,729	436,729	1,746,914	1,746,914	4,367,285

The World Bank has replaced GNP with gross national income (GNI per capita). GNI more fairly compares nations with widely different populations and standards of living.

Appendix 6

Proposed Financial Regulations

Regulation I - Applicability

1. These regulations shall govern the financial administration of the INDIAN OCEAN TUNA COMMISSION.
2. The financial rules and procedures of FAO shall apply to the activities of the Commission for matters not covered by these Regulations.

Regulation II - The Financial Period

The financial period shall be one calendar year, commencing from January 1 and ending 31 December, both dates inclusive.

Regulation III - The Budget

1. ~~The Budget Estimates~~ The Operating Budget for the current year and the draft budget for the ensuing and following year shall be prepared by the Executive Secretary of the Commission and shall be circulated to all Contracting Parties (Members) of the Commission not less than 60 days before the commencement of each regular session.
2. The Operating Budget for the current year and the draft budget for the ensuing and following year ~~The Budget Estimates~~ shall cover income and expenditures for the financial period to which they relate, and shall be presented in United States dollars (US\$).
3. The Operating Budget for the current year and the draft budget for the ensuing and following year ~~The Budget Estimates~~ shall reflect the programme of work for the financial period elaborated by appropriate information and data, and shall include the programme of work and such other information, annexes or explanatory statements as may be requested by the Commission.
4. The Budget shall comprise:
 - (a) The Administrative Budget referred to in paragraph 5 relating to the regular contributions of Contracting Parties (Members) of the Commission payable under Article XIII.1 of the Agreement for the Establishment of the Indian Ocean Tuna Commission (the Agreement) and expenditures chargeable to the budget of the Commission under Article VIII, paragraphs 3 and 4: The Administrative Budget shall reflect in an appropriate manner the expenses to be borne by FAO under Article VIII, paragraph 3;
 - (b) ~~The Special Budgets relating to funds made available during the financial period referred to in Paragraph 7 relating to special budgets proposed by the Executive Secretary.~~
 - (b)(c) ~~The Trusts Funds referred~~ referred to in Article VI, Paragraph 1 relating to funds available during the financial period from donations and other forms of assistance received from organizations, individuals and other sources.
5. The Administrative Budget for the financial period shall consist of provisions for:
 - Administrative Expenditures, including an amount to cover the Organization's-FAO's Project Servicing costs-Costs equal to 4.5% of the total Budget of the Commission.
 - Expenditure for the activities of the Commission. Estimates under this chapter may be presented in a single total only but detailed estimates for each particular project will be prepared and approved as "supplementary details" of the Administrative Budget.
 - Contingencies ~~will~~ that cover expenditures that exceed operating costs
 - Working Capital as stipulated in Article IV, Paragraph 5.
6. The Administrative Budget shall be ~~adopted~~ considered by Standing Committee of Finance and Administration (SCAF) and ~~subsequently~~ adopted by the Commission with such amendments as ~~the Commission~~ may deem necessary.
7. A mid-term review of the current year shall be prepared by the Secretariat and shall be considered by SCAF and adopted by the Commission reflecting any changes in appropriations.
8. Special Budgets may be proposed by the Executive Secretary and adopted by the Commission in exceptional circumstances as appropriate. Special Budget proposals shall be prepared in a form consistent with the approved budget.

The provisions of these regulations shall be applicable to the proposed special budget to the extent possible.

8. The Administrative Budget of the Commission shall be submitted to the Finance Committee of ~~the Organization~~ FAO for ~~its information~~ its information.

Regulation IV - Appropriations

1. After the budgets have been adopted the appropriations therein shall constitute be the authority for the Commission to incur obligations and make payments for the purposes for which the appropriations were voted and up to the amounts so voted.

2. ~~In cases of emergency, the~~ The Executive Secretary on advice from the Chairperson of the Commission is authorized to accept additional contributions from a Contracting Party (-Member) or Contracting Parties (Members) of the Commission or grants from other sources and incur expenditure against them for ~~emergency~~ action for which the said contributions or grants were specifically provided. Such contributions or grants and expenditure relating thereto will be reported in detail to the next regular session of the Commission.

3. Any unliquidated prior year obligation shall be cancelled or where an obligation remains a valid charge, transferred against current appropriations.

~~4. Transfers between provisions as per Regulation 3.5 may be effected by the Commission on the recommendation of the Secretary of the Commission. The Executive Secretary may authorize the transfer of up to [150] percent of appropriations between sub-items as specified in Article III.5 of this Regulations upon approval from the Chairperson of the Commission until a mid-term review. The Executive Secretary may authorize the transfer of up to [10] percent after a mid-term review. -All such transfers must be reported to the next annual meeting regular session of the Commission the following year.~~

5. The Commission shall establish a working capital fund for the purpose of accommodating operating expenditures prior to the receipts of funds from members of the Commission. The source of this working capital fund shall be surplus appropriations accumulated over the years. The Commission shall consider establishing a rules of procedure for the operation of the working capital fund which will include a mechanism to fund the working capital fund if there are no surplus appropriations. The Contracting Parties shall not interpret the funds in working capital as a means of avoiding contributions.

4. —

Regulation V - Provision of Funds

1. The appropriations of the Administrative Budget shall be financed by:

a) contributions from Contracting Parties (Members) of the Commission determined and payable in accordance with Article XIII paragraphs 1, 3 and 4 of the Agreement. Pending receipt of annual contributions, the Executive Secretary is authorized to finance budgeted operating expenditures or other such expenditures the Commission may approve, from the Working Capital Fund. Pending receipt of annual contributions, the Commission is authorized to finance budgeted expenditure from the uncommitted balance of the Administrative Budget.

b) Voluntary contributions made by members, CNCPs or other entities;

a)c) Other funds to which the Commission may become entitled or may receive.

2. ~~Before the beginning of each calendar year the~~ Following the adoption of the budget, the -Executive Secretary shall inform the Commission's Contracting Parties (Members) of their obligations in respect of annual contributions to the budget, in addition to any arrears that Member have incurred into.-

3. [Contributions shall be due and payable in full within 30 days of the receipt of the communication of the Secretary referred to in Regulation V.2 above, or as of the first days of the calendar year to which they relate, whichever is later. As of 1 January of the following calendar year, the unpaid balance of such contributions shall be considered to be one year in arrears.-, irrespective of whether the full or a partial amount remains unpaid.]

or

3b [Contributions shall be due and payable in full as soon as possible and not later than [1 March/ 1June] of the calendar year to which they relate. As of [2 March /2 June] in the calendar year to which the contributions relate, the unpaid balance of such contributions shall be considered to be one year in arrears.]

~~3.4.~~ The annual contributions to the Administrative Budget shall be assessed in United States dollars and shall be calculated in accordance with the scheme annexed to these Regulations and forming an integral part thereof. The contributions shall be paid in US dollars unless otherwise determined by the Commission.

5. Any new Contracting Party (-Member) of the Commission shall pay a contribution to the budget in accordance with the provisions of Article XIII, paragraph 3 of the Agreement for the financial period in which the membership becomes effective, such contribution beginning with the quarter in which membership is acquired.

~~4.6.~~ The Executive Secretary shall submit to each regular session of the Commission a report on the collection of funds from Members of the Commission, any voluntary contributions, or any other revenue income received, and any advances made from the working capital fund.

Regulation VI - Funds

1. All contributions, donations and other forms of assistance received from organisations, individuals and other sources under Article XIII, paragraph 6 of the Agreement, shall may be placed in a Trust Fund administered by the Director-General in conformity with the Financial Regulations of FAO ~~upon approval of the Commission.~~

2. The purpose and limits of each trust fund, reserve and special account shall be clearly defined by the Commission.

~~1.3.~~ With respect to the Trust Fund referred to in Regulation VI.1, the ~~Organization-FAO~~ shall maintain accounts:

~~1.13.1~~ A General Account to which shall be credited receipts of all contributions paid under Article XIII, paragraph 1 and from which shall be met all expenditure chargeable against the sums allocated to the annual Administrative Budget.

~~1.23.2~~ Such additional accounts as may be necessary to which shall be credited the additional contributions under Regulation IV.2 and from which shall be met all expenditures relating thereto.

4. The Executive Secretary shall submit a report indicating the status of the Trust Fund to each regular session of the ~~Standing Committee on Administration and Finance (SCAF)-Commission.~~

Regulation VII

These Regulations may be amended by the Commission in accordance with Article VI, paragraph 7.

Regulation VIII

SCAF shall review and forward to the Commission its comments, if any, on the reports the Executive Secretary is required by these regulations to be submitted the Commission.

Appendix 7

SCAF: Update On Progress Regarding Resolution 16/03 – On The second Performance Review Follow-up

(NOTE: NUMBERING AND RECOMMENDATIONS AS PER APPENDIX I OF RESOLUTION 09/01)

REFERENCE #	RECOMMENDATION	RESPONSIBILITY	UPDATE/STATUS	TIMELINE	PRIORITY
			STATUS	TIMELINE	PRIORITY
PRIOTC02.23 (para. 228)	<p>Availability of resources for IOTC activities & Efficiency and cost-effectiveness</p> <p>b) The PRIOTC02 RECOMMENDED that: consistent with best practice governance procedures, that the Commission:</p> <p>(i). Amend or replace the IOTC Financial Regulations (1999) as a matter of urgency in order to increase Contracting Parties' as well as the Secretariat's control of all the budget elements, including staff costs of the budget, consistent with best practice governance procedures.</p>	<i>Standing Committee on Administration and Finance</i>	WORKING GROUP FORMED. ONGOING PROCESS	2020	HIGH
	(ii). A system of cost-recovery should be considered as a possible funding mechanism for new activities and/or ongoing activities.		A COST RECOVERY PROCESS IS BEING APPLIED TO R.O.P		
	(iii). An annual external financial audit of the organisation be implemented as soon as possible, and include a focus on whether IOTC is efficiently and effectively managing its human and financial resources, including those of the IOTC Secretariat.		CARRIED OUT FEB 2019. SCAF TO ESTABLISH MONITORING MECHANISM	Completed	HIGH
	(iv). Develop guidelines for the acceptance of extra-budgetary funds to undertake elements of the Commission's Program of Work, or those of its subsidiary bodies.		WORKING GROUP FORMED. ONGOING PROCESS	2020	HIGH

Appendix 8

Consolidated set of recommendations

Contributions Outstanding

SCAF16.01. Para 26: The SCAF **EXPRESSED** its concerns that the CPCs that have long-term payment problems (Eritrea, I.R Iran, Sudan and Yemen) were not present at the meeting. The SCAF **RECOMMENDED** that should any of these CPCs be present at the Commission meeting, they should be invited to provide the Commission with an update on their circumstances.

Programme of Work and Budget Estimates for 2020 and tentatively for 2021

SCAF16.02. Para 41: The SCAF **RECOMMENDED** that the Commission adopt the Programme of Work and Budget and the scheme of contributions for 2020 and 2021 (indicative) as outlined in Appendix 4 and Appendix 5 respectively, while **NOTING** that the *Program of Work* for the IOTC Secretariat is based on the assumption that the nature and extent of the activities undertaken by the IOTC Secretariat will remain within the current scope. Any new activities agreed to during the 23rd Session of the Commission (S23) that have budgetary consequences, will require an amendment of the figures.

Proposed Amendments to the IOTC Financial Regulations

SCAF16.03. Para 43: The SCAF made further amendments to the regulations and **RECOMMENDED** that the Commission consider the proposed amendments (Appendix 6) and forward an agreed final version to the FAO Finance Committee for consideration in 2019.

Report on the Outcomes of the FAO Internal Audit of the IOTC Secretariat

SCAF16.04. Para 49: The SCAF **RECOMMENDED** that the Secretariat report to SCAF17 on the actions it has taken in response to the improvements proposed in the Audit Report.

Date and place of the 17th and 18th Sessions of the Standing Committee on Administration and Finance

SCAF16.05. Para 52: The SCAF **RECOMMENDED** to the Commission that the 17th and 18th Sessions of the SCAF in 2020 and 2021 respectively, should be held prior to the corresponding annual Commission meetings **NOTING** the dates and locations will be decided during the 23rd Session of the Commission.

Review of the Draft and of the Report of the 16th Session of the Standing Committee on Administration and Finance

SCAF16.06. Para 55: The SCAF **RECOMMENDED** that the Commission consider the consolidated set of recommendations arising from SCAF16, provided at Appendix 8.