



FFA

BASIC TEXTS

OF THE

**PACIFIC ISLANDS
FORUM FISHERIES AGENCY**

Pacific Islands Forum Fisheries Agency

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PREFACE

The Pacific Islands Forum Fisheries Agency (FFA) was established as an intergovernmental organisation following the adoption and signature of the South Pacific Forum Fisheries Agency Convention (FFA Convention) in July 1979. The Convention emanated from the Forum Declaration on the Law of the Sea and a Regional Fisheries Agency which had been adopted by the 8th South Pacific Forum Leaders meeting in Port Moresby on 31 August 1977.

More than 40 years later, FFA remains the premier fisheries advisory organisation of the Pacific Islands region, working to ensure the collective vision that our people enjoy the great possible social and economic benefits from the sustainable use of offshore fisheries resources.

The FFA Basic Texts compiles all the instruments and policies that provide the legal and administrative framework for FFA's governance. Part I contains the key governance documents including the 1977 Forum Leaders Declaration, the FFA Convention, the host agreement between the Government of the Solomon Islands and the FFA, and the rules of procedures of the Forum Fisheries Committee. Part II contains the regulations relating to staff and the financial management of the organisation. Part III provides the key policies of the organisation including the FFA Climate Change Strategy.

Good governance is of critical importance to the organisation and its mission of empowering FFA Members to take collective and national action for the sustainable use of offshore fisheries resources.

As the FFA celebrates 45 years of service to the region, it is an honour to present this document which serves as the point of reference for information on FFA's governance for Members, the Secretariat, development partners and stakeholders.

Dr. Manumatavai Tupou-Roosen
FFA DIRECTOR-GENERAL

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PART I



EIGHTH SOUTH PACIFIC FORUM

Port Moresby, Papua New Guinea
29 - 31 August 1977

DECLARATION ON LAW OF THE SEA AND A REGIONAL FISHERIES AGENCY

The members of the South Pacific Forum meeting at Port Moresby

1. Recall their decisions to co-ordinate and harmonise their policies on the law of the sea so as to ensure the maximum benefits for their peoples and for the region as a whole and, specifically, to harmonise fisheries policies in the region and to adopt a co-ordinated approach in their negotiations with distant water fishing countries;
2. Note with appreciation the report on the establishment of a South Pacific Regional Fisheries Agency prepared by the Director of SPEC at their request;
3. Recognise that in the continued absence of a comprehensive international convention on the law of the sea and in view of the action taken by a large number of countries including distant water fishing countries exploiting the valuable highly migratory species in the region, the countries in the region should move quickly to establish fishing or exclusive economic zones and should take steps to co-ordinate their policies and activities if they are to secure more than a very small part of the benefits from their resources for their peoples;
4. Undertake to complete as early as practicable and, if possible, by 31 March 1978, the legislative and administrative actions necessary to establish extended fisheries jurisdiction to the fullest extent permissible under international law and to apply within their zones principles and measures for the exploration, exploitation, management and conservation of the living resources.
5. Decide to enter immediately into consultations at the official level with a view to:
 - agreeing on principles and measures to be applied in the establishment of their extended fisheries jurisdictions,
 - agreeing at least provisionally, on a common basis for negotiations with distant water fishing interests in relation to highly migratory species common to the region; and

- ensuring that agreements concluded in the near future with distant water fishing interests are compatible with these principles and measures and are so framed as to take account of principles and measures that the coastal state might agree to in future regional arrangements.
6. Recognise that the coastal countries of the South Pacific have an immediate and continuing need for information and advice concerning the living resources in the region and the ways and means of securing maximum benefits from them as well as for an effective instrument to co-ordinate policies in this field, and that management of resources moving over vast areas, control of their exploitation, surveillance and policing and collection of adequate statistical and other information require co-ordination by a regional agency.
 7. Decide to establish a South Pacific Regional Fisheries Agency open to all Forum countries and all countries in the South Pacific with coastal state interests in the region who support the sovereign rights of the coastal state to conserve and manage living resources, including highly migratory species, in its 200 mile zone.
 8. Request the Director of SPEC to convene and service not later than the end of November 1977 a meeting of officials of all interested coastal states in the region
 - a. to prepare a draft convention establishing a South Pacific regional fisheries agency;
 - b. to make arrangements for the setting up of an interim agency office and for the appointment of a core staff for a period of one year;
 - c. to discuss and prepare guidelines for the activities of the agency which should include:
 - i. collection, analysis and evaluation of statistical and other biological and economic information relating to the conservation and utilisation of living resources to assist member governments in the development of policies aimed at securing maximum benefits for their peoples;
 - ii. assistance, if requested, in negotiations with distant water fishing nations and other extra-regional interests;
 - iii. facilitation, without detriment to the sovereign rights of coastal countries, of a regional approach to management and to licensing including agreement on generally applicable policies and measures, pooling of information and standardisation of procedures and forms;
 - iv. facilitation of collaboration among coastal countries and of cooperation by others in surveillance and enforcement;

- v. provision of advice on necessary conservation measures including the need for a widely based organisation envisaged in the Informal Composite Negotiating Text;
- vi. technical advice;
- vii. execution of agreed administrative activities.

In preparing these guidelines the officials should take into consideration the suggestions contained in the annex to the Director's Report to the Forum.

9. Welcome the offer of the Government of the Solomon Islands that the permanent headquarters of the Agency be located in Honiara, Solomon Islands.
10. Invite the Government of Australia to agree to the Agency office being located on an interim basis in Cronulla, New South Wales, pending its establishment on a permanent basis in Honiara, Solomon Islands.
11. Request the Director of SPEC to seek funds from governments and international agencies for the operation of the Agency until such time as it is self-supporting and to recommend an equitable formula for the costs to be levied on participating governments.
12. Draw the attention of the South Pacific Conference to this Declaration and invite the members of the Conference to consider arrangements whereby governments and territories in the region with a common interest as coastal states can participate with members of the Forum in the conservation and management of the living resources of the region.

**PORT MORESBY
31 August 1977**

SOUTH PACIFIC FORUM FISHERIES AGENCY CONVENTION

THE GOVERNMENTS COMPRISING THE SOUTH PACIFIC FORUM

NOTING the Declaration on Law of the Sea and a Regional Fisheries Agency adopted at the 8th South Pacific Forum held in Port Moresby in August 1977;

RECOGNISING their common interest in the conservation and optimum utilisation of the living marine resources of the South Pacific region and in particular of the highly migratory species;

DESIRING to promote regional co-operation and co-ordination in respect of fisheries policies;

BEARING in mind recent developments in the Law of the Sea;

CONCERNED to secure the maximum benefits from the living marine resources of the region for their peoples and for the region as a whole and in particular the developing countries; and

DESIRING to facilitate the collection, analysis, evaluation and dissemination of relevant statistical, scientific and economic information about the living marine resources of the region, and in particular the highly migratory species;

HAVE AGREED as follows:

Article I Agency

1. There is hereby established a South Pacific Forum Fisheries Agency.
2. The Agency shall consist of a Forum Fisheries Committee and a Secretariat.
3. The seat of the Agency shall be at Honiara, Solomon Islands.

Article II Membership

Membership of the Agency shall be open to:

- a. members of the South Pacific Forum;
- b. other states or territories in the region on the recommendation of the Committee and with the approval of the Forum.

Article III Recognition of coastal states' rights

1. The parties to this Convention recognise that the coastal state has sovereign rights, for the purpose of exploring and exploiting, conserving and managing the living marine resources, including highly migratory species, within its exclusive economic zone or fishing zone which may extend 200 nautical miles from the baseline from which the breadth of its territorial sea is measured.
2. Without prejudice to Paragraph (1) of this Article the Parties recognise that effective co-operation for the conservation and optimum utilisation of the highly migratory species of the region will require the establishment of additional international machinery to provide for co-operation between all coastal states in the region and all states involved in the harvesting of such resources.

Article IV Committee

1. The Committee shall hold a regular session at least once every year. A special session shall be held at any time at the request of at least four Parties. The Committee shall endeavour to take decisions by consensus.
2. Where consensus is not possible each Party shall have one vote and decisions shall be taken by a two-thirds majority of the Parties present and voting.
3. The Committee shall adopt such rules of procedure and other internal administrative regulations as it considers necessary.
4. The Committee may establish such sub-committees, including technical and budget sub-committees as it may consider necessary.
5. The South Pacific Bureau for Economic Co-operation (SPEC) may participate in the work of the Committee. States, territories and other international organisations may participate as observers in accordance with such criteria as the Committee may determine.

Article V

Functions of the Committee

1. The functions of the Committee shall be as follows:
 - a. to provide detailed policy and administrative guidance and direction to the Agency;
 - b. to provide a forum for Parties to consult together on matters of common concern in the field of fisheries;
 - c. to carry out such other functions as may be necessary to give effect to this Convention.
2. In particular the Committee shall promote intra-regional co-ordination and co-operation in the following fields:
 - a. harmonisation of policies with respect to fisheries management;
 - b. co-operation in respect of relations with distant water fishing countries;
 - c. co-operation in surveillance and enforcement;
 - d. co-operation in respect of onshore fish processing;
 - e. co-operation in marketing;
 - f. co-operation in respect of access to the 200 mile zones of other Parties.

Article VI

Director, staff and budget

1. The Committee shall appoint a Director of the Agency on such conditions as it may determine.
2. The Committee may appoint a Deputy Director of the Agency on such conditions as it may determine.
3. The Director may appoint other staff in accordance with such rules and on such conditions as the Committee may determine.
4. The Director shall submit to the Committee for approval:
 - a. an annual report on the activities of the Agency for the preceding year;
 - b. a draft work program and budget for the succeeding year.
5. The approved report, budget and work program shall be submitted to the Forum.
6. The budget shall be financed by contributions according to the shares set out in the Annex to this Convention. The Annex shall be subject to review from time to time by the Committee.

7. The Committee shall adopt financial regulations for the administration of the finances of the Agency. Such regulations may authorise the Agency to accept contributions from private or public sources.
8. All questions concerning the budget of the Agency, including contributions to the budget, shall be determined by the Committee.
9. In advance of the Committee's approval of the budget, the Agency shall be entitled to incur expenditure up to a limit not exceeding two-thirds of the preceding year's approved budgetary expenditure.

Article VII

Functions of the Agency

Subject to direction by the Committee the Agency shall:

- a. collect, analyse, evaluate and disseminate to Parties relevant statistical and biological information with respect to the living marine resources of the region and in particular the highly migratory species;
- b. collect and disseminate to Parties relevant information concerning management procedures, legislation and agreements adopted by other countries both within and beyond the region;
- c. collect and disseminate to Parties relevant information on prices, shipping, processing and marketing of fish and fish products;
- d. provide, on request, to any Party technical advice and information, assistance in the development of fisheries policies and negotiations, and assistance in the issue of licences, the collection of fees or in matters pertaining to surveillance and enforcement;
- e. seek to establish working arrangements with relevant regional and international organisations, particularly the South Pacific Commission; and
- f. undertake such other functions the Committee may decide.

Article VIII

Legal status, privileges and immunities

1. The Agency shall have legal personality and in particular the capacity to contract, to acquire and dispose of movable and immovable property and to sue and be sued.
2. The Agency shall be immune from suit and other legal process and its premises, archives and property shall be inviolable.
3. Subject to approval by the Committee the Agency shall promptly conclude an agreement with the Government of Solomon Islands providing for such privileges and immunities as may be necessary for the proper discharge of the functions of the Agency.

Article IX Information

The Parties shall provide the Agency with available and appropriate information including:

- a. catch and effort statistics in respect of fishing operations in waters under their jurisdiction or conducted by vessels under their jurisdiction;
- b. relevant laws, regulations and international agreements;
- c. relevant biological and statistical data; and
- d. action with respect to decisions taken by the Committee.

Article X Signature, accession, entry into force

1. This Convention shall be open for signature by members of the South Pacific Forum.
2. This Convention is not subject to ratification and shall enter into force 30 days following the eighth signature. Thereafter it shall enter into force for any signing or acceding state thirty days after signature or the receipt by the depositary of an instrument of accession.
3. This Convention shall be deposited with the Government of Solomon Islands (herein referred to as the depositary) who shall be responsible for its registration with the United Nations.
4. States or territories admitted to membership of the Agency in accordance with Article II(b) shall deposit an instrument of accession with the depositary.
5. Reservations to this Convention shall not be permitted.

Article XI Withdrawal and amendment

1. Any Party may withdraw from this Convention by giving written notice to the depositary. Withdrawal shall take effect one year after receipt of such notice.
2. Any Party may propose amendments to the Convention for consideration by the Committee. The text of any amendment shall be adopted by a unanimous decision. The Committee may determine the procedures for the entry into force of amendments to this Convention.

IN WITNESS WHEREOF the undersigned, being duly authorised thereto by their respective Governments, have signed this Convention.

NOTE: The FFA Convention was opened for signature at Honiara on 10 July 1979. The original parties to the FFA Convention were Australia, Cook Islands, Fiji, Kiribati, Nauru, New Zealand, Solomon Islands, Tonga, Tuvalu, and Western Samoa.

Papua New Guinea acceded to the Convention on 13 September 1979.

Niue acceded to the Convention on 18 October 1979.

Vanuatu acceded to the Convention on 9 March 1981.

Palau acceded to the Convention on 14 April 1986.

Marshall Islands acceded to the Convention on 27 March 1987.

ANNEX

As amended by the Twelfth Meeting of the Forum Fisheries Committee, Suva, 4 - 8 May 1987

The following are the shares to be contributed by Parties to the Convention towards the budget of the Agency in accordance with Article VI(6) -

COUNTRY	% OF CORE BUDGET
Australia	37.000
Cook Islands	1.176
Federated States of Micronesia	2.236
Fiji	2.236
Kiribati	1.176
Marshall Islands	2.236
Nauru	1.176
New Zealand	37.000
Niue	1.176
Palau	2.236
Papua New Guinea	2.236
Samoa	2.236
Solomon Islands	2.236
Tonga	2.236
Tuvalu	1.176
Vanuatu	2.236

AGREEMENT CONCERNING THE STATUS, PRIVILEGES AND IMMUNITIES OF THE SOUTH PACIFIC FORUM FISHERIES AGENCY IN SOLOMON ISLANDS

The Government of Solomon Islands and the South Pacific Forum Fisheries Agency:

Having regard to Article VIII of the South Pacific Forum Fisheries Agency Convention;

Desiring to define the status, privileges and immunities in Solomon Islands of the South Pacific Forum Agency and its officers;

Having agreed as follows:

ARTICLE 1 - Interpretation

For the purpose of this Agreement

“Agency” means South Pacific Forum Fisheries Agency established by the South Pacific Forum Fisheries Agency Convention;

“Government” means Government of Solomon Islands;

“Act” means Diplomatic Privileges and Immunities Act as amended from time to time; and

“Vienna Convention” means Vienna Convention on Diplomatic Relations as defined in and given effect to by the Act, except that “the mission” shall be read as a reference to the Agency, **“member of the mission”** as officers of the Agency and **“the sending State”** as the Forum Fisheries Committee established by the South Pacific Forum Fisheries Agency Convention, or the home State of the officer concerned, as appropriate.

ARTICLE 2 - Capacity of the Agency

The Agency shall have the legal capacity of a body corporate, including the capacity to conclude contracts, and dispose of property, to sue and, subject to Article 3, to be sued.

ARTICLE 3 – Privileges and Immunities of the Agency

The Agency shall have the following privileges and immunities:

1. Immunity from suit and legal process except:
 - a. to the extent that the Director General has waived the immunity;
 - b. in respect of a counter-claim directly connected with a suit initiated by the Agency; and
 - c. in respect of civil action for personal injury arising from an accident involving a motor vehicle owned or operated by the Agency.
2. The like inviolability of official premises and archives as is accorded in respect of the official premises and archives of a diplomatic mission under the Vienna Convention;
3. Immunity in relation to its property and assets, wherever located and by whomsoever held, from search, requisition, confiscation, expropriation, or any other form of interference;
4. The like exemption from taxes and rates, other than taxes on the importation of goods, as is accorded to the Government of a foreign State under the Vienna Convention;
5. Exemption from taxes on the importation of goods directly imported by the Agency for its official use in Solomon Islands or for exportation, or on the importation of any publications of the Agency directly imported by it subject to compliance with such conditions as the Minister responsible for finance may determine for the protection of the revenue;
6. Exemption from prohibitions and restrictions on importation or exportation in the case of goods directly imported or exported by the Agency for its official use and in the case of any publications of the organization directly imported or exported by it, subject to compliance with such conditions as the Minister responsible for finance may determine for the protection of the public health, the prevention of diseases in plants and animals, and otherwise in the public interest;
7. The right to avail itself, for telegraphic communications sent by it and containing only matter intended for publication by the press or for broadcasting (including communications addressed to or dispatched from places outside Solomon Islands) of any reduced rates applicable for the corresponding service in the case of press communication; and
8. The right to freely receive, hold and invest in Solomon Islands and expatriate from Solomon Islands any type and amount of funds or of securities.

ARTICLE 4 – Premises and Essential Services

The Government shall assist the Agency to acquire suitable serviced land for office premises and for housing its officers, and shall take all reasonable steps to provide and maintain municipal services, including electricity, water, sewerage, telephone, telex, drainage, collection of refuse and fire protection to Agency premises.

ARTICLE 5 - Communications

1. The Government shall permit and protect free communications by any appropriate means by and to the Agency for all official purposes, and in the case of wireless transmission, shall assist in the allocation of a suitable broadcasting frequency.
2. The Agency may install or use a wireless transmitter only with consent of the Government.

ARTICLE 6 – Privileges and Immunities of Director General and Deputy Director General

1. The Director General and the Deputy Director General of the Agency shall have the like privileges and immunities as are accorded a diplomatic agent under the Vienna Convention.
2. The member of the family of the Director General and of the family of the Deputy Director General, forming part of the household of each, shall have the like privileges and immunities as are accorded the members of the family of a diplomatic agent under the Vienna Convention.

ARTICLE 7 – Privileges and Immunities of other Staff

1. Officers of the Agency other than the Director General and the Deputy Director General shall have the like privileges and immunities as are accorded members of the administrative and technical staff of a mission under the Vienna Convention.
2. Members of the family of an officer of the Agency other than the Director General or the Deputy Director General, forming part of his/her household, shall have the like privileges and immunities as are accorded the members of the family of a member of the administrative and technical staff of a mission under the Vienna Convention.

ARTICLE 8 – Application to Solomon Islands Nationals

Persons who are nationals of or permanently resident in Solomon Islands shall have the privileges and immunities set out in Article 6 and 7 only to the extent that they would have had those privileges and immunities under the Vienna Convention.

ARTICLE 9 – Education for Officers’ Children

The Government shall use its best endeavours to ensure that children of Agency officers have full opportunity to participate in primary and secondary schooling.

ARTICLE 10 – Conferring, removing and waving benefits.

Privileges and immunities under this Agreement shall be conferred and may be removed by the Government at the times and in the circumstances set out in Article 39 of the Vienna Convention, and may be waived in the circumstance set out in Article 32 of the Vienna Convention.

ARTICLE 11 - Consultations

At the request of the Government or the Agency, the Government and the Agency shall consult regarding the implementation of the Agreement, any proposed modifications or extensions to this Agreement, and any alleged abuse of the privileges and immunities provided by the Agreement. Any interpretation or application of this Agreement, or any modification or extension which is consistent with Article VIII or the South Pacific Forum Fisheries Agency Convention may be agreed by an exchange of notes between an authorized representative of the Government and the Director General of the Agency.

ARTICLE 12 – Entry into Force

This Agreement shall enter into force upon signature by the Director General of the Agency and by a representative of the Government.

ARTICLE 13 - Depositary

This Agreement shall be deposited with the Government and registered with the United Nations Organization.

Dated this 10th day of August in the year nineteen hundred and eighty four.

HON. GEORGE M. TALASASA
Minister for Foreign Affairs and
International Trade

PHILIPP MULLER
Director of the Agency

FORUM FISHERIES COMMITTEE - RULES OF PROCEDURE

As adopted by the Sixteenth Meeting of the Forum Fisheries Committee, Majuro, Marshall Islands, 2 - 5 May, 1989, pursuant to Article IV, paragraph 3 of the Convention Establishing the South Pacific Forum Fisheries Agency and amended by the Twenty-third Meeting of the Forum Fisheries Committee, Koror, Palau 6 - 12 May, 1993, the Seventh Annual Meeting of the Ministerial Forum Fisheries Committee, Madang, Papua New Guinea, 7-8 July 2010, the Seventy-eighth Meeting of the Officials Forum Fisheries Committee, Apia, Samoa, 19 July 2011, and the One Hundred and Twenty-sixth Meeting of the Forum Fisheries Committee, Majuro, Marshall Islands, 22 - 25 May, 2023.¹

Authorisation

1. These Rules of Procedure derive their authority from Article IV paragraph 3 of the Convention establishing the South Pacific Forum Fisheries Agency and cover all the work of the Forum Fisheries Committee and Sub-committees, both during sessions and over inter-sessional activities.

Adoption and Amendment

2. These Rules of Procedure were adopted by the Committee, at its sixteenth session, to facilitate its work and shall remain in force until amended by the Committee.

Membership

3. Applications for membership from non-Forum member nations require 90 days advance notice prior to a Session. Agreed criteria for membership, based on previous decisions reached by the Committee are at Appendix A.

Representation

4. The Committee shall comprise one representative of each of the member countries. The representative may be assisted by deputies. The delineation of decision-making roles of the Ministers and Officials within the Forum Fisheries Committee are attached as Appendix B.

¹ To ensure consistency, references to Director and Deputy Director in the Rules of Procedure have been revised to read Director-General and Deputy Director-General respectively.

- 4A. The Director-General, Deputy Director-General and other officers of the Agency, and advisers to the Agency shall also attend Committee meetings. However, at its discretion, the Committee may restrict its deliberations to representatives only, and such other persons that the Committee may invite.

Observer status

5. Subject to Article IV (5) of the FFA Convention States, territories, and other international organisations and non-governmental organisations may participate in the work of the Committee as observers in accordance with the following criteria -
- a. The State, territory, international organisation or non-governmental organisation must submit a written application for observer status to the Chair;
 - b. The application will be considered by the Committee. In considering the application the Committee will take into account the following matters -
 - i. whether the State, territory, international organisation or non-governmental organisation is situated in the Pacific Islands region or has a presence in or substantial connection with the Pacific Islands region;
 - ii. whether the State, territory, international organisation or non-governmental organisation has a fishing interest common to members of the Forum Fisheries Agency and recognises that coastal states has sovereign rights for the purpose of exploring and exploiting, conserving and managing, the living marine resources, including highly migratory species, within the exclusive economic zone or fisheries zone;
 - iii. whether the participation of the State, territory, international organisation or non-governmental organisation in the work of the Committee is likely to produce a significant and positive contribution to the work of the Committee;
 - iv. in the case of a territory, whether the territory is in an advanced stage of acquiring the competence to accede to the FFA Convention.
 - c. Observer status granted pursuant to this rule shall remain in effect until otherwise cancelled or revoked by the Committee.

Special procedures for South Pacific regional organisations

6. The representative of the Forum Secretariat, in accordance with Article IV(5) of the Convention, may, subject to rule 16, attend and participate in all sessions of the Committee. Representatives of other Pacific regional organisations that are represented in the Council of Regional Organisations in the Pacific (CROP) may attend and participate in all sessions of the Committee. The representatives of such organisations shall be accorded observer status and, without vote, may speak and participate in discussions.

Participation by observers

- 6A. Observers may attend and, subject to rule 16, participate in all sessions of the Committee. The Committee may require observers to withdraw from the whole or part of any particular session. Observers shall not vote or take part in the decision making processes of the Committee.

Guests

- 6B. The Committee may allow any person or organisation to attend particular sessions of the Committee where the person or organisation concerned is not eligible to apply for observer status. Attendance under this rule shall be subject to such conditions as the Committee may see fit to impose and shall not confer on the guest any right to participate in the work of the Committee. In accordance with rule 16 guests may address the Committee upon request by the Committee.

Procedure for Applications

- 6C. Applications for observer and guest status shall normally be made at least 90 days before the meeting at which such status is requested. Late applications will be considered only in exceptional circumstances determined by the Chair. Applications shall be in writing and shall be made through the Director-General. Upon receipt of an application the Director-General shall send a copy of the application to all member countries for consideration. If an affirmative response is received from all member countries the application shall be regarded as accepted. In the event that it is not possible for the Committee to reach a decision on an application before the session to which the application relates, the application shall be placed on the agenda for consideration before the main business of the session commences.
- 6D. At least 90 days prior to each Regular Session of the Committee the Director-General shall determine provisionally what States, territories, international organisations and other persons or organisations shall be invited to attend as observers and guests and shall submit the list to official contacts in all FFA member countries for approval.

[NOTE: Rules 5, 6, 6A, 6B, 6C and 6D were inserted by FFC23]

Revocation of observer status

- 6E. The Committee will automatically revoke the observer participation of any observer State, territory, international organisation or a non-governmental organisation, unless that observer has participated in at least one (1) session of any of the Committee or its subsidiary bodies in the preceding three (3) years, with the three years being a rolling three-year period. The Director-General shall notify the relevant State, territory, international organisation, or non-governmental organisation in writing where this rule has been triggered, and observer status revoked, for that State, territory or organisation.
- 6F. The automatic revocation of any observer status described in rule 6E does not preclude that State, territory, or organisation from reapplying for observer status to the Committee at any time.

[Note: Rules 6E and 6F were inserted by FFC126]

Sessions of the Committee

7. There shall be an annual Regular Session of the Committee. The Committee shall agree to the timing and venue for the next Regular Session, which is normally scheduled for the first week of May. The country providing the chair for the next session may request that the meeting be held in Honiara. The host country may request a change in timing provided no other member country objects and no less than 90 days advance notice is allowed.
8. A Special Session shall be held at any time at the request of at least four member countries. The Chair of the Committee may poll members on the need for a Special Session.

Conduct of Meetings

9. Meetings of the Committee shall be closed to the public unless the Committee decides otherwise.
10. The Committee shall make every effort to reach decisions by consensus and voting shall take place only when consensus cannot be reached and when a decision is urgent and essential. When voting is necessary it shall take place in accordance with Article IV paragraph 2 of the Convention establishing the South Pacific Forum Fisheries Agency, i.e., “each Party shall have one vote and decisions shall be taken by a two-thirds majority of the Parties present and voting”.

Quorum

11. In general each session will commence only when all member countries entitled to attend that particular meeting are either present or have sent an apology. However, two-thirds of the members entitled to attend shall constitute a quorum of the Committee.

Chairperson

12. The Committee shall appoint a Chairperson from representatives and the chairpersonship should normally rotate annually in alphabetical order of the member countries. If a member must decline the chairpersonship, the next member in rotation shall be nominated. In the event that the incumbent Chairperson is not able to attend a meeting, the Vice Chairperson shall assume the chair.
13. The Chairperson shall hold office from one regular session to the next. The Chairperson shall pass from the out-going to the in-coming Chairperson at the beginning of each annual regular session. In the event that the Chairperson cannot continue in office for the required period, the member country he represented shall be asked to nominate a substitute.

Vice Chair

14. The Vice-Chairperson shall be the representative of the member country which is next in line to the chairpersonship. The Vice-Chairperson will facilitate an opportunity for discussions and coordination of technical matters. However, all matters having implications for the Agency's work programme or budget require the Committee's consideration. The Vice-Chairperson may also serve as chair of any non-technical sub-committees set up during a session.

Control of Sessions

15. The Chair will be responsible for the control of all sessions of the Committee and for ensuring that the Rules of Procedure are adhered to. The Chairperson may nominate a deputy to chair any sub-committee or technical meeting, or allow such meetings to appoint a chair.
16. Each representative is entitled to speak on any item under debate, as are the Director-General and Deputy Director-General. Subject to the wish of the meeting, the Chairperson may give permission for other officers of the Agency and any adviser, observer or guest present at meetings to address the Committee when appropriate.

Documents for FFC Meetings

17. A provisional agenda for Regular Sessions of the Committee shall be distributed by the Agency. In addition to the proposed Work Programme and Budget, agenda items may include; items deferred or requested by previous Committees, items proposed by the Agency, and items proposed by members. The Committee shall otherwise determine the final agenda.

18. The provisional agenda together with working papers shall be distributed to members by the Director-General no less than 30 days prior to the Committee session. Items proposed by members for inclusion in the provisional agenda, together with supporting papers, shall, where possible, reach the Director-General no later than 60 days prior to the Committee session.
19. Documentation for Special Sessions should be made available by the Agency not less than 30 days before the session. In exceptional circumstances a special session may be convened without the requirement for prior circulation of documentation being met, provided all members agree.

Meeting Room

20. Seating arrangements for representatives shall be in alphabetical order. The Agency's Director-General will be seated next to the Chairperson, and the Chair may appoint an adviser from a delegation or an FFA officer to assist him or her. Provided there is adequate room, observers and invited guests may be seated at the main table and at the opposite side from the Chair.

Reports of Meetings

21. A draft summary report of all FFC meetings, which records all decisions adopted by the Committee shall be prepared by the Secretariat and approved by the Committee at the conclusion of each session. The Agency will send the final version of the report to all members and observers as soon as possible after the conclusion of each meeting.
22. The Committee may decide to appoint a drafting committee to assist the Secretariat in preparing the summary report. If required by the Committee, the drafting committee would normally be chaired by the Vice-Chair and comprise four representatives who have volunteered to serve on it.

Inter-Sessional Activities

23. In the period between Regular Sessions, the Chair will coordinate all activities relating to the Committee as follows:
 - a. chair any special session;
 - b. coordinate all recruitment procedures for the Director-General and Deputy Director-General positions;
 - c. lead Agency delegations to international meetings and missions on tour;
 - d. act as focus for information and public relations for the Committee; and
 - e. provide general oversight of the Agency's activities.

Appointment of Director-General and Deputy Director-General

24. The Committee shall appoint the Director-General and Deputy Director-General of the Agency in accordance with the agreed procedures for executive appointments.

Dispute Settlement

- 24A. Without prejudice to other options under national legislation and domestic processes to settle disputes, a FFA Member may choose to use the dispute settlement process set out in Appendix C.

APPENDIX A

AGREED CRITERIA FOR MEMBERSHIP

REFERENCE 1: FFA Convention, Article II

Membership of the Agency shall be open to:

- a. Members of the South Pacific Forum;
- b. Other States and territories in the region on the recommendation of the Committee and with the approval of the Forum.

REFERENCE 2: FFC10, Rarotonga, May 1985 (Record of Proceedings, paragraph 7)

The meeting discussed Palau's political status. In assessing the application from Palau, the Committee noted that no guidelines had previously been drawn up for consideration of applications for FFA membership. Previous applications had been considered against criteria used to assess applications for membership of SPEC and the Forum itself. Since these criteria might not be appropriate as guidelines for assessing applications for FFA membership, the Committee agreed to adopt a set of criteria.

A working group on membership criteria was established. On the recommendation of the working group the following factors were agreed as ones which the Committee would consider in coming to a decision on membership.

- a. the applicant must be a State or territory;
- b. it must be within the South Pacific region;
- c. it must support the purposes of the FFA Convention;
- d. it must be capable of discharging the obligations contained within the FFA Convention and provide an assurance to that effect;
- e. it must provide such other relevant information as the FFC requires; and

APPENDIX B

DECISION-MAKING ROLES FOR FFC MINISTERS AND FFC OFFICIALS

**REFERENCE: FFCMIN6, Madang, July 2010
(Record of Proceedings, paragraph 41)**

As agreed at the seventh annual meeting of the FFC Ministers, the purpose and broad decision-making roles of Forum Fisheries Ministers and Forum Fisheries Officials within the FFC is as follows:

Forum Fisheries Ministers

The Forum Fisheries Ministerial meeting is the paramount decision-making organ within the Forum Fisheries Committee. The Ministerial meeting is the conduit for reporting and exchange of information between Forum Leaders and the Forum Fisheries Agency. Forum Fisheries Ministers are therefore inherently responsible for all high level matters and are directly accountable to Forum Leaders on the implementation of the regional fisheries commitments and other decisions made by Leaders. Forum Fisheries Ministers will also decide on matters with significant resource implications, and may as they deem appropriate refer any matters to Officials for their action.

- a. To further this purpose, Forum Fisheries Ministers' responsibilities are, inter alia:
- b. Providing the highest level of strategic direction for the Agency and its programmes;
- c. Overseeing the implementation of decisions and outcomes of Pacific Forum Leaders, including the appropriate implementation (by the Secretariat) of the Pacific Plan as it relates to the work of the Agency;
- d. Reporting to Pacific Forum Leaders on the progress of the implementation of Leaders' decisions and on regional fisheries achievements and challenges;
- e. Reporting to Pacific Forum Leaders in accordance with Article VI (5) of the Forum Fisheries Agency Convention;
- f. Deciding on matters with significant resource implications;
- g. Appointing the Executives of the Agency; and
- h. Any other matters submitted by Officials for Ministerial endorsement.

Forum Fisheries Officials

The Fisheries Officials meeting is the decision-making organ responsible for providing detailed policy guidance to the Agency and most of the operational and administrative activity of the Forum Fisheries Committee. Fisheries Officials will also be tasked as deemed appropriate by Forum Fisheries Ministers.

To further this purpose, Fisheries Officials' responsibilities are, inter alia:

- a. Providing detailed policy guidance and direction to the Agency and to the two core programmes of the Agency, fisheries management and fisheries development, including at meetings of the Western and Central Pacific Fisheries Commission;²
- b. Conducting the recruitment, selection process of Executives of the Agency, and making recommendations to the Ministers on the appointments of such Executives;
- c. Providing guidance and directions to the Secretariat on all administrative matters including the approval of the annual work programme;
- d. Approving or varying Loan Agreements and any Contract (other than a contract for goods/services) between the Agency and another party, and may refer to the Ministers any matters which Officials determine carry significant resource implications and require Ministerial decision;
- e. Approving the annual budget;
- f. Appointing an auditor in accordance with Financial Regulation 20;
- g. Approving the Financial Regulations and any amendments thereto;
- h. Approving the Staff Regulations and any amendments thereto;
- i. Any other matters directed by Ministers for action by Officials; and
- j. Approving the Director General's annual report on the activities of the Agency for the preceding year.

² FFC Officials attend the FFC with the requisite authorisations to negotiate national positions on behalf of their respective governments.

APPENDIX C

DISPUTE SETTLEMENT

REFERENCE: **Officials FFC78, Apia, July 2011
(Record of Proceedings, paragraph 24)**

Where there is a dispute concerning fisheries between two or more members of the FFA, and the parties to the dispute wished to settle it expeditiously without recourse to binding procedures for the settlement of disputes under treaties applicable to the parties, the parties may refer it to an ad hoc panel established by them. They may request the Director General of FFA to assist in the selection of suitable persons to serve on such a panel, taking into account the nature of the dispute in question. This provision is voluntary in character.

RULES OF PROCEDURE FOR EXECUTIVE APPOINTMENTS

As adopted by the Twenty-second Meeting of the Forum Fisheries Committee, Alofi, Niue, 4 - 7 May, 1992, pursuant to Article IV, paragraph 3 of the Convention Establishing the South Pacific Forum Fisheries Agency and amended by the Twenty-ninth Meeting of the Forum Fisheries Committee, Vava'u, Tonga, 13 - 17 May 1996, the Fifty-ninth Meeting of the Forum Fisheries Committee, Majuro, Marshall Islands, 6-10 June 2005, Sixty-first Meeting of the Forum Fisheries Committee, Nadi, Fiji, 15-18 May 2006, the Sixty-seventh Meeting of the Forum Fisheries Committee, Koror, Palau, 12-16 May 2008, the Seventy-seventh Meeting of the Forum Fisheries Committee, Apia, Samoa, 23-28 May 2011 and the One hundred and Twenty-sixth Meeting of the Forum Fisheries Committee, Majuro, Republic of Marshall Islands, 3-6 July 2023.

Preliminary

1. Article VI of the Convention establishing the South Pacific Forum Fisheries Agency vests the power to make appointments to the positions of Director-General and Deputy Director-General in the Committee. [Amended by FFC59]
2. The Committee delegates the authority to appoint the Deputy Director-General to the Director-General.
3. These rules apply to the positions of Director-General and Deputy Director-General.
4. Only nationals of FFA member countries shall be eligible for appointment as Director-General or Deputy Director-General.
5. The duty statement for the Director-General shall be approved by the Committee. The review of the duty statement should be conducted at least every three years. The duty statement of the Deputy Director-General shall be approved by the Director-General.
6. The initial term of an appointment shall be for a period of three (3) years.
7. The Chair of the Committee (hereinafter referred to as “the Chair”) shall be responsible for all arrangements concerning the appointment of the Director-General but may call on the Secretariat for administrative assistance. The Director-General shall be responsible for all arrangements concerning the appointment of the Deputy Director-General.

Notification of vacancies to member countries

8. The Director-General shall send notification of a vacancy to official contacts in the governments of member countries at the same time that advertisements are placed.
9. In the event that an incumbent indicates an intention to vacate a position prior to the scheduled termination date, the Director-General shall advise the Chair and shall immediately notify the governments of member countries with a view to initiating the regular recruitment procedures as soon as possible.

Interim appointments

10. If the Director-General leaves his/her post and as a result there is an unfilled vacancy, the Deputy Director-General shall become the interim Director-General
11. If for any reason it is impossible or impracticable for the Deputy Director-General to assume the post of interim Director General, the Chair, in consultation with member governments, may appoint an interim Director- General on such terms and conditions as may be approved by the Committee. In these circumstances, the interim Director-General may be selected from the Secretariat or, if there is no suitable candidate in the Secretariat, from nominees of member countries.
12. If the Deputy Director-General leaves his/her post and if for any reason it is impossible or impracticable to appoint a Deputy Director-General in accordance with these rules before the incumbent leaves his/her post and as a result there is an unfilled vacancy for more than six months, the Chair, in consultation with member governments, may appoint an interim Deputy Director-General on such terms and conditions as may be approved by the Committee. Where as a result there is an unfilled vacancy for less than six months, the Director-General, in consultation with the Chair, may appoint an interim Deputy Director-General on such terms and conditions as may be approved by the Chair. The interim Deputy Director-General may be selected from the Secretariat or, if there is no suitable candidate in the Secretariat, from nominees of member countries.
13. Interim appointments stand until a permanent appointment is made. Interim appointments confer on the holder no assumption of permanency. Holders of an interim appointment shall not however be precluded from applying for permanent appointment in accordance with the provisions of these rules.

Advertisement

14. Vacancies for the Director-General position will be advertised at least six (6) months prior to the FFC session at which the appointment will be considered. The advertisement will specify a closing date which will not be less than three (3) months after the date of the first advertisement.

15. Vacancies for the Deputy Director-General position will be advertised at least three (3) months prior to the date at which the appointment will be considered. The advertisement will specify a closing date which will not be less than two (2) months after the date of the first advertisement.
16. Advertisements will be placed in the leading national newspaper of each member country, appropriate regional magazines or journals, public service gazettes and other publications at the discretion of the Chair.

Applications

17. Applications should be addressed in confidence to the Chair and should contain a full curriculum vitae of the candidate and the names and addresses of three professional referees. The Chair, in his/her discretion, may direct that applications be addressed to him/her care of the Secretariat and in such circumstances the Secretariat will act at the direction of the Chair.
18. Applications should reach the Chair by the closing date. Late applications will not be considered provided that such applications may, at the discretion of the Chair, be accepted in exceptional circumstances. The factors which are claimed to constitute exceptional circumstances must be set out in the late application.
19. In the event that the Committee decides to re-advertise a position, incumbents wishing to apply for re-appointment must submit an application following the same procedures as new applicants.

National support

20. Applicants must receive the endorsement of their Governments. Applications that do not have the endorsement of their Government will not be considered.

Short-listing of candidates for the Director-General position

21. At a session of the Committee, an independent agency shall be appointed. The independent agency may comprise of independent consultants or recruitment agencies as deemed appropriate by the Committee. Such an independent agency shall have experience in the work of human resource management and knowledge in the work of FFA and CROP agencies.
22. The function of the appointed independent agency shall be to review the applications received from the Chair and to draw up a short-list of not more than five candidates for consideration by the Committee. The independent agency shall not rank the candidates in the short-list.

23. In carrying out its function, the independent agency shall:
 - a. consider each application individually having regard to the core competencies as set out in the Duty Statement; and
 - b. prepare a report for circulation to member countries on each of the short-listed candidates.
24. The report of the independent agency shall be sent to the Chair six weeks after the closing date for applications. The Chair shall forward a copy of the same to each member country. Member countries may submit to the Chair comments on the short-list or on the report of the independent agency.

Interview process for the Director-General position

25. At an annual session of the Committee, the Committee shall conduct the interviews.
26. The Chair shall supply the Committee with the full list of applicants, the short-list, comments by member countries, and copies of the report of the independent agency on each candidate.

Final selection process for the Director-General position

27. The final selection of the candidate for appointment as Director-General shall be made at an annual session of the Committee.
28. In deciding upon appointments, the Committee shall make every effort to reach a decision by consensus but if this is not possible voting shall take place in accordance with Article IV, paragraph 2 of the Convention.

Short-listing of candidates for the Deputy Director-General position

29. At a session of the Committee, a sub-committee shall be appointed comprised of not more than five members, which shall be chaired by the Director-General (hereinafter referred to as the "selection panel").
30. The function of the selection panel shall be to review the applications received from the Director-General and to draw up a short-list of not more than five candidates. The selection panel shall not rank the candidates in the short-list.
31. In carrying out its function, the selection panel shall consider each application individually having regard to the core competencies as set out in the Duty Statement.

Interview for the Deputy Director-General position

32. The selection panel shall conduct the interviews and make a recommendation to the Director-General on the most appropriate candidate to fill the position.

Final selection process for the Deputy Director-General position

33. The appointment of the Deputy Director-General shall be made by the Director-General.

Performance reviews

34. Performance reviews shall be carried out for the Director-General before the end of their initial term to determine whether there is a need to advertise the position.
35. At a session of the Committee, the Committee shall appoint a subcommittee to conduct the performance review of the incumbent. This subcommittee may consist of the Chair, vice-Chair, not less than three and not more than five members who shall be appointed by the regular session of the Committee held under Article IV, paragraph 1 of the Convention. In deciding on the membership of the subcommittee, the Committee shall include consideration of sub-regional representation and gender balance where possible.
36. Any member country may submit comments to the sub-committee.
37. In undertaking the performance review, the sub-committee shall follow the process as set out in Appendix A.
38. Having completed the performance review, the sub-committee shall prepare a report which shall include the results of the performance review and the recommendations of the sub-committee.
39. The Chair shall circulate the sub-committee's report to member countries.
40. At a session of the Committee, the report of the sub-committee and any comments received from member countries shall be laid before the Committee for consideration.
41. In deciding upon whether or not to advertise the executive positions, the Committee shall make every effort to reach a decision by consensus but if this is not possible, voting shall take place in accordance with Article IV, paragraph 2 of the Convention.
42. The performance review of the incumbent and the decision by member countries on whether or not to advertise shall be completed at a session of the Committee, which takes into account the time frame requirements for advertisements under rule 14.
43. The performance review for the Deputy Director-General shall be conducted by the Director-General in accordance with the FFA Performance Management Procedures.

Amendment to the Rules

44. The Committee reserves the right to amend or waive these procedures should circumstances warrant this.

APPENDIX A

Process for performance reviews as agreed at FFC67

The process for performance review of the Director General shall be as follows:

1. Members shall be invited to provide to the sub-committee Chair an appraisal of the incumbent's performance assessing achievements against the FFA Strategic Plan and the Business Plan and against the incumbent's key tasks and responsibilities as set out in the Duty Statement.
2. The incumbent shall be required to complete the FFA Professional Staff Appraisal forms, and forward this electronically or by other means deemed appropriate, to the sub-committee.
3. Divisional Heads, and the Deputy Director-General, shall be invited to provide an appraisal of the incumbent's performance.
4. The sub-committee shall consider the assessments provided by Members, Divisional Heads, and the Deputy Director-General, consult with the incumbent on their self-appraisal, and make their own assessments.

APPENDIX B

Timeline for reappointment of Executives as agreed at FFC126

The following timeline relates to the process for re-appointment of the Director-General, namely rules 34 to 42.

1. At least four months before the FFC meeting (i.e. at least ten months ahead of the last day of the incumbent's initial term): The incumbent Director-General is invited to complete their FFA Professional Staff Appraisal form so that it will be ready for submission to sub-committee members as soon as the sub-committee is established. At the same time, Members are invited to complete an appraisal of the incumbent's performance, and to provide it to the sub-committee Chair in accordance with Appendix A (1), so that the appraisals or an aggregate thereof can be given to sub-committee members as soon as the sub-committee is established.
2. At least three months before the FFC Meeting: The sub-committee is appointed by the FFC in accordance with rule 35. This may be done by email consultation, videoconference, or in a physical meeting, as the FFC considers appropriate. Members of the sub-committee are then individually provided with the incumbent's self-appraisal, and the assessments or an aggregate thereof provided by Members, Divisional Heads and the Deputy Director-General.
3. At least two months before the FFC Meeting: The sub-committee meets as a group to consider the assessments provided by Members, Divisional Heads and the Deputy Director-General, and also consults with the incumbent on their self-appraisal. This may be done by videoconference, or in a physical meeting, as the FFC considers appropriate.
4. At least 30 days (one month) before the FFC Meeting: The sub-committee completes the performance review and finalises its report which includes the results of the performance review and its recommendations in accordance with rule 38.
5. At least 30 days (one month) before the FFC Meeting: The Chair circulates the sub-committee's report to Member countries in accordance with rule 39.
6. At least six months before the last day of the incumbent's initial term: The FFC meets to consider the report of the sub-committee and any comments received from Member countries in accordance with rule 40.

CONDUCT OF BUSINESS AT FORUM FISHERIES COMMITTEE MEETINGS

As adopted by the One hundred and Twenty-sixth Meeting of the Forum Fisheries Committee, Majuro, Republic of Marshall Islands, 3-6 July 2023.

1. In raising a point of order concerning the Meeting's procedure, a representative may not speak on the substance of the matter under discussion. Any point of order shall be decided immediately by the Chair. A representative may appeal against the ruling of the Chair which appeal shall immediately be put to the Meeting for decision. The Chair's ruling shall stand unless overruled by a consensus decision of the Meeting (and the Chair will not participate or vote in the decision in this regard).
2. Substantive motions and amendments shall normally be circulated to Members with the working papers for the Meeting at which they are to be considered. However, unless any representative calls for a postponement, the Chair may permit discussion and consideration of amendments without previous circulation.
3. Subject to Rule 1 above on points of order, the following motions shall have precedence, in order, over all other proposals or motions before the Meeting:
 - to suspend a sitting;
 - to adjourn a sitting;
 - to adjourn debate on the question under discussion; and
 - to close debate on the question under discussion.
4. Permission to speak on a motion under rule 3 above shall be granted only to the proposer and to one speaker in favour and two against. The motion shall then be put to the Meeting for a decision.
5. If two or more proposals relate to the same question, the Meeting, unless it decides otherwise, shall decide on the proposals in the order in which they have been tabled.
6. Any representative may request that parts of a proposal or of an amendment be decided separately. If an objection is made to the request for a division, the chair shall permit two Members to speak, one in favour and the other against. The request shall then be put to the Meeting for decision.

7. If a request under rule 6 above is adopted, those parts of the proposal shall then be decided as a whole. If all the operative parts of a proposal or an amendment have been rejected, the proposal or amendment shall be considered to be rejected as a whole.
 8. A motion is considered to be an amendment to a proposal if it adds to, deletes from, or revises part of, that proposal. An amendment shall be decided before the proposal to which it relates is decided. If the amendment is adopted, the amended proposal shall then be decided.
 9. If two or more amendments are moved to a proposal, the Meeting shall first decide on the amendment furthest removed in substance from the original proposal, then on the amendment next furthest removed, and so on until all amendments have been decided. The Chair shall determine the order of decision on amendments under this rule.
 10. A proposal or motion may be withdrawn by its proposer at any time before a decision has been reached, provided the motion has not been amended. A withdrawn proposal or motion may be reintroduced by any other representative.
 11. When a proposal has been either adopted or rejected, it may not be reconsidered at the same session, unless the Meeting decides otherwise. Permission to speak on a motion to reconsider shall be accorded only to the mover and such other person as the Chair may decide.
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AUDIT AND RISK COMMITTEE

TERMS OF REFERENCE

(Adopted by the One Hundred and Thirtieth Meeting of the Forum Fisheries Committee, 3 November 2023, Honiara, Solomon Islands)

1 Introduction

- 1.1 The fifth meeting of the Ministerial Forum Fisheries Committee in Niue 2009 approved the establishment of an Audit Committee to provide additional financial oversight and enhance the governance structure of the FFA. Revised Terms of Reference were subsequently approved by the FFC on 5th November 2020 adding “Risk” to the functions of the Committee to reflect its additional oversight responsibility on enterprise risk.
- 1.2 Following a review of the governance of the FFA in 2023, the current revised Terms of Reference were approved by the Forum Fisheries Committee on 3rd November 2023. In particular, this changes the composition of the Audit and Risk Committee (ARC) and streamlines and modernises the Terms of Reference generally, including the addition of performance indicators for the ARC.

Purpose

- 1.1 The ARC is a permanent supervising body established as a sub-committee of the Forum Fisheries Committee to assist the Forum Fisheries Committee in fulfilling its oversight responsibilities of the financial reporting process, systems of internal control, the work of external and internal auditors, risk management, effectiveness and efficiency of operations, and compliance with legal and regulatory requirements.
- 1.2 The ARC will, amongst other things, review the risk management plan and its implementation, and the work of the external auditor through the Director General. It will also review the Annual Work Programme and Budget and its alignment with the Strategic Plan and Business Plan.
- 1.3 The ARC is not involved in the day-to-day financial management of the Secretariat, but provides oversight and reports back to the Forum Fisheries Committee on the matters identified above.

2. Authority

2.1 The ARC has the authority to:

- a. oversee the systems and processes noted above;
- b. conduct investigations into any matters within its scope of responsibility;
- c. obtain advice and assistance from outside legal, accounting or other technical experts as necessary to perform its duties;
- d. review the work performed by external and internal auditors;
- e. consult as necessary with FFA's accounting firms in the conduct of its work;
- f. seek any information it requires from FFA staff, all of whom are directed to cooperate with the ARC's requests;
- g. review and report back to the Forum Fisheries Committee on all matters within the ARC's competence, including making recommendations.

2.2 The ARC's authority includes reviewing and reporting back to the Forum Fisheries Committee (including making recommendations as necessary) on:

- a. the outcomes of audits conducted by any registered public accounting firm employed by the FFA;
- b. any disagreements between management and auditors regarding financial reporting;
- c. the Annual Work Plan and Budget and its alignment with the Strategic Plan and the Business Plan;
- d. the internal audit work plan, budget and written report;
- e. the risk management plan and implementation;
- f. any other tasks as directed by the Forum Fisheries Committee.

3. Composition

3.1 The ARC will consist of six members, including the Chair, appointed by FFC. Three of the members will be independent members appointed by the process set out in paragraphs 3.2 and 3.3 below, and three will be nominees from FFA Members. None of the members can be staff of the Secretariat.

3.2 The Forum Fisheries Committee will appoint the independent members to the ARC taking into consideration the joint recommendation of the Chair of the ARC and the Director General. The ARC Chair (or, if there is no ARC Chair, the Chair of the Forum Fisheries Committee) and the Director General shall provide the Forum Fisheries Committee with a pool of potential committee members to choose from. The Forum Fisheries Committee may appoint members out of session.

- 3.3 Members of the ARC will be selected for their individual expertise, and to ensure an appropriate mix of skills. At least one independent member of the ARC must possess substantial financial or accounting experience and expertise. Other independent members must demonstrate expertise in audit, legal, governance, risk and oversight functions. Relevant expertise is also highly desirable in the members nominated by Members.
- 3.4 The initial appointment will be for a maximum period of three years. Members may not serve more than six years. When appointing members, and for what terms, the Forum Fisheries Committee will have regard to the timing of the appointments and the length of the terms so to ensure end dates are staggered to ensure continuity.
- 3.5 The chair of the ARC will be appointed by the Forum Fisheries Committee from one of the independent members and will report directly to the chair of the Forum Fisheries Committee.
- 3.6 In fulfilling their responsibilities, all ARC members will exhibit independence of mind in their deliberations and should not act as a representative of a particular area or a particular stakeholder or Member interest.
- 3.7 The Forum Fisheries Committee may terminate an ARC member, where their conduct contravenes the Code of Ethics and Rules of Conduct for Internal Auditors set by the Institute of Internal Auditors.
- 3.8 Members, who are not domestic or international public servants, will be paid an honorarium for their participation in meetings. The honorarium will be set at the time of the member's appointment and will be linked to the United Nations consultant's remuneration scale. The Chair will be paid at a higher daily rate than other members. FFA will also pay for members' travel and per diems for attendance at any face-to-face meetings.
- 3.9 The ARC is expected to provide a mechanism for open communication between internal auditors, external auditors, management and the Forum Fisheries Committee chair, and is a sub-committee of the Forum Fisheries Committee.

4. Meetings

- 4.1 The ARC will meet at least twice annually. Additional meetings may be called by the Chair, as circumstances require. The ARC may meet at the start of, and in the margins of, the Forum Fisheries Committee to undertake its responsibilities including the assessment of the FFA Annual Work Programme and Budget. All committee members are expected to attend each meeting, in person or via teleconference or videoconference.

- 4.2 Meetings may be held virtually through videoconference or teleconference facilities.
- 4.3 If the Chair is unable to attend a meeting, the Chair may nominate another member to be Chair for that meeting.
- 4.4 The Director General will be invited to attend relevant parts of ARC meetings, at the Committee's discretion.
- 4.5 The ARC will invite members of the Executive, auditors or others as appropriate to attend meetings and provide pertinent information, as necessary.
- 4.6 FFA will provide the secretariat support to the ARC. Meeting agendas will be prepared and provided in advance to members, along with appropriate briefing materials (including materials requested by the ARC from the Secretariat and others), at least two weeks in advance of meetings. Minutes will be prepared.
- 4.7 A member who does not attend two consecutive ARC meetings, without having sought leave of absence, will be considered to have automatically resigned their position and a new member will be appointed following the relevant procedure outlined in section 3.

5. Quorum

- 5.1 The quorum for a meeting shall be a minimum of three members.
- 5.2 The ARC may make decisions out of session providing a minimum of three members provide their agreement in writing to those decisions.

6. Responsibilities

- 6.1 The ARC has responsibilities in the following key areas:
 - a. review of the financial statements;
 - b. oversight of FFA's risk management functions;
 - c. oversight of the internal and external audit programmes;
 - d. review of the Annual Work Programme and Budget.

Review of the financial statements

- 6.2 The ARC has a critical role in reviewing FFA's annual financial statements. The ARC must consider whether the statements:
 - a. are complete;
 - b. are consistent with information known to ARC members, and;
 - c. reflect the requirements of the International Public Sector Accounting Standards (IPSAS).

- 6.3 The ARC will review the financial statements with FFA's management team and external auditors. It will take into account the findings of the external audit of the financial statements, and will consider any significant accounting or reporting issues, including complex or unusual transactions, and all matters required to be communicated to the ARC under IPSAS.
- 6.4 The ARC will discuss with FFA Officers and as appropriate, the external auditors, matters that will be communicated to the Forum Fisheries Committee.

Oversight of FFA's risk management functions

- 6.5 The ARC will keep under review the effectiveness of the risk management and mitigation processes, and internal control systems.
- 6.6 As part of this function ARC will:
 - a. understand the scope of the internal and external auditors' review of internal control, including over financial reporting, and obtain reports on significant findings and recommendations, together with management's responses;
 - b. ensure that risk management issues are adequately addressed;
 - c. ensure that timely and appropriate corrective action is taken by management;
 - d. keep under review the system for monitoring compliance with rules, regulations and laws;
 - e. ensure that attention is given to the effectiveness, efficiency and economy of operations;
 - f. periodically review the risk management plan and its implementation.
- 6.7 The ARC may initiate, where necessary, special investigations of policies, procedures and practices. It may also review the effectiveness of systems for monitoring compliance with organisational regulations and policies.
- 6.8 The ARC will receive regular updates from management, and when appropriate the legal counsel, regarding compliance matters.
- 6.9 The ARC may receive complaints or allegations from whistle-blowers of alleged serious misconduct by senior management.

Oversight of internal and external audit programmes

- 6.10 For FFA's internal audit function, the ARC is expected to:
 - a. review with management and the internal auditors, the internal audit charter, activities, staffing, and organisational structure of the internal audit function;
 - b. review the annual Internal Audit Work Plan proposed by the Director General and make recommendations as necessary;

- c. make recommendations on the adequacy of the Internal Audit Budget to the Forum Fisheries Committee in the Annual Work Plan and Budget process;
 - d. review, report and make recommendations to the Forum Fisheries Committee regarding the findings and recommendations in internal audit reports, including analyses, reviews or investigations performed, and management responses;
 - e. review the effectiveness of the internal audit function, ensuring continued independence and its performance;
 - f. meet with the internal auditor to discuss work plan activities and findings at least once a year with the option to convene additional meetings, as circumstances require;
 - g. consult regularly with the internal auditor to discuss any matters that the ARC or internal audit believe should be discussed privately.
- 6.11 For FFA's external audit function, the ARC is expected to:
- a. review, if necessary, the external auditors' proposed audit scope and approach, including coordination of audit effort with internal audit;
 - b. review the performance and effectiveness of external auditors;
 - c. review and confirm the independence of the external auditors by obtaining statements from the auditors on relationships between the auditors and the Agency's executive or senior employees, including non-audit services, and discussing the relationships with the auditors;
 - d. review external auditors' management letter and management responses;
 - e. consult with external auditors, including meeting with them as necessary, to discuss any matters that the ARC, external auditors or internal audit function believe should be discussed separately.
- 6.12 In addition, the ARC will as appropriate provide advice to the Forum Fisheries Committee regarding the appointment of external auditors and the terms of those appointments.

Review of the Annual Work Programme and Budget

- 6.13 The ARC will review, report and make recommendations to the Forum Fisheries Committee regarding the Annual Work Programme and Budget and its alignment with the Strategic Plan and the Business Plan, and will provide relevant feedback before it is presented to the Forum Fisheries Committee for approval.
- 6.14 The ARC will also review, report and make recommendations to the Forum Fisheries Committee about the ARC's assessment of the Agency's achievement of performance measures in the annual work plan.

7. Code of ethics and conflicts of interest

- 7.1 ARC members are expected to comply with the Code of Ethics and Rules of Conduct for Internal Auditors set by the Institute of Internal Auditors.
- 7.2 ARC members are required to report any potential conflicts of interest that may prevent them from fulfilling their responsibilities as an ARC member. Where a conflict of interest arises in relation to a particular agenda item, the member should be excused from the meeting for the relevant agenda item.
- 7.3 Details of potential or actual conflicts of interest declared by members and action taken should be appropriately minuted.

8. Reporting

- 8.1 The ARC is expected to provide a mechanism for open communication between internal auditors, external auditors, management and the Forum Fisheries Committee chair, and is a sub-committee of the Forum Fisheries Committee. As such, ARC will provide an annual report to the Forum Fisheries Committee:
 - a. setting out the ARC's activities for the reporting period, including:
 - (i) findings from the review of the financial statements;
 - (ii) pertinent issues arising from the oversight of internal controls;
 - (iii) any significant outstanding issues from the audit programmes, including any findings and recommendations from the internal auditor that have not been implemented (including those awaiting consideration and approval by the Forum Fisheries Committee);
 - b. confirming that the responsibilities under this Terms of Reference have been fulfilled by all ARC members;
 - c. notifying any member's leave of absence;
 - d. notifying any circumstances when the ARC has requested funds from the Secretariat to obtain outside advice, including the justification for the request, the amount requested and any reasons for delay in the Secretariat fulfilling that request;
 - e. any issues arising from carrying out any of its functions;
 - f. any other matters that the ARC believes should be drawn to the attention of the Forum Fisheries Committee;
 - g. the ARC's self-assessment of its performance against the attached Performance Indicators;
 - h. any recommendations to the Forum Fisheries Committee.

- 8.2 The ARC will also review any other reports on FFA issues that relate to ARC responsibilities.

9. Other responsibilities

- 9.1 The ARC will make recommendations to the Forum Fisheries Committee about any special investigations that are required, and where requested by the Forum Fisheries Committee, the ARC shall provide oversight and a report about such investigations.
- 9.2 The ARC will periodically review the Financial Regulations and the Financial Procedures Manual and Audit Manual and make recommendations to the Forum Fisheries Committee if the ARC believes any amendments are required.

10. Review of the arc terms of reference

- 10.1 The ARC will from time to time review this Terms of Reference and may propose any necessary changes to the Forum Fisheries Committee for its approval.
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AUDIT AND RISK COMMITTEE

PERFORMANCE INDICATORS

(Adopted by the One Hundred and Thirtieth Meeting of the Forum Fisheries Committee, 3 November 2023, Honiara, Solomon Islands)

Explanatory Note: The following Performance Indicator questionnaire is intended to assist in the self-evaluation of the performance of the Audit and Risk Committee. Committee members should complete the form as a self-evaluation, for example using ratings of 1 (strongly disagree) to 5 (strongly agree) in evaluating the Committee's performance related to each activity or practice described below. Ideally, other individuals who interact with the Committee might also be asked to provide feedback. It is intended that the results should then be consolidated into a summary document for discussion and review by the Committee.

Roles and Relationships

1. The Committee demonstrates integrity, credibility, trustworthiness, active participation, an ability to handle conflict constructively, strong interpersonal skills, and the willingness to address issues proactively.
2. The Committee has a positive working relationship with management, the internal auditors, and the external auditors.
3. All Committee members provide an appropriate level of input to the Committee's work.
4. Committee members come to meetings well prepared.
5. Differences of opinion on issues are resolved to the satisfaction of Committee members.
6. The size and composition of the Committee is appropriate for the nature and complexity of the operations of the FFA.
7. Committee members are independent of management.
8. The Committee's Terms of Reference is used as a document to guide the Committee in its efforts, and to help guide its agenda.
9. The Committee is willing to engage outside experts if necessary, consistent with its Terms of Reference.

10. Committee members encourage a “tone at the top” that conveys basic values of ethical integrity as well as legal compliance and strong financial reporting and control.
11. The Committee conducts executive sessions in a manner that offers a “safe haven” to the individual, while at the same time asking tough and necessary questions, evaluating the answers, and pursuing to a satisfactory resolution any issues that might arise.
12. The Committee evaluates the internal auditor’s overall effectiveness, as well as regularly reviewing the adequacy of the internal audit function (e.g. the Charter, Internal Audit Work Plan, budget, compliance, and number, quality and continuity of staff).
13. The internal audit reporting lines established with the Committee promote an atmosphere where significant issues that might involve management will be brought to the attention of the Committee.
14. The Committee evaluates the external auditors, including the auditors’ responsiveness to the Committee’s expectations, and considers the external audit plan and provides recommendations.
15. The Committee and its Chair are mindful of the need to create a succession and rotation plan for Committee members including its Chair, and provides advice to the Forum Fisheries Committee as appropriate.
16. The Committee reviews its Terms of Reference from time to time as necessary to determine whether its responsibilities are described adequately, including its Performance Indicators set out in this document, and recommends any necessary changes to the Forum Fisheries Committee for approval.

Process and Procedures

17. The Committee develops a calendar that dedicates the appropriate time and resources needed to execute its responsibilities.
18. Committee meetings are conducted effectively, with sufficient time spent on significant or emerging activities.
19. The Committee sets clear expectations regarding the performance and capability of senior financial management, and provides feedback to the Forum Fisheries Committee as necessary.

FFA Activities

20. Committee members have a clear understanding of the FFA’s organisational structure and its work programmes.

21. The Committee evaluates whether management fosters a culture and environment that promotes high-quality financial reporting and appropriate attention to internal controls, as well as compliance with FFA's internal rules and regulations (and any applicable external laws and regulations).
22. The Committee evaluates management's procedures for monitoring compliance with the Code of Conduct.
23. The Committee makes itself aware of reports or other communications received by the Secretariat, including from Members or other external actors and those generated within the organisation, which may have a material effect on the financial activities and related financial statements, or which may affect related organisational compliance policies.
24. Committee members are familiar with the FFA's governance documents, and the Committee evaluates compliance with corporate governance regulations and guidelines.
25. The Committee monitors other governance matters or issues that may be relevant to its Terms of Reference.
26. The Committee reviews, reports and makes recommendations to the Forum Fisheries Committee regarding the Annual Work Programme and Budget and its alignment with the Strategic Plan and the Business plan, and provides relevant feedback before it is presented to the Forum Fisheries Committee for approval.

Risk Factors

27. The Committee considers whether management takes into account significant risks that may directly or indirectly affect financial reporting, and advises the Forum Fisheries Committee accordingly.
28. The Committee considers, understands and approves the processes implemented by management to effectively identify, assess, and respond to the organisation's risks.
29. The Committee understands and approves management's fraud risk assessment and has an understanding of identified fraud risks.
30. The Committee receives the internal and external auditors' assessments of the risks for fraud and other risk factors that might lead to potential fraudulent financial reporting.
31. The Committee has discussions with senior staff to understand the organisation's technology strategy, Information Systems, and measures taken to protect technology resources, including disaster recovery and emergency preparedness.
32. The Committee reviews the management recommendation letters written by the external and internal auditors and monitors the process to determine that all significant matters are addressed.

33. The Committee has reviewed all significant control deficiencies identified by the internal or external auditors, as well as management's corrective action plan and timetable to address such recommendations.
34. The Committee has reviewed findings or recommendations from the internal auditor that have not been implemented, including those awaiting consideration and approval by the Forum Fisheries Committee, and has drawn them to Forum Fisheries Committee's attention.

Technical Proficiency and oversight

35. The Committee is cognisant of the line between oversight and management, and it endeavours to respect that line.
36. Committee members have an appropriate level of financial literacy for their role.
37. Appropriate training has been offered to Committee members in the event that it may be necessary.
38. The Committee reviews the FFA's significant accounting policies.
39. The Committee reviews reports, financial statements, and related audit results with management, staff, and the external auditors.
40. The Committee has discussed with management any significant year-end issues that may affect the financial integrity of accounting and reporting practices.
41. The Committee has a system to assess whether net assets are being managed effectively.
42. The FFA's financial reporting processes are stronger as a result of management's interactions with the Committee.
43. The Committee is provided with sufficient funding and resources to fulfill its objectives, including engaging external parties for matters requiring external expertise.

Communication process

44. The level of communication between the Committee and relevant parties is appropriate.
45. The Chair encourages input on meeting agendas from Committee members, management, and the internal and external auditors.
46. Meetings are held with sufficient frequency to fulfill the Committee's responsibilities.
47. Meeting agendas are prepared and distributed sufficiently in advance to ensure effective and efficient meetings, as well as allowing Committee members sufficient time to study and understand the information being provided.

48. Written materials provided to Committee members are relevant and concise.
49. Adequate minutes are taken of meetings, and are circulated promptly after the meeting in question.
50. The Committee reviews management's response to audit recommendations and whether follow-up audits indicate corrective action is in place, timely, and effective.

Monitoring of Committee performance

51. The Committee conducts an annual self-evaluation of its performance, as against its performance indicators, and any matters that require follow-up are resolved, and are presented to the Forum Fisheries Committee.
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PART II







FFA

PACIFIC ISLANDS FORUM FISHERIES AGENCY

STAFF REGULATIONS

As at 31 May 2018

Based on the remuneration packages approved by the Forum Fisheries Committee at FFC48 in May 2001 and amended from time to time.

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PART I: SCOPE AND APPLICATION

REGULATION 1

1. These Regulations apply to all staff of the Secretariat including the Deputy Director-General and the Director-General but shall not apply to casual or temporary employees, or consultants unless the contrary is specifically indicated or where other conditions have been agreed to in writing.
2. These Regulations are determined by the Forum Fisheries Committee and administered by the Director-General whose decision on the interpretation of the Regulations is final. Where the interpretation affects the Director-General, the decision will rest with the Committee.
3. These Regulations shall apply to contracts entered in or with the Agency after 1 July 2006.
4. These Regulations may be amended by the Committee without prejudice to the existing contracts of staff members except where the staff member has consented to vary his/her contract in accordance with the amendments.
5. The Director-General may supplement these Regulations with Staff Rules/ Instructions not inconsistent with these Regulations or with any decisions made by the Committee; and further, may issue such Staff Rules/ Instructions as may appear to be necessary to render these Regulations effective.

PART II: DEFINITIONS

REGULATION 2

In these Regulations, unless the contrary intention appears:

“Agency” means the Pacific Islands Forum Fisheries Agency as provided in Article 1 paragraph 2 of the Pacific Islands Forum Fisheries Agency Convention;

“Base salary” means the base annual rate of pay for the position which is specified in the Salary Schedules contained in these Regulations and for the time being in effect;

“Committee” means the Forum Fisheries Committee as referred to in Article 1 paragraph 2 of the Pacific Islands Forum Fisheries Agency Convention;

“Dependent” means the legally and financially dependent spouse or child of a staff member;³

³ Definition amended in 2006 by including the phrase “spouse or” after “dependent” and before “child”.

“Dependent child” means a staff member’s unmarried legally and financially dependent, naturally or legally adopted child who is –

- under the age of 16 years of age;
- under the age of 19 years of age if enrolled in, and undertaking full-time studies at a secondary school;
- under 25 years of age and enrolled in and undertaking full-time study at a university or a tertiary institution; or
- certified by a Medical Practitioner to be mentally or physically incapacitated;

“Personal effects” means clothing, linen and any other personal items, but excludes vehicles or boats;

“Place of normal residence” means the place the staff member and the Director-General agree upon at the time of appointment;

“Professional Staff” means a contracted staff member engaged for a fixed term whose salary levels fall within Grades I to M of Schedule 1A or “Positions Advertised Internationally” within Bands 8 to 18 of Schedule 1C;

“Salary” means the pay for the position which is specified in the Salary Schedules contained in these Regulations and for the time being in effect;

“Staff” or **“Staff Member”** means a salaried employee contracted for a fixed term to an established position;

“Secretariat” means the Secretariat as referred to in Article 1 paragraph 2 of the Forum Fisheries Agency Convention;

“Support Staff” means contracted staff members whose salary levels fall within Grades A to H of Schedule 1B or “Positions Advertised Locally” within Bands 1 to 7 of Schedule 1C.

Any reference to **“grade”** refers to the salary grade in Schedules 1A and 1B and may, where appropriate, refer to **“band”** which means the salary bands in Schedule 1C.

PART III: DUTIES AND OBLIGATIONS

REGULATION 3

Status as International Civil Servants.

The Director-General and all members of the staff of the Secretariat are international civil servants. Their responsibilities are exclusively international. By accepting appointment, they pledge themselves to discharge their functions and duties and to regulate their conduct with the interests of the Agency only in view.

REGULATION 4

Responsibility of the Secretariat

The Director-General is responsible for the proper functioning of the Secretariat. Staff members are subject to the authority of the Director-General and shall not seek or receive in the performance of their duties any instructions from any external authority.

REGULATION 5

Privileges and Immunities

Under Articles 6 and 7 of the Agreement with the Solomon Islands Government on Diplomatic Privileges a copy of which is attached as **Schedule 5:-**

1. The Director-General and the Deputy Director-General shall have the like privileges and immunities as are accorded a diplomatic agent under the Vienna Convention on Diplomatic Relations 1961;
2. The members of the families of the Director-General and the Deputy Director-General, forming part of the household of each, shall have the like privileges and immunities as are accorded the members of a diplomatic agent under the Vienna Convention on Diplomatic Relations 1961;
3. Staff of the Agency other than the Director-General and the Deputy Director-General shall have the like privileges and immunities as are accorded members of the administrative and technical staff of a mission under the Vienna Convention on Diplomatic Relations 1961; and
4. Members of the family of a staff member of the Agency other than the Director-General and the Deputy Director-General, forming part of his/her household, shall have the like privileges and immunities as are accorded the members of the family of a member of the administrative and technical staff of a mission under the Vienna Convention on Diplomatic Relations 1961.

REGULATION 6

Disclosure of Information

Staff shall exercise the utmost discretion in regard to all matters of official business. They shall not communicate to any person or press any unpublished information known to them by reason of their official position, except in the course of their duties or by authorization of the Director-General. All rights in, and the title to, the results of any work performed by staff in the course of their duties shall be the property of the Agency.

REGULATION 7

Conduct

Staff shall avoid any action, and in particular any kind of public pronouncement or activity, which may reflect adversely on their positions as international civil servants. They are not expected to give up their national sentiments or their political and religious convictions but they shall at all times bear in mind the reserve and tact incumbent upon them by reason of their international status.

REGULATION 8

Outside Activities

1. No Staff member may accept, hold, or engage in any position in any commercial, industrial, financial or corporate organization which, in the opinion of the Director-General, is incompatible with the proper discharge of their duties with the Secretariat.
2. No staff member may at any time be engaged in any activity or in any occupation inconsistent with the interests of the Agency.

REGULATION 9

Candidacy for Public Office

Any staff member who becomes a candidate for a public office of a political character shall resign from the Secretariat.

REGULATION 10

Acceptance of Honours, Decorations, Favours, Gifts or Fees

1. No staff member shall accept in respect of his/her work for the Secretariat any honour or decoration, any favour, gift or fee from any Government, organization or person during the period of his/her appointment, except with the approval of the Director-General.
2. With respect to the Director-General, the approval of the Committee is required.

PART IV: APPOINTMENT AND PROMOTION

REGULATION 11

Appointment of the Director-General and Staff

Director-General

1. The Director-General and Deputy Director-General are appointed by the Pacific Islands Forum Fisheries Committee.

Exercise of Powers

2. When the position of the Director-General is vacant, the Director-General's functions and powers shall be exercised according to the instructions of the Chairperson of the Forum Fisheries Committee and in the absence of such instructions, by the Deputy Director-General
3. When the Director-General is absent from Headquarters, the Deputy Director-General is designated to act as Director-General. In the event that both are absent, a staff member selected by the Director-General shall be designated as Office-in-Charge.

Power of Appointment

4. The power of appointment of staff is vested with the Director-General subject to the establishment and remuneration policy approved by the Committee.

REGULATION 12

Appointment Policy

1. In selecting staff for appointment to the Secretariat, the following factors must be considered:-
 - a. the required qualifications;
 - b. competence; and
 - c. personal integrity.
2. To the fullest extent consistent with regulation 12(1) above, the Director-General shall in selecting staff give preference when applications are of equal merits, to nationals of island member countries and shall give due consideration to equitable national representation.
3. When two applicants for a support staff vacancy are rated equally and one is a Secretariat staff member, preference shall be given to the Secretariat staff member.
4. Both men and women are equally eligible for all positions in the Secretariat.

5. The Director-General shall appoint staff at a level within the designated salary grade.
6. The Director-General shall review the performance of each staff member annually.

REGULATION 13

Appointment Procedure

1. All vacant positions within the Secretariat establishment must be advertised, for
 - a. in the case of professional staff, in all member countries and territory; and
 - b. in the case of support staff, in Solomon Islands.
2. No appointment is valid which is not the subject of a written offer of employment signed by the Director-General and a written acceptance signed by the appointee. Every offer of employment shall be in the standard formats attached as Schedules 4A & 4B and shall contain a statement of duties, all terms and conditions of employment and shall include a copy of the Staff Regulations.
3. An appointment is on a temporary or on a fixed or short term contract. The length of appointment of a temporary or a contract staff member is set by the Director-General in accordance with the requirements of the Work Program and the availability of funds.
4. A temporary appointment may not exceed a period of six months. A temporary appointment is usually made to replace a support staff member who has resigned at short notice or is on long term leave.
5. All appointments made by contract are for a fixed period of time and determined in accordance with the specific requirements of the Work Program and the availability of funds.
6. A contract due for renewal may be entered into up to 6 months prior to the completion of a three year contract and up to four months in advance of a two year contract, subject to satisfactory performance and with the Director General's approval.

Contractual terms.

7. A fixed term appointment for not more than three years is renewable, based on the needs of the Secretariat, the availability of funds, the merit and the performance of the professional staff member, for a further period of not more than three years, provided the total number of years served by a professional staff member in the same position does not exceed six years.

8. Where an aggregate period of six years has been served by a professional member of staff in the same position it shall be mandatory for that position to be re-advertised. The incumbent is free to re-apply and should the Director-General decide to re-appoint the incumbent on merit he/she may do so, provided a report is made to the next meeting of the FFC.
- (8A) A fixed term appointment for not more than four years is renewable, based on the needs of the Secretariat, the availability of funds, the merit and the performance of the support staff member, for further periods of not more than four years.
- (8B) Where an aggregate period of eight years has been served by a support staff member in the same position, the position may be re-advertised. If the position is re-advertised, the incumbent is free to re-apply and should the Director-General decide to re-appoint the incumbent on merit he/she may do so.
9. The period, terms and conditions of appointment may be varied by mutual agreement in writing between the Director-General and the staff member subject to the establishment and remuneration policy of the Committee.
10. Duties of the staff member may be revised at any time by the Director-General in accordance with changes in work priorities.
11. Appointments are provisional until confirmed. Appointments are subject to satisfactory medical examination by a registered medical practitioner and a probationary period of six months' service which may be extended or reduced by the Director-General. At the end of the probationary period the Director-General shall in writing:
 - a. confirm the appointment;
 - b. extend the probationary period; or
 - c. terminate the appointment.
12. An appointment runs from the date the appointee leaving his/her place of recruitment as per contract to take up appointment with the Secretariat or from the date of taking up duties, whichever comes first.
13. Salary is earned from the date of appointment.

REGULATION 14

Promotions

1. A staff member is promoted when appointed to a new position higher than his/her current position.
2. A promotion is a variation to the terms of an appointment and is subject to regulation 13 (7) and (8).

REGULATION 15

Termination

1. An appointment is terminated under any of the following circumstances:
 - a. when being a fixed term contract, it reaches the end of its term;
 - b. by either the Director-General or the staff member giving the other one (1) month's notice in writing;
 - c. without notice by either the Director-General or the staff member paying or crediting to the other, one (1) month's salary in lieu of notice; or
 - d. as a disciplinary measure by dismissal with or without notice under regulation 30(2).

Notice of contract expiry or renewal.

2. The Director-General may ensure that staff members receive notice well in advance, normally six (6) months prior to the expiration of their contracts, of the decision either to renew the contract or that the contract is to expire in accordance with its terms. If no such notice is given prior to contract expiry date, there is no implied or explicit indemnity payable.

Waiver of Notice

3. In special circumstances, the Director General may waive or reduce the period of the notice or payment in lieu of notice due under regulation 15(1)(b) or (c).

Seconded Staff

4. Before dismissing or giving notice to a staff member who is seconded from a member government, the Director-General shall inform the government in question.

Certificate of Service

5. A staff member shall, on leaving the service of the Secretariat, be given a certificate relating to the nature of his/her duties, the length of services, the amount of emoluments and other relevant information.

Retention of Pay

6. The Secretariat shall be authorized to retain for three months from the final working day up to US\$500 of payment due to a professional staff member upon termination for any reason and to pay out of that sum any debts left outstanding by the said professional staff member for which the Secretariat might become liable with appropriate advice in writing being given to the said professional staff member.

PART V: ENTITLEMENTS ON APPOINTMENT AND TERMINATION

REGULATION 16 Entitlements

1. The Agency shall meet the following appointment and termination expenses of professional staff recruited from outside Honiara. The entitlements cover the transport and transit costs of the staff member and accompanying dependants between the place of recruitment as indicated in the contract and Honiara, and return, by the most direct and economical route.
 - a. Air Fares Director-General and dependants: Business
Class Other Staff and dependants: Economy Class
 - b. **Removal Expenses**

The reasonable cost of packing, insuring, shipping and unpacking furniture, household and personal effects are as follows:⁴

 - i. for a professional staff member recruited overseas a 20 foot container.
 - ii. up to 20 kilos of excess baggage per staff member and each dependant for all staff recruited outside Honiara or overseas.
 - c. **Establishment Allowance**

To offset incidental expenses and compensate for the disturbance of removal, an establishment grant is paid on arrival at the rate prescribed in **Schedule 2** of these Regulations.
 - d. **Temporary Accommodation**

Accommodation at a suitable hotel or other fully furnished accommodation for up to six (6) working days, plus weekends and public holidays or with approval of the Director-General up to 12 working days on arrival only, or in exceptional circumstances such other period as the Director-General considers reasonable. A staff member recruited from overseas will not be paid a housing allowance for the period when temporary accommodation costs are met by the Agency.

⁴ Amendment made to give effect to FFC decision on 20 foot container entitlement for a professional staff member recruited overseas. A 20 foot container is 20 feet in length, 8 feet in width and 8 or 8 feet 6 inches in height.

Up to 6 days temporary accommodation is available on repatriation, subject also to the Director-General's discretion.

e. **Repatriation Allowance**

A repatriation allowance equivalent to two weeks' salary is payable on completion of the contract if the staff member is repatriated.

Ineligibility

2. The entitlements prescribed in regulation 16(1) shall not apply and, at the Director- General's discretion, may be withheld in whole or in part, if
 - a. all or part of the expenses in question are met from other sources;
 - b. the staff member resigns within twelve months of appointment under regulation 15(1)(b) or (c); or
 - c. the staff member is dismissed under regulation 30(2)(d) or (e).

Secretariat Assistance⁵

3. A staff member who is not allocated a Secretariat house may be assisted by the Secretariat to find suitable rental accommodation.

PART VI: HOURS OF WORK

REGULATION 17

Normal Hours

Hours of Attendance

1. The Director-General has the right to call upon the services of staff to the extent considered reasonable. Normal office hours are Monday to Friday from 8.00 a.m. to 12 noon and 1.00 p.m. to 4.30 p.m. making a total of 37 hours and 30 minutes per week.

Support Staff Time

2. Support staff shall account for their time by signing the Attendance Register in the manner directed by the Director-General.
3. The driver/courier will be required to work hours as directed by the Director-General. He/she must work either 40 hours per week or 8 hours a day before overtime rates become applicable.

⁵ This paragraph was inserted in 2006; for consistency, reference to 'appointee' amended to 'staff member'.

REGULATION 18

Overtime

Eligibility for Overtime

1. Support staff may claim overtime or time off in lieu for the time they are required to work in excess of normal working hours. All overtime must be approved by the Division Director or the immediate supervisor.

Overtime Rates⁶

2. The rates of pay for overtime are:
 - a. on weekdays other than public holidays, one and a half times the normal hourly rate; and
 - b. on weekends and public holidays, double the normal hourly rate. The normal hourly rate is calculated by dividing the annual salary by 1950.

Time in Lieu

3. Time taken off in lieu shall not exceed the overtime hours actually worked.

Transport Assistance

4. Staff required to work overtime beyond 5.30 p.m on a normal working day or required to work overtime on weekends or public holidays shall be reimbursed for the cost of reasonable transport (e.g. public bus or taxi) between workplace and home.
5. Staff required to work overtime on weekends or public holidays may be taken to and from work by Secretariat transport, if available, and if not, at reasonable Secretariat expense.⁷

Meal Allowance⁸

6. Staff required to work overtime for six (6) hours or more on a weekend, a public holiday, or beyond 7:30pm on any working day shall be paid lunch and/or dinner allowance in accordance with Secretariat procedures at rates approved by the Director-General.

⁶ Supplementary Rules agreed by the Director General in 2010.

⁷ Amendment made in 2006.

⁸ Amendments made in 2006 to increase duration of overtime from 5 to 6 hours on weekends and beyond 7.30pm on week day.

PART VII: REMUNERATION

REGULATION 19 Determination and Review

1. The remuneration policy and conditions of services of Secretariat staff are:
 - a. determined by the Committee based on CROP9 harmonization and remuneration guiding principles and strategies;
 - b. subject to a fundamental review at intervals of not less than three years.

Currency of Remuneration

2. The remuneration of all professional staff shall be expressed in Special Drawing Rights¹⁰ (SDR) and paid in Solomon Islands currency. The exchange rate is that current at the time each fortnightly pay is prepared.
3. The remuneration of all support staff shall be expressed and paid in Solomon Islands currency.

Exchange Rate Stabilisation Mechanism

4. The stabilization mechanism is as follows:
 - a. A floor and a ceiling to be set, between which salaries would be paid at the rate of exchange of the SDR and the currency of payment applicable at the time. The floor and ceiling would be set at 5% below and above a reference point. If the actual SDR exchange rate falls below the floor, the floor rate would be used to calculate salaries, and if the actual rate rose above the ceiling, then the ceiling rate would be used. In order to avoid daily fluctuations, the SDR exchange rate used in calculating actual pay will be a monthly average immediately prior to the day the pay is calculated.
 - b. The reference point would be the average SDR exchange rate of the twelve months to December of the previous year, which would be recalculated annually to apply from 1 January.

REGULATION 20 Salaries

Salary Grades

1. The approved salary grades and ranges are set out in Schedules 1A, 1B and 1C of these Regulations and shall be incorporated annually as an attachment to the Secretariat's Work Program and Budget.

⁹ Council of Regional Organisations in the Pacific.

¹⁰ Special Drawing Rights is a currency used by the International Monetary Fund (IMF).

Salary on Appointment

2. Salary on appointment, including appointment on promotion, is normally at point one of the salary grade in accordance with the Secretariat's salary grades and ranges.
3. The Director-General has the discretion to appoint at a higher level within the salary range if the circumstances justify it.
4. Salary on renewal of contract will be based on an assessment of the staff member's work performance over the last year of his/her previous contract.

Increments

5. The Director-General may authorize an increment to a staff member at the completion of each year's service based on the staff member's annual performance assessment and where he/she has not reached the mid-point of the salary grade for his/her position.
6. The Director-General may award above the mid-point of each grade only as a bonus for superior results at annual performance reviews.
7. Where the staff member's performance has been considered unsatisfactory during the year, the Director-General will explain and provide in writing to the staff member why he/she will not receive an increment or, in cases of poor performance, why his/her salary will be reduced by an increment.

PART VIII: ALLOWANCES AND RELATED BENEFITS

REGULATION 21

Higher and Extra Duties Allowances

Higher and Extra Duties

1. Any staff member, may at any time, be required to undertake the duties of a senior or other position whether or not the circumstances justify increased pay.

Allowances

2. A staff member who, for a continuous period of not less than twelve calendar days, is required to carry out and does carry out:
 - a. the duties of a higher graded position at Grade K level or above in Schedule 1A or Band 14 or above in Schedule 1C, may be paid a higher duties allowance at 20 per cent (%) of the current base salary of the position being filled.

- b. the duties of a higher graded position at Grade J level or below in Schedules 1A and 1B or Band 13 or below in Schedule 1C, may be paid a higher duties allowance at 10 per cent (%) of the current base salary of the position being filled; and
- c. the duties of a similar graded position, may be paid an extra duties allowance at 5 per cent (%) of the current base salary of the position being filled.

REGULATION 22

Representational Allowance

The Director-General shall receive an annual non-accountable representational allowance of 5 per cent (%) of base salary. The Deputy Director-General shall receive an annual non-accountable representational allowance of 1 per cent (%) of base salary.

REGULATION 23

Allowances

In addition to the base salary, professional staff are entitled to receive the following allowances and benefits:

Location Allowance

1. A location allowance of 16.25 per cent (%) of base salary is payable.

Education Allowance¹¹

2. Tuition and boarding fees will only be claimable on a reimbursable basis on production of receipts and subject to the following conditions:
 - a. for a child in pre-primary education, 75% of actual compulsory pre-primary fees;
 - b. for a child in primary education, 75% of actual compulsory school fees specified in Schedule 2.
 - c. for a child in secondary or tertiary education, 75% of actual compulsory school fees and boarding specified in Schedule 2.
 - d. for a family of three or more children, 75% of actual compulsory school fees and boarding specified in Schedule 2.
3. Any external financial assistance for education (such as a bursary or scholarship) received by any child of a professional staff member eligible under regulation 23(2) above, shall be deducted from the allowance.

¹¹ Note FFC64 (2007), FFC66 (2007), FFC 70 (2009) and FFC85 (2012) made relevant decisions on education allowance.

School travel

4. The entitlement is for reimbursement of one return flight economy class each contract year between the place of education and Honiara by:
 - a. each dependant child being educated outside Solomon Islands; or
 - b. the staff member or spouse, providing the journey is not made within the final six months.

Leave Passage Entitlement

5. For every completed year of service except the terminal year, professional staff shall be entitled to the equivalent of one return economy class airfare by the most direct and economical route between Honiara and the place of normal residence at the time of recruitment for the staff member, spouse and dependants.

Retention Incentive on Completion of Contract

6. Professional staff members completing a 3 year contract will be entitled to a retention incentive payment of 21 per cent (%) of the final year's base salary.
- (6A) Support staff members completing a 4 year contract will be entitled to a retention incentive payment of 28 per cent (%) of the final year's base salary.
7. Professional staff members completing a 2 year contract will be entitled to a retention incentive payment of 14 per cent (%) of the final year base salary.
- (7A) Support staff members completing a 3 year contract will be entitled to a retention incentive payment of 21 per cent (%) of the final year base salary.
8. A professional staff member whose contract is mutually terminated by agreement at the end of the second year of a 3 year contract will be entitled to a retention incentive payment of 14 per cent (%) of the second year base salary. Contracts terminated under regulation 30(2)(d) are excluded from this provision.
- (8A) A support staff member whose contract is mutually terminated by agreement at the end of the third year of a 4 year contract will be entitled to a retention incentive payment of 21 per cent (%) of the third year base salary. Contracts terminated under regulation 30(2)(d) are excluded from this provision.

- (8B) Any time completed in a previous position shall be taken into account in the consideration of the entitlement to a retention incentive payment in regulations 23(6), 23(6A), 23(7), 23(7A), 23(8) and 23(8A). Any retention incentive payment that is based on time completed in a previous position and a current position shall be calculated according to the base salary and time spent in either position.

Cost of Living Differential Allowance (COLDA)

9. The Cost of Living Differential Allowance is to reflect the comparative cost of living difference between Suva and Honiara and is payable to professional staff in accordance with the approved algorithm. The index, which is the base figure for calculating for this allowance, is contained in **Schedule 2** attached to these Regulations.

REGULATION 24

Director-General's Entitlements

In addition to any other allowance provided to professional officers elsewhere in these Regulations, the Director-General shall be entitled to the benefits listed at Schedule 3.

PART IX: LEAVE

REGULATION 25

Annual Leave

Entitlement

1. The annual leave entitlement is:-
 - a. Professional Staff 30 working days
 - b. Support Staff 22 working days
2. For each staff member, the leave year runs from the date of appointment to its anniversary and thereafter from anniversary to anniversary. Leave accumulates on a monthly basis with the full entitlement, minus any leave taken, falling due on the anniversary of appointment.
3. If a Solomon Islands public holiday is observed on a normal working day while the staff member is on annual leave, the day will be added to his/her entitlement.
4. Applications for leave should be in the hands of the Director-General 30 days before the leave applied for begins.

5. It is expected that annual leave will be taken each year however, annual Leave may be accrued up to a maximum of 60 working days as at each anniversary of appointment.
6. At the Director-General's discretion reasonable transit days from Honiara to the place of recruitment may be granted to staff proceeding on annual leave. Days so granted are in addition to the staff member's annual leave entitlement.

Unexpended Annual leave

7. The Secretariat will not normally pay salary in lieu of unexpended annual leave except in the case of termination of contract not involving dismissal under regulation 30(2). In exceptional circumstances the Director-General can consider payment in lieu and make a determination after considering the needs of the Agency and the circumstances of the request, and providing funds are available.
8. The Director-General may, in negotiating a contract renewal and after considering the Secretariat's requirements, approve the carry over of leave from one contract to the next, or approve the payment of salary in lieu of unexpended annual leave.
- (8A) Any salary paid in lieu of unexpended annual leave available at the date of appointment to a new position higher than his/her current position shall apply the salary of the current position.
9. Staff members who at the request of the Secretariat forego the taking of annual leave, shall be entitled to:
 - a. carry over that unexpended annual leave; or
 - b. on termination of contract, receive salary in lieu of such unexpended annual leave.
10. In the event of a contract of employment being extended for less than two years, leave entitlements for the previous contract of employment may be deferred to the end of the extended period with the agreement of the Director-General.
11. Staff members are encouraged to take their full quota of annual leave when it becomes due or immediately after it.

Support Staff Leave Travel

12. Support staff shall be entitled to one return fare a year to their home island for themselves, spouse and dependant children under the age of 16 years,¹² providing they do not already enjoy such an entitlement from another source.

¹² The reference to "under the age of 16 years" inserted after amendment in 2006.

13. Subject to approval by the Director-General, support staff who travel home from Honiara on annual leave may once a year, in addition to their annual leave, receive up to 7 days time off on full pay each way to compensate for time actually and necessarily spent on such travel.

REGULATION 26

Sick Leave

Entitlement

1. Staff members are entitled to three days sick leave a month, which is accrued if not used. Sick leave not taken accumulates up to a maximum of 108 days.
2. To qualify for sick leave, a staff member is required to:
 - a. notify his/her immediate supervisor as early as practicable on the first day of absence; and
 - b. as soon as practicable, apply for sick leave in writing
3. All applications for sick leave shall be supported by a certificate from a qualified medical practitioner justifying the absence on medical grounds unless:
 - a. an application is for three days or less; and
 - b. the applicant has not already taken six days of uncertified sick leave in the past 12 months.
4. If a staff member is taken sick or injured while on annual leave and produces a medical certificate to take effect, that period of sickness shall be recorded as sick leave, not annual leave.
5. The Director-General may at any time, withdraw the dispensation from the requirement to furnish a medical certificate as provided in paragraph (3) above or require a staff member to undergo a medical examination from a designated medical officer when uncertified sick leave already taken appears to be excessive.
6. There is no cash incentive in respect of unused sick leave.

REGULATION 27

Other Leave

Maternity Leave

1. A staff member with at least one (1) year's continuous service at the expected date of confinement is entitled to 60 working days maternity leave on full pay. The period of leave begins on a date decided by the Director General in consultation with the staff member but not more than 30 working days before the expected confinement. The balance of the leave which should not be less than 30 working days must be taken immediately after confinement.
- (1A) Upon producing a certificate that complications arose at the time of birth, a further period of up to 6 weeks leave may be granted provided that the maternity leave period of 60 working days has already expired.

Family Leave

2. Staff members are entitled to up to 6 days per annum family leave. Family leave applies to paternity leave.

Compassionate Leave

- (2A) Staff members are entitled to up to 6 days per annum compassionate leave. Compassionate leave would normally only apply in relation to circumstances that directly relate to immediate family members such as spouse, dependant children, or parents.

Special Leave or Leave Without pay

3. Request for special leave shall be submitted in advance wherever possible and requires the Director-General's approval in writing.
4. Special leave or leave without pay may be granted according to the Director-General's discretion, including for cases of extended illness or other exceptional or urgent reasons as decided by the Director-General.
5. Special leave and leave without pay shall normally be granted only after accrued annual leave has been expended. No leave accruals or other financial allowances of any kind shall be earned or granted during periods of special leave or leave without pay.

PART X: HOUSING, ACCOMMODATION AND ALLOWANCES

REGULATION 28 Professional Staff

Secretariat Houses¹³

1. Secretariat houses are allocated by the Director-General.
2. The rental contribution by staff members is 25% of the assessed market value or a level determined by the Director-General based on the prevailing rental market conditions, and is deducted from fortnightly salary payments.
3. Staff members occupying Secretariat houses are responsible for ensuring that the Secretariat's furniture, fittings and fixtures are kept in good condition and that defects and damage are reported immediately to the Corporate Services Division of the Secretariat.

Non-Secretariat Houses

4. Provided that the Director-General has the discretion to impose reasonable limits having regard to the availability of Secretariat houses, the circumstances of the staff member and the rental market conditions prevailing in Honiara: professional staff residing in non-Secretariat owned houses shall receive rental assistance equivalent to 75% of the market rental.
- (4A) The rental contribution by staff members is 25% of the assessed market rental or a level determined by the Director-General based on the prevailing rental market conditions, and is deducted from fortnightly salary payments.

Support Staff

5. A support staff member is entitled to a housing allowance of an amount specified in **Schedule 1B**.

¹³ Amendment made in 2006.

PART XI: EXPENSES

REGULATION 29

Duty Travel

1. The Secretariat meets the traveling expenses necessarily incurred by the staff members that are required to travel away from Honiara on official business.
2. The Director-General may travel business class when on duty travel. All other staff members will travel economy class except that the Director-General may authorize travel in business class if considered justified in the particular circumstances of the case

Per Diem Allowances

3. Staff members are entitled to a per diem allowance. Rates will be equivalent to the rates used by United Nations Development Programme (UNDP) and will be updated regularly in line with changes promulgated by UNDP. These rates are made available by the Corporate Services Division.

Official Entertainment

4. The Director-General may be reimbursed the expenses of official entertainment expended on behalf of the secretariat.
5. Providing the Director-General's approval in writing has been obtained prior to the offer of official entertainment, the Deputy Director-General and Directors of Divisions may also be reimbursed under this regulation. The Director-General shall not authorize any reimbursement under this regulation unless reasonable evidence of the official nature of the entertainment is provided and the claim is supported by receipts.

PART XII: DISCIPLINE

REGULATION 30

Offences

1. A staff member commits an offence when he/she:
 - a. wilfully disobeys a lawful order of the Director-General or any officer to whom the staff member is formally responsible;
 - b. wilfully disregards these Regulations;
 - c. is negligent, inefficient or incompetent in the exercise of his/her duties;

- d. wilfully acts without regard to the Secretariat's interests;
- e. behaves disgracefully or improperly either in an official capacity or otherwise; and
- f. steals or misappropriates the fund or property of the Secretariat.

Penalties

2. The Director-General may discipline a staff member found guilty of an offence by:
 - a. an official reprimand;
 - b. a fine not exceeding fourteen days' salary;
 - c. demotion to a lower step in the offender's grade;
 - d. dismissal with notice under regulation 15(1)(b); or
 - e. if the offence is theft or misappropriation of the Secretariat's funds or property, by summary dismissal without notice.

Procedures

3. No staff member suspected of committing an offence shall be penalized under regulation 30(1) unless guilt is confirmed:
 - a. by the staff member's own admission;
 - b. by the outcome of criminal proceedings; or
 - c. by the findings of an internal inquiry conducted as soon as practicable by the Deputy Director General and two other staff members one of whom may be nominated by the suspected staff member.

Suspension

4. A staff member may be suspended without pay if suspected of theft or misappropriation of the Secretariat's property and on pay in all other cases. If the allegations cannot be substantiated, the staff member will be fully reinstated effective as from the date of suspension.

PART XIII: STAFF COMMITTEES

REGULATION 31

Staff Committees, as may be required, shall be elected annually by staff members to represent their views and shall be consulted by the Director General on general and specific questions relating to staff issues, and welfare.

PART XIV: INSURANCE AND SUPERANNUATION

REGULATION 32

Life and Personal Accident Insurance

1. All staff are covered by the Secretariat's life and personal accident insurance schemes 24 hours a day.

Medical Insurance

2. All staff and their dependants will have all reasonable medical, dental and optical expenses met by the Secretariat's medical scheme.
3. Any additional insurance cover beyond that provided under paragraph (2) above may be made available but will be at the staff member's own expense.

Superannuation

4. For staff who contribute to the Solomon Islands National Provident Fund, the Secretariat will make a superannuation payment prescribed by the laws of Solomon Islands.
5. A staff member who is not eligible to contribute to the Solomon Islands National Provident Fund shall receive a payment at the same rate calculated and on the same basis as in relation to the National Provident Fund contribution as prescribed by the laws of Solomon Islands which shall be:¹⁴
 - a. paid as a contribution towards any superannuation fund of the staff member's choice; or
 - b. added to his/her regular salary payments; or
 - c. divided between superannuation contributions and salary payments.
6. The current superannuation level is 7.5% of the aggregate of base salary and allowances.

¹⁴ Amendments to the options for payment of superannuation made in 2006.

PART XV: GENERAL

REGULATION 33

Uniform and Protective Clothing

1. On Confirmation of appointment:
 - a. the courier/driver shall be issued with two uniforms which shall be replaced on the basis of fair wear and tear but not more than once a year;
 - b. Maintenance staff and security guards which are directly employed by the Agency, shall be issued two sets of overalls or other appropriate protective clothing and a pair of safety boots which shall be replaced on a fair wear and tear basis but not more than once a year.
 - c. Cleaners shall be issued with appropriate protective clothing which shall be replaced on the basis of fair wear and tear.

Staff Development and Training

2. The Director General shall, where deemed necessary in the interests of the Secretariat, provide for the training of staff members in subjects related directly or indirectly to their duties and advancement.

SCHEDULE 1A

Approved Salary Grades for professional staff under the Harmonised CROP conditions

FFA Salary Schedule for Professional Staff

EFFECTIVE: 1 January 2011¹⁵

Grade	Pt	Base Salary (SDR)	COLDA Allowance	Location Allowance
M	9	100,878	14.91%	16.25%
	8	96,688	15.15%	16.25%
	7	92,480	15.41%	16.25%
	6	88,277	15.70%	16.25%
	5	84,073	16.02%	16.25%
	4	79,867	16.36%	16.25%
	3	75,662	16.75%	16.25%
	2	71,457	17.18%	16.25%
	1	67,254	17.67%	16.25%
L	9	83,262	15.83%	16.25%
	8	79,815	16.11%	16.25%
	7	76,341	16.41%	16.25%
	6	72,870	16.75%	16.25%
	5	69,397	17.12%	16.25%
	4	65,925	17.52%	16.25%
	3	62,452	17.98%	16.25%
	2	58,979	18.48%	16.25%
	1	55,509	19.07%	16.25%

¹⁵ Approved by FFC77.

Grade	Pt	Base Salary (SDR)	COLDA Allowance	Location Allowance
K	9	65,556	17.47%	16.25%
	8	63,406	17.74%	16.25%
	7	61,269	18.03%	16.25%
	6	59,132	18.34%	16.25%
	5	56,997	18.67%	16.25%
	4	54,860	19.03%	16.25%
	3	52,724	19.42%	16.25%
	2	50,587	19.86%	16.25%
	1	48,451	20.32%	16.25%
J	9	52,566	18.71%	16.25%
	8	50,872	19.01%	16.25%
	7	49,155	19.35%	16.25%
	6	47,439	19.81%	16.25%
	5	45,721	20.11%	16.25%
	4	44,007	20.73%	16.25%
	3	42,289	21.00%	16.25%
	2	40,572	21.66%	16.25%
	1	38,856	22.01%	16.25%
I	9	35,445	20.91%	16.25%
	8	34,191	21.68%	16.25%
	7	32,921	21.80%	16.25%
	6	31,653	22.27%	16.25%
	5	30,384	22.81%	16.25%
	4	29,114	23.77%	16.25%
	3	27,846	24.03%	16.25%
	2	26,577	24.73%	16.25%
	1	25,309	25.73%	16.25%

SCHEDULE 1B

Approved Salary Grades for support staff

Base Salary (based on the 75% percentile of local market)

Effective 1 July 2010 under the harmonised CROP conditions.

Grade	Pt	Base Salary (SBD)	Housing Allowance (SBD)	Gross Total (SBD)
H	9	130775	36,000	166775
	8	127080	36,000	163080
	7	123385	36,000	159385
	6	119689	36,000	155689
	5	115995	36,000	151995
	4	112299	36,000	148299
	3	108605	36,000	144605
	2	104908	36,000	140908
	1	101213	36,000	137213
G	9	99090	36,000	135090
	8	97672	36,000	133672
	7	96257	36,000	132257
	6	94840	36,000	130840
	5	93423	36,000	129423
	4	92005	36,000	128005
	3	90588	36,000	126588
	2	89173	36,000	125173
	1	87755	36,000	123755
F	9	85590	36,000	121590
	8	83688	36,000	119688
	7	81786	36,000	117786
	6	79884	36,000	115884
	5	77982	36,000	113982
	4	76080	36,000	112080
	3	74177	36,000	110177
	2	72277	36,000	108277
	1	70376	36,000	106376

Grade	Pt	Base Salary (SBD)	Housing Allowance (SBD)	Gross Total (SBD)
E	9	66106	36,000	102106
	8	64123	36,000	100123
	7	62139	36,000	98139
	6	60158	36,000	96158
	5	58176	36,000	94176
	4	56192	36,000	92192
	3	54210	36,000	90210
	2	52226	36,000	88226
	1	50244	36,000	86244
D	9	50816	36,000	86816
	8	49409	36,000	85409
	7	48003	36,000	84003
	6	46599	36,000	82599
	5	45193	36,000	81193
	4	43787	36,000	79787
	3	42383	36,000	78383
	2	40977	36,000	76977
	1	39571	36,000	75571
C	9	41719	36,000	77719
	8	40562	36,000	76562
	7	39405	36,000	75405
	6	38247	36,000	74247
	5	37091	36,000	73091
	4	35930	36,000	71930
	3	34774	36,000	70774
	2	33616	36,000	69616
	1	32459	36,000	68459
B	9	22831	36,000	58831
	8	22248	36,000	58248
	7	21664	36,000	57664
	6	21080	36,000	57080
	5	20497	36,000	56497
	4	19913	36,000	55913
	3	19330	36,000	55330
	2	18746	36,000	54746
	1	18162	36,000	54162

Indicative Legend:

GRADE

- H** Para-professionals
- G** Para-professionals
- F** PAs, senior accounts officers, supervisors
- E** Senior accounts and data officers, semi-supervisors
- D** Experienced accounts & data entry officers
- C** Driver/Courier, Junior accounts & data entry officers
- B** Tea attendant/Cleaner, General Hand/Cleaner

SCHEDULE 1C

Approved Salary grades for staff under the SP10 Banding Model

Effective 1 July 2011

Band	From	Midpoint	To	Band Width	% Difference
1	130	140	150	20 -	
2	151	162	173	22	15.7%
3	174	187	200	26	15.4%
4	201	216	231	30	15.5%
5	232	250	267	35	15.7%
6	268	288	308	40	15.2%
7	309	333	356	47	15.6%
8	357	382	406	49	14.7%
9	407	431	455	48	12.8%
10	456	484	512	56	12.3%
11	513	544	574	61	12.4%
12	575	609	642	67	11.9%
13	643	686	728	85	12.6%
14	729	785	840	111	14.4%
15	841	903	965	124	15.0%
16	966	1048	1130	164	16.1%
Proposed CEO Bands					
17	1131	1216	1301 170	16.0%	
18	1302	1411	1520 218	16.0%	

All figures are expressed in SP10® points

SP-10 Banding Salary Scale proposed rates (SDR)

(Rates effective 1 January 2011)

Band	80%	Mid-Point	120%
1	tbc	tbc	tbc
2	tbc	tbc	tbc
3	tbc	tbc	tbc
4	tbc	tbc	tbc
5	tbc	tbc	tbc
6	tbc	tbc	tbc
7	tbc	tbc	tbc
8	tbc	tbc	tbc
9	22,754	28,443	34,132
10	25,597	31,996	38,395
11	30,638	38,298	45,958
12	35,272	44,090	52,908
13	40,438	50,547	60,656
14	47,299	59,124	70,949
15	56,094	70,117	84,140
16	65,078	81,348	97,618
17	72,966	91,207	109,448
18	84,660	105,825	126,990

SCHEDULE 2

Miscellaneous Allowances

The following allowances/benefits/conditions are paid as applicable.

Establishment Allowance: SDR 1,100.

Daily Subsistence Allowance

It was agreed by FFC 16 (Majuro, 1989) that the scale of daily subsistence allowances applicable to Agency staff and delegates attending FFA meetings would be the rates published from time to time by UNDP. The decision of FFC 16 was confirmed by FFC 23 (Palau, 1993).

Cost of Living Differential Allowance

The current base index figure is 141.7

Education Allowance (Regulation 23(2))

The maximum amount of actual compulsory school fees for a child in primary education is determined from the benchmark of the fee of the preparatory grade to grade 6 at Woodford International School.

The maximum amount of actual compulsory school fees and boarding for a child in secondary or tertiary education is US\$18,000 per annum. Hence, the maximum allowance per child is US\$13,500 per annum.

The maximum allowance per family per annum is US\$40,500 based on the secondary or tertiary benchmark amount of US\$13,500 times three.

SCHEDULE 3

FFA Remuneration Package for the Director-General

1. All benefits/conditions applicable to professional staff
 - Appointment by FFC and salary point on band also determined by FFC. Annual performance appraised by Chair of FFC and by the FFC.

The following also apply on appointment/renewal of contract

2. Representational Allowance (5% of base salary)
3. Accommodation (rent free)
4. Domestic Assistance Allowance (USD\$981 pa)
5. Electricity, gas, water (domestic) (free/paid by FFA)
6. Vehicle (provided by FFA)
7. Air travel (business class)
8. Per diem (15% top up)
9. Phone (free/FFA to pay except long Distance personal calls)

SCHEDULE 4A

Professional Staff Contract

Ref:

(Date)

Mr/Ms (Address)

Dear Mr/Ms

I have much pleasure in offering you a contract with the Pacific Islands Forum Fisheries Agency (FFA) as subject to the Staff Regulations, terms and conditions confirmed and approved by FFC48 in Rarotonga, May 2001 and amended from time to time.

TITLE OF POST

DUTIES:

To include, but not limited to, those specified in the attached Terms of Reference.

PRIVILEGES and IMMUNITIES:

Where appropriate, you will be entitled to privileges and immunities under the Diplomatic Privileges and Immunities Act 1978.

SALARY:

Your salary will be at **Grade** **Point** of the FFA Salaries Schedule for Professional Staff. The amount of your salary and main allowances will be expressed in Standard Drawing Rights (SDRs) and paid in SBD equivalent. Your salary will be:-

Basic salary: **SDR** per annum

Location Allowance: 16.25% of base salary

Rental Assistance: 75% of the agreed market rental value

Cost of Living Differential Allowance: % of base salary

TENURE:

If available, annual increments will be subject to an annual performance appraisal, sufficient funds and approval by the **Director-General**.

- CONFIDENTIALITY:** Your appointment will be for a term of **years** from the date of appointment.
- It is a condition of employment with the Pacific Islands Forum Fisheries Agency that a staff member shall not communicate to any person, organisation, government or to the press any unpublished information known to him by reason of his official position without obtaining prior permission of the Director-General at all times during and after termination of employment.
- RENEWAL OF CONTRACT:** Renewal of this employment contract will depend on the availability of funds, the ongoing need for your services and your work performance.
- DUTY STATION:** You will be stationed at Honiara, Solomon Islands but may be required from time to time to travel to other member countries of the Agency or elsewhere in connection with the duties of your position. Travel and subsistence allowances at approved rates will be paid for such periods as you are required to travel on duty.
- PLACE OF DOMICILE:** For the purposes of this appointment, your home town and country of domicile will be **(home town, city, state/province, country)**.
- DATE OF APPOINTMENT:** The date of appointment shall be the date you leave your place of recruitment to commence duties or the date you take up duties if recruited from Honiara.
- PROBATION:** The probationary period will be **six months** from the date of appointment.
- TERMINATION:** Employment may be terminated by either party giving the other **one month** notice in writing.
- OATH:** You are required to sign an undertaking in writing that you will serve only the Agency's interest.

GENERAL:

Such other terms and conditions shall apply as are set out in detail in the revised Staff Regulations now in force and as they may be amended from time to time.

The terms and conditions of your appointment as explained in this letter may be supplemented or amended by mutual agreement between yourself and the Director-General provided it is not inconsistent with the Staff Regulations.

A copy of the administrative notes applicable to your position is enclosed with this contract. Please familiarise yourself with the Staff Regulations as the terms and conditions of your employment are governed by both this contract and the Staff Regulations.

Please sign and return as soon as possible, the note attached to this letter of appointment to indicate your acceptance of the terms and conditions of employment with the Pacific Islands Forum Fisheries Agency.

I shall be pleased to furnish any additional information you may require in connection with this appointment and to give any other assistance possible.

Yours sincerely,

(name)
Director-General

Ref:

(Date)

The Director-General

Pacific Islands Forum Fisheries Agency
P O Box 629
Honiara
SOLOMON ISLANDS

Dear Sir

(TITLE OF POST)

I hereby accept your offer of appointment dated , subject to the revised terms and conditions specified therein and to the provisions of the Staff Regulations in force during the period of my service with the Pacific Islands Forum Fisheries Agency.

I solemnly undertake to exercise in all loyalty, discretion and conscience the functions entrusted to me as the (*title of post*) of the Pacific Islands Forum Fisheries Agency, to discharge these functions and regulate my conduct at all times with the interests of the Pacific Islands Forum Fisheries Agency in view and not to seek or accept instructions in regard to the performance of my duties from any government or other authority external to the Agency.

Yours faithfully

(Name of Staff)

Witnessed:

Signature

Date

Signature

Date

TITLE OF POST

ADMINISTRATIVE NOTES

At the earliest opportunity, you shall provide the Agency with medical certification of general good health and also fit for working in the tropics, which will also provide baselines for health insurance coverage.

Superannuation contributions to the maximum of 7.5% of your base salary and salary related allowances will be paid to you every six months.

If you contribute to the SI National Provident Fund, payment will be made in accordance with the Solomon Islands National Provident Fund Act.

You will be provided with a limited 24 hour accident insurance coverage under the Agency group policy.

You will be covered under the Agency's limited medical insurance plan.

You will earn annual leave at a rate of 30 working days per year which will be administered as indicated in the Staff Regulations.

You are eligible for annual leave passages in accordance with the Staff Regulations.

(Attach Terms of Reference as last page)

SCHEDULE 4B

Support Staff Contract

Ref:

(Date)

(Name and Address)

Dear

I have pleasure in offering you appointment with the Pacific Islands Forum Fisheries Agency (FFA) as (**title of post**) subject to the terms and conditions specified hereunder and to the Staff Regulations, terms and conditions confirmed and approved by FFC48 in Rarotonga, May 2001 and amended from time to time.

TITLE OF POST

DUTIES: To include, but not limited to, those specified in the attached Terms of Reference.

PRIVILEGES and IMMUNITIES: Where applicable, you will be entitled to immunities under the Diplomatic Privileges and Immunities Act 1978.

SALARY: Your salary will commence at **Grade ... Point ...** which is currently:

Basic salary: **SI\$**..... per annum and attracts a

Housing Allowance of: **SI\$**..... per annum

TENURE: Your appointment will be for an indefinite term subject to satisfactory work performance as assessed by the annual staff appraisal process, the ongoing need for this position, availability of funds, and the conditions of the Staff Regulations.

CONFIDENTIALITY: It is a condition of employment with the Pacific Islands Forum Fisheries Agency that a staff member shall not communicate to any person, organisation, government or to the press any unpublished information known to him by reason of his official position without obtaining prior permission of the Director at all times during and after termination of employment.

DUTY STATION:	You will be stationed at Honiara, Solomon Islands.
PLACE OF DOMICILE:	For the purposes of this appointment under the current funding arrangements supporting the post, your home town will be (home island, province, country).
DATE OF APPOINTMENT:	The date of appointment shall be the date you take up duties with the Agency.
PROBATIONERY PERIOD:	Probation will be six months from the date of appointment. Appointment will be confirmed in writing upon the satisfactory completion of the probationary period.
TERMINATION:	Either party may terminate employment by giving the other one month notice in writing.
LOYALTY:	You are required to sign an undertaking in writing that you will serve only the Agency's interest.
GENERAL:	Such other terms and conditions shall apply as are set out in detail in the Staff Regulations now in force and as they may be amended from time to time. The terms and conditions of your appointment as explained in this letter may be supplemented or amended by mutual agreement between yourself and the Director provided it is not inconsistent with the Staff Regulations.

A copy of the administrative notes applicable to your position is enclosed with this contract, together with the Staff Regulations. Please familiarise yourself with the Staff Regulations as the terms and conditions of your employment are governed by both this contract and the Staff Regulations.

Please sign and return as soon as possible, the note attached to this letter of appointment to indicate your acceptance of the terms and conditions of employment with the Pacific Islands Forum Fisheries Agency.

I shall be pleased to furnish any additional information you may require in connection with this appointment and to give any other assistance possible.

Yours sincerely,

(NAME)
Director-General

Ref:

(Date)

The Director-General

Forum Fisheries Agency
P O Box 629
Honiara
SOLOMON ISLANDS

Dear Sir

EMPLOYMENT AS (TITLE OF POST)

I hereby accept your offer of appointment dated, subject to the terms and conditions specified therein and to the provisions of the Staff Regulations in force during the period of my service with the Pacific Islands Forum Fisheries Agency.

I solemnly undertake to exercise in all loyalty, discretion and conscience the functions entrusted to me as a member of the secretariat staff of the Pacific Islands Forum Fisheries Agency, to discharge these functions and regulate my conduct at all times with the interests of the Pacific Islands Forum Fisheries Agency in view and not to seek or accept instructions in regard to the performance of my duties from any government or other authority external to the Agency.

Yours faithfully

(Name)

Witnessed:

Signature

Date

Signature

Date

TITLE OF POST

ADMINISTRATIVE NOTES

Superannuation contributions to the maximum of 7.5% of your basic salary will be deposited with the Solomon Islands National Provident Fund in accordance with the Solomon Islands National Provident Fund Act.

You will be provided with limited medical and accident insurance coverage under the Agency's medical and insurance schemes.

You will earn annual leave at a rate of 22 working days per year which will be administered as indicated in Regulation 25 of the Staff Regulations.

Annual leave passages for you and your dependants (as defined in Regulation 2 of the Staff Regulations) are payable to your home island.

The continuation of your appointment is subject to annual performance appraisal. Your employment may be terminated if your performance appraisal does not satisfy the Director-General's requirements.

Your salary will normally be paid fortnightly together with the salaries of the other FFA staff.

(Attach Terms of Reference as last page)

SCHEDULE 5

AGREEMENT CONCERNING THE STATUS, PRIVILEGES AND IMMUNITIES OF THE SOUTH PACIFIC FORUM FISHERIES AGENCY IN SOLOMON ISLANDS

The Government of Solomon Islands and the South Pacific Forum Fisheries Agency:

Having regard to Article VIII of the South Pacific Forum Fisheries Agency Convention;

Desiring to define the status, privileges and immunities in Solomon Islands of the South Pacific Forum Agency and its officers;

Having agreed as follows:

ARTICLE 1 – Interpretation

For the purpose of this Agreement

“Agency” means South Pacific Forum Fisheries Agency established by the South Pacific Forum Fisheries Agency Convention;

“Government” means Government of Solomon Islands;

“Act” means Diplomatic Privileges and Immunities Act as amended from time to time; and

“Vienna Convention” means Vienna Convention on Diplomatic Relations as defined in and given effect to by the Act, except that “the mission” shall be read as a reference to the Agency, “member of the mission” as officers of the Agency and “the sending State” as the Forum Fisheries Committee established by the South Pacific Forum Fisheries Agency Convention, or the home State of the officer concerned, as appropriate.

Article 2 – Capacity of the Agency

The Agency shall have the legal capacity of a body corporate, including the capacity to conclude contracts, and dispose of property, to sue and, subject to Article 3, to be sued.

Article 3 – Privileges and Immunities of the Agency

The Agency shall have the following privileges and immunities:

- a. Immunity from suit and legal process except:
 - i. to the extent that the Director General has waived the immunity;
 - ii. in respect of a counter-claim directly connected with a suit initiated by the Agency; and
 - iii. in respect of civil action for personal injury arising from an accident involving a motor vehicle owned or operated by the Agency;
- b. The like inviolability of official premises and archives as is accorded in respect of the official premises and archives of a diplomatic mission under the Vienna Convention;
- c. Immunity in relation to its property and assets, wherever located and by whomsoever held, from search, requisition, confiscation, expropriation, or any other form of interference;
- d. The like exemption from taxes and rates, other than taxes on the importation of goods, as is accorded to the Government of a foreign State under the Vienna Convention;
- e. Exemption from taxes on the importation of goods directly imported by the Agency for its official use in Solomon Islands or for exportation, or on the importation of any publications of the Agency directly imported by it subject to compliance with such conditions as the Minister responsible for finance may determine for the protection of the revenue;
- f. Exemption from prohibitions and restrictions on importation or exportation in the case of goods directly imported or exported by the Agency for its official use and in the case of any publications of the organization directly imported or exported by it, subject to compliance with such conditions as the Minister responsible for finance may determine for the protection of the public health, the prevention of diseases in plants and animals, and otherwise in the public interest;
- g. The right to avail itself, for telegraphic communications sent by it and containing only matter intended for publication by the press or for broadcasting (including communications addressed to or dispatched from places outside Solomon Islands) of any reduced rates applicable for the corresponding service in the case of press communication; and
- h. The right to freely receive, hold and invest in Solomon Islands and expatriate from Solomon Islands any type and amount of funds or of securities.

ARTICLE 4 – Premises and Essential Services

The Government shall assist the Agency to acquire suitable serviced land for office premises and for housing its officers, and shall take all reasonable steps to provide and maintain municipal services, including electricity, water, sewerage, telephone, telex, drainage, collection of refuse and fire protection to Agency premises.

ARTICLE 5 - Communications

1. The Government shall permit and protect free communications by any appropriate means by and to the Agency for all official purposes, and in the case of wireless transmission, shall assist in the allocation of a suitable broadcasting frequency.
2. The Agency may install or use a wireless transmitter only with consent of the Government.

ARTICLE 6 – Privileges and Immunities of Director General and Deputy Director General

1. The Director General and the Deputy Director General of the Agency shall have the like privileges and immunities as are accorded a diplomatic agent under the Vienna Convention.
2. The member of the family of the Director General and of the family of the Deputy Director General, forming part of the household of each, shall have the like privileges and immunities as are accorded the members of the family of a diplomatic agent under the Vienna Convention.

ARTICLE 7 – Privileges and Immunities of other Staff

1. Officers of the Agency other than the Director General and the Deputy Director General shall have the like privileges and immunities as are accorded members of the administrative and technical staff of a mission under the Vienna Convention.
2. Members of the family of an officer of the Agency other than the Director General or the Deputy Director General, forming part of his/her household, shall have the like privileges and immunities as are accorded the members of the family of a member of the administrative and technical staff of a mission under the Vienna Convention.

ARTICLE 8 – Application to Solomon Islands Nationals

Persons who are nationals of or permanently resident in Solomon Islands shall have the privileges and immunities set out in Article 6 and 7 only to the extent that they would have had those privileges and immunities under the Vienna Convention.

ARTICLE 9 – Education for Officers’ Children

The Government shall use its best endeavours to ensure that children of Agency officers have full opportunity to participate in primary and secondary schooling.

ARTICLE 10 – Conferring, removing and waving benefits.

Privileges and immunities under this Agreement shall be conferred and may be removed by the Government at the times and in the circumstances set out in Article 39 of the Vienna Convention, and may be waived in the circumstance set out in Article 32 of the Vienna Convention.

ARTICLE 11 - Consultations

At the request of the Government or the Agency, the Government and the Agency shall consult regarding the implementation of the Agreement, any proposed modifications or extensions to this Agreement, and any alleged abuse of the privileges and immunities provided by the Agreement. Any interpretation or application of this Agreement, or any modification or extension which is consistent with Article VIII or the South Pacific Forum Fisheries Agency Convention may be agreed by an exchange of notes between an authorized representative of the Government and the Director General of the Agency.

ARTICLE 12 – Entry into Force

This Agreement shall enter into force upon signature by the Director General of the Agency and by a representative of the Government.

ARTICLE 13 - Depository

This Agreement shall be deposited with the Government and registered with the United Nations Organization.

Dated this 10th day of August in the year nineteen hundred and eighty four.

HON. GEORGE M. TALASASA
Minister for Foreign Affairs and
Trade

PHILIPP MULLER
Director of the Agency International

Supplementary Rules for On-Call Duties

Approved by the Director-General

In exercise of the powers conferred upon me by the Forum Fisheries Committee and Regulation 1(5) of the Staff Regulations, I make the following rules to supplement Regulation 18 of the Staff Regulations:

Overtime (On-Call Duties)

RULE 1 Eligibility for On-Call Benefits

Support staff may claim an on-call allowance or time off in lieu for the time¹⁶ they are required to be on-call in excess of normal working hours. Any on-call duties must be approved by the Division Director or the immediate supervisor.

RULE 2 On-Call Allowance Rates

1. For on-call support staff that actually attend to work during the on-call period, the rates for on-call allowances are:
 - a. On weekdays other than public holidays, one and a half times the normal hourly rate;
 - b. On weekends and public holidays, double the normal hourly rate.
2. For on-call support staff that are not required to attend to work but are required to be on-call during the on-call period, the rate for on-call allowances are:
 - a. On weekdays other than public holidays, 10% of the normal hourly rate;
 - b. On weekends and public holidays, 20% of the normal hourly rate.

The normal hourly rate is calculated by dividing the annual salary of the relevant on-call support staff by 1950.

¹⁶ The time the on-call support staff actually attends to a office work matter should include times when:

- a. Staff attend to office work at home.
- b. On-call support staff is able to attend to work matters while at home without coming to office.
- c. The time spent on office work is calculated to the nearest 30 minutes.

Rule 3 Time off in Lieu

Time taken off in lieu shall not exceed the on-call hours that the on-call support staff is required to actually attend to work.

Rule 4 Transport Assistance

1. On call support staff required to attend to work during the on-call period beyond normal work hours or on public holidays or weekends shall where applicable be reimbursed for the cost of reasonable transport between workplace and home or be provided with Secretariat transport.
2. On call support staff that are not required to attend to work but are required to be on-call during the on-call period beyond normal work hours or on public holidays or weekends are not eligible for transport assistance.

Rule 5 Meal Allowance

1. On-call support staff required to actually attend to work during the on-call period beyond normal work hours or on public holidays or weekends shall be paid a meal allowance in accordance with Secretariat procedures at rates approved by the Director-General.
2. On-call support staff that are not required to attend to work but required to be on-call during the on-call period beyond normal work hours or on public holidays or weekends are not eligible for a meal allowance.





FFA

PACIFIC ISLANDS FORUM FISHERIES AGENCY

FINANCIAL REGULATIONS

**As amended by the 100th Meeting of the Forum
Fisheries Committee, Honiara, Solomon Islands,
November 4, 2016**

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FINANCIAL REGULATIONS

PURPOSE Regulation 1

These Regulations shall govern the financial administration of the Pacific Islands Forum Fisheries Agency. The objective of the regulations is to ensure that the Agency's financial resources are managed efficiently and effectively with high standards of accountability and transparency maintained.

DEFINITIONS Regulation 2

In these Regulations, unless the contrary intention appears:-

“Agency” means the Pacific Islands Forum Fisheries Agency;

“Annual Work Program and Budget” (or “AWPB”) means the detailed budget and work program approved annually by the Forum Fisheries Committee.

“Audit Committee” means the sub-committee of the Forum Fisheries Committee established in that name

to examine and recommend on any financial, budgetary and corporate governance matter as directed by the Committee:

“Convention” means the South Pacific Forum Fisheries Agency Convention;

“Committee” means the Forum Fisheries Committee established by Article I of the Convention,

“Depositary” means the Government of Solomon Islands

“Director-General” means the person appointed by the Committee pursuant to Article VI(1) of the Convention;

“Financial Year” means 1 July to 30 June of any stated year(s);

“Forum” means the Pacific Islands Forum, convening as the annual Pacific Islands Forum Leaders Meeting;

“IPSAS” means the International Public Sector Accounting Standards;

“Member Government” means any one of the Pacific Islands Forum countries or other States or Territories in the region who is a member of the Agency;

“USD” means United States Dollars.

THE BUDGET

Regulation 3

- a. The Director-General shall prepare, for each financial year, a draft Work Program and Budget and Supplementary Budget of the Agency to be with Member Governments at least one month before it is submitted to the Committee.
- b. The Committee shall examine the draft Work Program and Budget and Supplementary Budget and, subject to any amendments, approve the said Work Program and Budget and Supplementary Budget.
- c. The Work Program and Budget shall cover:
 - (i) General Fund Budget - income and administrative expenditure;
 - (ii) Trust Fund Budget - work program funding and expenditure;
 - (iii) Housing Fund Budget - rent, administration fees, sales proceeds and expenditure; and the
 - (iv) Vessel Register Fund Budget.
- d. The Budget and Supplementary Budget shall be presented in USD to cover the financial year from 1 July to 30 June of the following year.
- e. The Budget and Supplementary Budget shall be arranged in such form and in such outputs and sub- outputs as may be directed by the Committee.
- f. The Budget shall be prepared so that estimated expenditure does not exceed the total anticipated funds that will be available for the financial year.
- g. The purpose of the Supplementary Budget is to list activities that the Secretariat has identified for the financial year, including their estimated costs, but for which there are currently no funds. As funds become available for activities listed under the Supplementary Budget, these activities and funds may be placed in the Trust Fund or other Funds as required.
- h. The Committee will submit the approved Annual Work Program and Budget to the Forum as pursuant to Article VI (5) of the Convention.

- i. The Committee may also approve a Revised Budget at an appropriate point in the Financial Year, usually associated with the convening of a special Committee meeting. The Revised Budget will take up any approved items within the Supplementary Budget as described in Regulation 3 (g) and also identify any new funding or priorities for the attention and approval of the Committee at that time. The Revised Budget will also follow the provisions of Regulation 3(d), 3 (e) and 3 (f) of these Regulations.

APPROPRIATIONS

Regulation 4

- a. The adoption of the Work Program and Budget by the Committee shall constitute the authority for the Director-General to incur commitments and make payments for the purposes for which the expenditure was approved and up to the amounts so approved.
- b. The adoption of the Supplementary Budget by the Committee shall constitute the authority for the Director-General to seek donor funds to cover the listed activities. The activities approved under the Supplementary Budget cannot commence until funding has been confirmed.
- c. The adoption of the Revised Work Program and Budget by the Committee shall constitute the authority for the Director-General to incur commitments and make payments for the purposes for which the expenditure was approved and up to the amounts so approved.

Regulation 5

- a. Subject to Regulation 4, funds provided in the Budget shall be available for commitment during the financial year to which they relate. The Director-General may incur commitments for expenses against the next financial year before the Budget for that year is approved, when such commitments are necessary for the continued effective functioning of the Agency, provided such expenditure from each fund does not exceed two-thirds of the previous years' approved expenditure for that fund pursuant to Article VI(9) of the Convention.
- b. If not included in the Annual Work Program and Budget, the Director-General shall report a summary of those commitments at an annual meeting, calculated in accordance with International Public Sector Accounting Standards (IPSAS).

Regulation 6

- a. Funds shall remain available for twelve months following the financial year to which they relate to the extent that they are required to liquidate commitments.
- b. Commitments at the close of the financial year shall include commitments for goods, services or works supplied during the year, for goods, services or works ordered but not supplied or rendered at the close of the financial year, and any other commitments entered into or liability incurred but not discharged, at the close of the financial year.
- c. Any commitment undischarged at the end of this twelve-month period shall at that time be cancelled, but if the commitment remains a valid charge, the expenditure shall be re-budgeted in the following year.

Regulation 7

The Director-General may-

- a. Under the General Fund Budget:
 - (i) transfer anticipated savings under any sub-outputs to meet anticipated over-expenditure under any other sub-output of the same output; and
 - (ii) transfer available funds between outputs,

provided that, in total, such transfers do not increase or reduce the budgetary provision for any one output-by more than ten percent. If circumstances require transfers exceeding ten percent of the budgetary provision of any one output, the details of such transfers or proposed transfers are to be reported to the next session of the Committee or included in the new Annual Work Program and Budget.

- b. Under the Trust Fund Budget:
 - (i) transfer anticipated savings under any sub-output to meet anticipated over-expenditure under any other sub-output of the same output, and
 - (ii) transfer funds between outputs after consultation with donors where appropriate.
- c. Under the Housing Fund Budget:
 - (i) transfer anticipated savings under any budget lines to meet anticipated over-expenditure under any other budget lines.

- d. Under the Vessel Register Fund Budget:
 - (i) transfer anticipated savings under any budget lines to meet anticipated over-expenditure under any other budget lines.
- e. Details of such transfers are to be carried out in accordance with normal accounting procedures and reported in line with the Annual External Audit and Budget processes.
- f. Such transfers will also conform to procedures identified in Regulations 14-16 concerning any use of Reserve Funds.

CONTRIBUTIONS

Regulation 8

- a. The amount of Member Government contributions to be levied annually shall be apportioned among the Member Governments according to the scale of assessments adopted by the Committee. Such contributions shall be used exclusively within the General Fund.
- b. Contributions shall be calculated and paid in USD.

Regulation 9

- a. The Committee shall approve the level of Member Government contributions prior to the commencement of the financial year. The approved level of contributions shall be communicated to Member Governments by the Director-General as soon as possible after the adoption of the Work Program and Budget by the Committee.
- b. Member Governments shall pay their contributions within three months of the commencement of the financial year for which they are due. Member Governments which may be unable to comply with this Regulation for any reason shall notify the Director-General during the first quarter of that financial year to seek exemption to this Regulation and identify a probable payment schedule.

Regulation 10

The Director-General shall report annually to the Committee the details of any Member Government(s) in arrears for a full financial year, and seek instruction as to appropriate action.

Regulation 11

- a. In the case of a country, or a territory under an agreed procedure, depositing an instrument of accession with the depositary after the adoption of these regulations, the new member will pay as contribution, an amount which the Committee shall determine, according to the scale of assessments adopted by the Committee. The contribution will be a proportionate share based on the months of the financial year remaining, after the date of joining. This arrangement applies only to the year of joining and the future rate of contribution will be determined in accordance with Regulation 8 (a).
- b. A Member Government withdrawing from the Agency shall be liable for one year's assessed contributions from the date of notification in writing of its intention to withdraw in accordance with Article XI (1) of the Convention.
- c. Voluntary contributions, gifts, legacies and other extraordinary receipts for which no specific purpose is defined shall be treated as miscellaneous income and accrue to the General Fund.

FUNDS Regulation 12

- a. The income and expenditure of the Agency shall be accounted for under four funds:
 - (i) **General Fund:** covering Member Government contributions, management fees and other relevant income involving the administrative expenditure of the Agency;
 - (ii) **Trust Fund:** covering work program funding and expenditure, by donors;
 - (iii) **Housing Fund:** covering all rent, housing management fees, proceeds of house sales, any borrowings to acquire housing, and housing-related expenditure; and
 - (iv) **Vessel Register Fund:** funded from vessel registration fees to separately account for the cost of:
 - a contribution to the General Fund equivalent to USD200 per registered vessel;
 - a contribution to regional observer program support provided by the Secretariat and the Secretariat of the Pacific Community in the amount determined by the Committee from time to time; and

- Monitoring, Control and Surveillance (MCS) programs included in the work program and budget approved by the Committee, with a high priority on the Vessel Monitoring System.
- b. Any monies administered by the Agency on behalf of certain Member Governments shall be accounted for in separate funds.

Regulation 13

- a. The Trust Funds shall be used only for the purposes agreed with and specified by the donors and shall be accepted only if the purposes of such contributions from Member Governments, private organizations or other donors are consistent with the policies and procedures of the Agency.
- b. All costs relating to activities funded by the Trust Fund shall be a charge against the Trust Funds and shall be included in the financial statements of the Agency.
- c. Any interest received from the investment of Trust Fund monies will accrue to the relevant Trust Fund project unless otherwise agreed or directed by the donor.
- d. In accordance with decisions of the Committee, the Agency will recoup a management fee for all Trust Fund or similar activities, with such funds transferred to the General Fund. This fee shall be up to a maximum of 15 per percent unless otherwise agreed. In those instances where the transfer of such a fee either cannot be agreed or is not appropriate (such as small scale project funding) the Director General will implement an acceptable alternative arrangement and seek the advice of the Committee if required.
- e. The Secretariat shall maintain a register of all Trust Fund Agreements with members and/or donors and enter such details into the register at the time of negotiation and signing such agreements. The Secretariat shall regularly monitor and update this schedule to ensure all governance, reporting and financial claims specified within these agreements are conducted in timely fashion and in accordance with donor and Agency requirements.

RESERVES **Regulation 14**

- a. Any surplus in the General Fund at the close of any financial year shall be paid into the General Fund Reserve.

- b. Any surplus in the Trust Fund at the close of any financial year may be carried forward for use in subsequent years as identified in the Annual Work Program and Budget for that year, or otherwise transferred to the Trust Fund Reserve and dealt with in accordance with Regulation 15(b). Any actions under this regulation shall be in accordance with any specifications within the relevant donor agreement.
- c. Any surplus in the Housing Fund at the close of any financial year shall be paid into the Housing Fund Reserve.
- d. Any surplus in the Vessel Register Fund at the close of any financial year shall be paid into the Vessel Register Fund Reserve.

Regulation 15

- a. The General Fund Reserve may be used:
 - (i) for capital and any other non-recurring expenditure specified in the Budget for the General Fund;
 - (ii) during any emergency, with the authorization of the Director-General;
 - (iii) to meet unanticipated liquidity shortfalls in the Trust Fund, with the authorisation of the Director-General;
- b. The Trust Fund Reserve may be used for further activities with the authorisation of the Committee.
- c. The Housing Fund Reserve may be used to purchase, refurbish or maintain Agency housing in accordance with Regulation 12(iii).
- d. The Vessel Register Fund Reserve may be used for capital and other significant non-recurring expenditure related to the Vessel Monitoring System, or as directed under Regulation 12 (iv) and Regulation 16 (b).
- e. Funds transferred from the General Reserve to the Trust Fund shall be reimbursed to the General Fund Reserve when such funds from the Trust Fund become available.
- f. The Director-General shall report to the annual session of the Committee the details of any transfer from the General Fund Reserve to the Trust Fund and the General Fund.
- g. The Reserves shall be accounted for in the financial statements of the Agency in accordance with Regulation 19.

Regulation 16

In respect of any Fund Reserves:

- a. The minimum amount to be held in any of the Fund Reserves (other than the Trust Fund) shall be the average of two months expenditure of the relevant Fund in the current financial year and the maximum amount that is to be held shall be the average of six months expenditure of the relevant Fund in the current financial year.
- b. For the Vessel Register Fund Reserve, if the maximum amount is exceeded, the Director-General shall transfer the surplus amount into the next financial year's income, or to the Trust Fund Reserve or General Fund Reserve if either is below or close to the minimum amount, to be considered by the Committee in the proposed Annual Work Programme and Budget.
- c. For any other Fund Reserves, if the maximum amount is exceeded, the Director-General shall transfer the surplus amount into the next financial year's income, to be considered by the Committee in the proposed Annual Work Programme and Budget.
- d. If it is intended that the General Fund Reserve, Housing Fund Reserve or Vessel Register Fund Reserve fall below the minimum amount, the Director-General shall seek the approval of the Committee or otherwise report this outcome to the Committee at its annual session in accordance with Regulation 19.

CUSTODY OF FUNDS

Regulation 17

Subject to Regulation 18, the monies of the Agency shall be held in commercial bank accounts.

- a. The Director-General shall:
 - (i) determine in which bank or banks the funds will be held;
 - (ii) determine the currency in which the funds shall be held;
 - (iii) be responsible for appointing signatories to the bank accounts; and
 - (iv) report annually any new accounts or terminated accounts.

INVESTMENT OF FUNDS

Regulation 18

- a. The Director-General may make short-term investments in interest-bearing bank deposits, consistent with liquidity requirements of the Agency.
- b. Any such investments in USD shall be made to optimise interest earnings while addressing any known risks and accounting for the operational requirements of the agency.
- c. Any investments in non-USD will be done with regard to any prevailing foreign currency exchange policies approved by the Director General and/or the Committee, including in respect of currency hedging strategies, and will otherwise minimise the risk of long-term exposure to changing market conditions.
- d. Any changes to the foreign currency management policies approved by the Director General shall be brought to the attention of the Audit Committee at their next Annual Session.

FINANCIAL STATEMENTS

Regulation 19

- a. The Agency's financial statements shall, among other things, include the following statements and details in accordance within International Public Sector Accounting Standards (IPSAS) requirements:
 - (i) Statement of Financial Performance
 - (ii) Statement of Financial Position
 - (iii) Statement of changes in equity
 - (iv) Statement of Cash Flow
 - (v) Statement of Comparison of Budgets and Actual Amounts
 - (vi) Notes to the Financial Statements.

Details will also include the status of each Fund and of each Reserve Fund, and the consolidated income and expenditure statement of the Agency for the financial year.

- b. The Director-General is responsible for supervising and preparing financial statements in accordance with IPSAS and include accrual based accounting and to account for property, plant and equipment in the Balance Sheet.

- c. The valuation of land and property owned by the Agency shall be undertaken at a minimum of every four years.
- d. The Director-General shall also give such other information as may be appropriate to indicate the current financial position of the Agency.
- e. The financial statements for each financial year shall be submitted by the Agency to the Auditor by 30 September following the end of that financial year.
- f. The Director-General shall declare on the financial statements that
 - (i) the financial statements fairly present the financial position of the FFA and its financial performance and cash flows as at end of the financial year;
 - (ii) the financial statements of the Secretariat have been prepared using appropriate accounting policies, consistently applied and supported by reasonable judgements and estimates;
 - (iii) all relevant financial reporting and accounting standards have been followed; and
 - (iv) in the conduct of its work, the FFA has complied with the requirements of the Financial Regulations.
- g. The audited financial statements are to be submitted to the annual meeting of the Committee following the receipt of the Auditor's report.

INTERNAL CONTROL

Regulation 20

The Director-General shall:

- a. issue and keep up-to-date a comprehensive Financial Procedures Manual in order to ensure effective day-to-day financial management and internal control over the resources of the Agency.
- b. cause all payments to be made on the basis of supporting vouchers, invoices and other documents which ensure that the goods, services or have been supplied, and that payments have not previously been made;
- c. designate officers who have delegated authority to receive monies, incur commitments, approve disbursements, authorise investments on behalf of the Agency and to otherwise manage its resources;

- d. maintain an effective internal financial control system, in order to ensure:
 - (i) the regularity of the receipt, custody and disposal of all funds and other financial resources of the Agency;
 - (ii) the conformity of commitments and expenditure with the Budget and these regulations;
 - (iii) the safeguarding of the assets of the Agency;
 - (iv) the prevention and detection of fraud and irregularities.
- e. Appoint an Internal Auditor, and other staff as required, to scrutinise and advise on adherence to the Financial Regulations, the provisions of the Financial Procedures Manual, and any other corporate or governance matters at the direction of the Audit Committee and/or the Director General; and to ensure that the Internal Auditor has an Operating Manual and Program of Work examined and approved by the Committee at regular occasions.
- f. Consult with the Committee (including out of session) should there be any reason to discontinue either the services of an Internal Auditor, or the position.

Regulation 21

The Director-General may, after full investigation, authorise the writing off of losses of cash, stores and other assets, provided that the value of all such items written off shall be reported to the Committee together with appropriate explanatory notes.

EXTERNAL AUDITING AND REPORTING

Regulation 22

- a. On the Director-General's recommendation, the Committee shall appoint a suitably qualified Auditor from a member country to undertake the audit of the Agency's financial statements in accordance with the International Standards of Auditing.
- b. The contract for appointment of the auditor shall be for a term of two (2) years with the option to renew for additional year(s) provided the cumulative term of appointment is not more than four (4) years.

Regulation 23

The Auditor shall make annually, and at such other times as the Committee considers necessary, an independent audit in order to provide an opinion on whether:

- a. the Financial Regulations have been complied with;
- b. the Agency's internal controls are operating effectively;
- c. the financial statements fairly present the financial position and results of operations and cashflows of the Agency in accordance with generally accepted accounting principles.

Regulation 24

The Director-General shall ensure that the Auditor is supplied with every facility required for the proper discharge of its audit duties and shall respond promptly to any queries that may be raised.

Regulation 25

The Auditor shall prepare a management letter which shall state:

- a. the extent and character of the examination and any important changes therein;
- b. matters affecting the completeness or accuracy of the financial statements;
- c. any inadequacies in the Agency's internal controls;
- d. any other matters which should be brought to the notice of the Committee.

Regulation 26

The Director-General shall provide written responses to the Committee with an action plan for implementing any audit recommendations.

Regulation 27

The approved external Audit Report, as contained within the Annual Report together with the Approved Work Program and Budget, shall be transmitted to the Forum by the Committee, in accordance with Article VI(5) of the Convention.

GENERAL PROVISIONS

Regulation 28

The Director-General may enter into contracts for goods, services or works and the sale and purchase of property but not contracts to borrow money, enter derivative transactions, or give guarantees or indemnities without the prior written approval of the Committee and within policies and guidelines approved by the Committee. The Committee may limit the total amount of money that the Director-General may borrow and set the terms and conditions of any borrowings by the Director-General on behalf of the Agency.

Regulation 29

All existing rules, regulations, instructions and decisions of the Agency, insofar as they refer to matters provided for in these Regulations, shall be deemed to be superseded as from the date that these Regulations enter into effect.

Regulation 30

These Regulations shall be effective as from the date of approval, by the Committee and may be amended only by the Committee.

PART III







FFA

PACIFIC ISLANDS FORUM FISHERIES AGENCY

**PACIFIC ISLANDS
FORUM FISHERIES AGENCY
STRATEGIC PLAN
2020-2025**

FOREWORD

The Pacific Islands Forum Fisheries Agency proudly celebrates its 40th anniversary in 2019, having been established by Forum Leaders in 1979 to strengthen the national capacity and regional solidarity of Forum member countries in the sustainable management and development of their offshore fisheries resources. Our Leaders' visionary decision to establish FFA was in anticipation of the establishment of EEZs under the 1982 UN Convention on the Law of the Sea (UNCLOS).

There is much to celebrate this year in relation to the achievements of the FFA over the past four decades. There is also substantial work ahead. Ensuring the Pacific's tuna resources are sustainably managed for future generations is increasingly challenging – particularly given the projected impacts of climate change on abundance and movement of highly migratory tuna stocks, and the increased pressure on our fisheries resources for food security, both in the Pacific and internationally.

FFA operates in a dynamic and fast changing environment. While FFA members can be proud that each of the four main target tuna stocks in the region are currently considered to be at sustainable levels, there is no room for complacency. It is imperative that the Secretariat and its members keep evolving and adapting if we are to stay at the forefront of regional fisheries management into the future, addressing the challenges ahead and securing the benefits of this tremendous resource for the benefit of generations to come.

There is now more at stake in relation to management and development of our tuna resources than ever before. As management measures become more complex, the demands for high quality fisheries management advice and support has increased. The success of the PNA's purse seine Vessel Day Scheme has resulted in significant increases in economic returns to VDS participants creating greater need for commercial and economic advice and support. Meanwhile, securing benefits from longline fisheries stands out as a key challenge for the coming years, requiring hard decisions at national and sub-regional level and a united push by FFA members to strengthen management measures and improve global standards for fishing on the high seas.

Equally important to ensuring a biologically and economically sustainable offshore fishery is a socially sustainable fishery which upholds our values. FFA members have established leading world-wide standards for safe employment of observers and crew on fishing vessels – standards to ensure they are treated with fairness and dignity. It will be critical to ensure full implementation of these standards. As always, our Pacific culture and perspective shape the way we operate, lead and work together in fulfilling the task set by our Forum Leaders in establishing FFA.

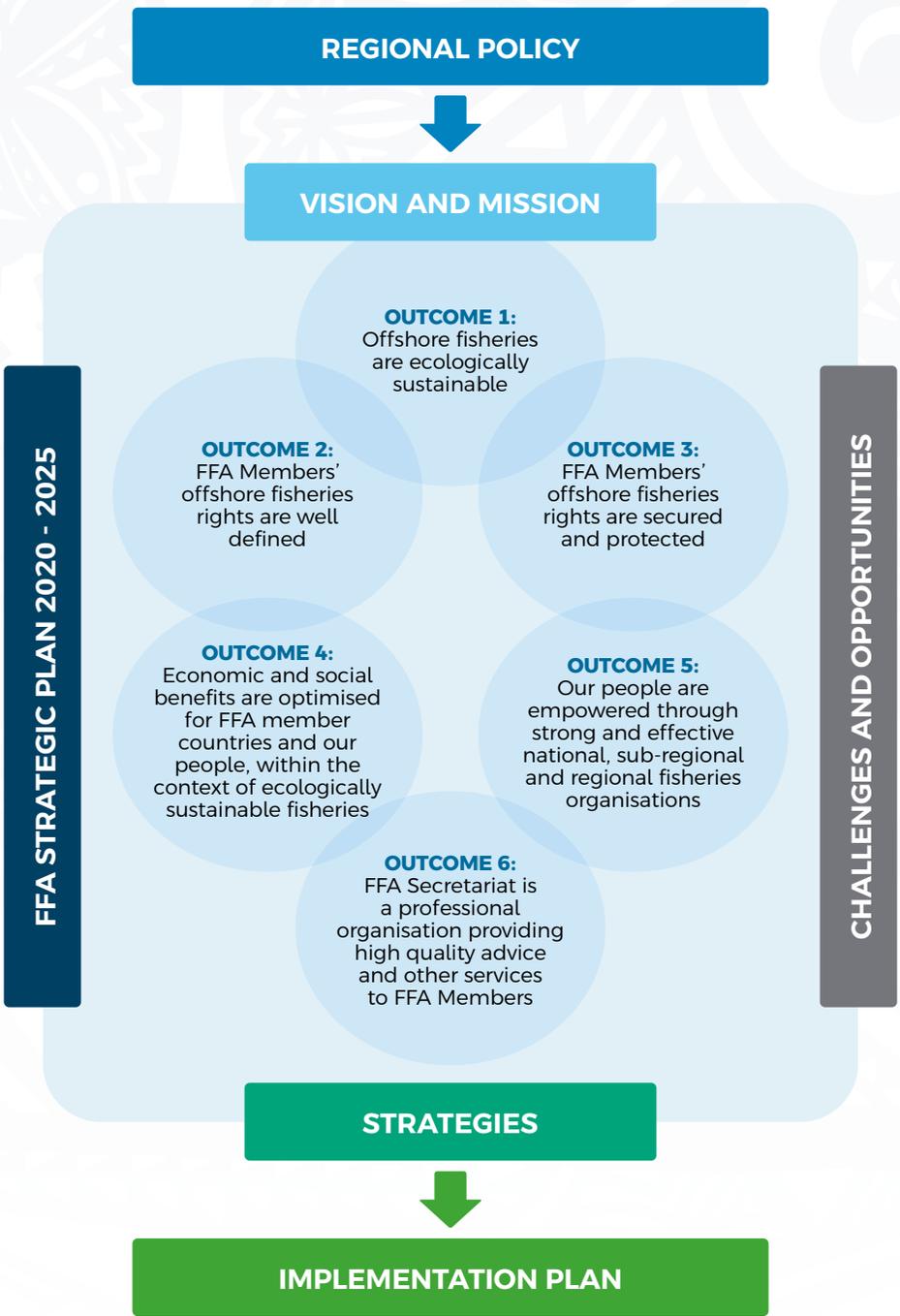
The new FFA Strategic Plan 2020-2025 provides a solid platform for FFA to tackle the challenges ahead and to take advantage of the opportunities. The new Plan differentiates the important roles played by FFA members, the Forum Fisheries Committee as the governing body of FFA, and the FFA Secretariat. Importantly, the new Plan has a strong focus on empowerment of our people and the strengthening of our fisheries institutions, be it at national or regional level, to manage our shared fisheries for the collective benefit of the region into the future.

Lastly, the new Plan recognises the ongoing importance of collective action while also embracing sub-regional initiatives and groupings based around shared fisheries interests. It recognises and embraces the central importance of collaboration for achieving our Vision, Mission and Objectives – collaboration not just between FFA members and with the FFA Secretariat but also with key partner organisations such as PNAO and our fellow CROP organisations SPC, PIFS and SPREP, and with donors who make so much of the FFA's work possible. In an increasingly crowded space, FFA plays a central role in driving the collaboration, coordination and coherence necessary for achieving effective outcomes in line with Members' priorities and objectives.

I firmly believe this Plan, has captured our intent, our drive and our commitment – the future is bright!



Honourable Secretary Marion Henry
Secretary of Resources and Development
Federated States of Micronesia
Chair of 16th Annual Ministerial FFC Meeting



This Strategic Plan provides a blueprint for collective action by the Members of the Forum Fisheries Agency (FFA) for the sustainable management and development of their offshore fisheries resources. The Strategic Plan also covers the work of the Forum Fisheries Committee (FFC, the FFA governing council) and the Honiara based FFA Secretariat.

VISION

Our people enjoying the greatest possible social and economic benefits from the sustainable use of offshore fisheries resources.

MISSION

Empowering FFA Members to take collective and national action for the sustainable use of offshore fisheries resources.

OUTCOMES

Starting in the year 2020, in support of the Vision and Mission and in accordance with guidance provided by Forum Leaders, the FFA will work towards achievement of the following outcomes at both national and regional levels:

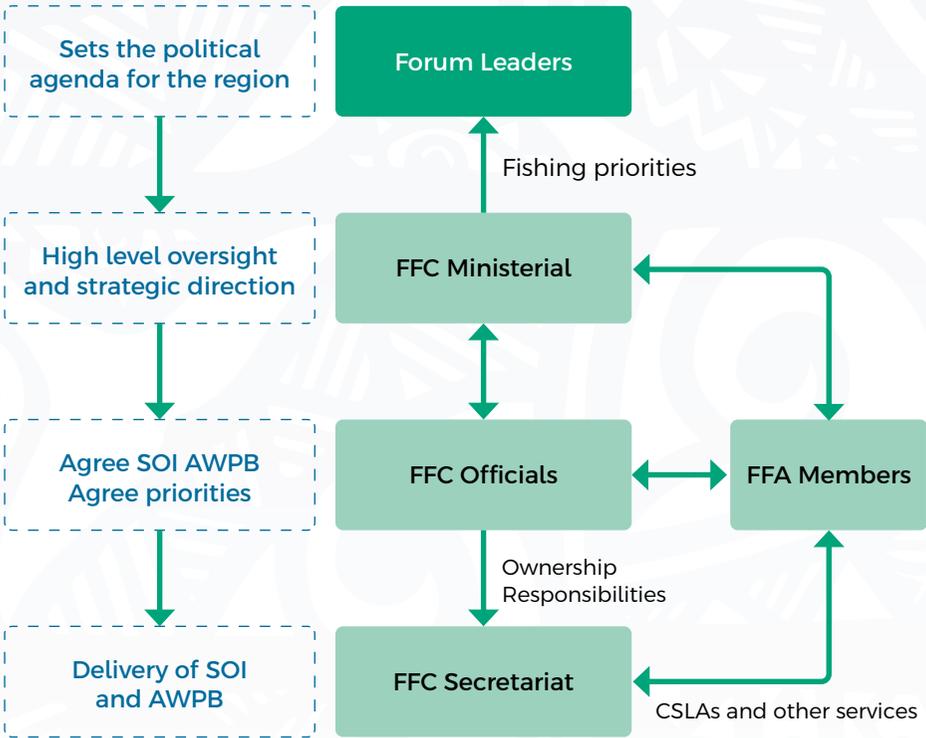
- Outcome 1:** Offshore fisheries are ecologically sustainable
- Outcome 2:** FFA Members' offshore fisheries rights are well defined
- Outcome 3:** FFA Members' offshore fisheries rights are secured and protected
- Outcome 4:** Economic and social benefits are optimised for FFA member countries and our people, within the context of ecologically sustainable fisheries
- Outcome 5:** Our people are empowered through strong and effective national, sub-regional and regional fisheries organisations
- Outcome 6:** FFA Secretariat is a professional organisation providing high quality advice and other services to FFA Members

FFA GOVERNANCE

FFA is governed by the following four entities:

1. **Pacific Island Forum Leaders** provide overall regional leadership, oversight and direction to support regional fisheries issues, including through the Regional Roadmap for Sustainable Pacific Fisheries.
2. **The Forum Fisheries Committee (FFC)**, which meets at two levels:
 - (i) **FFC Ministers** set the strategic direction and policies for offshore fisheries in the Pacific and provide governance oversight to the FFA Secretariat. Ministers report to Leaders and are accountable for the delivery of the FFA Strategic Plan.
 - (ii) **FFC Officials** have two primary roles:
 - to form collective positions and develop cooperative management strategies for endorsement of Ministers, and
 - to exercise their ownership responsibilities through operational oversight and support of the FFA Secretariat, including through approving the Statement of Intent and Annual Workplan and Budget. FFC Officials report to Ministers on progress on the implementation of the Strategic Plan. The Audit Committee, a sub-committee of FFC Officials, provides advice to the FFC on corporate and financial governance.
3. **FFA Members** implement agreed collective actions in their national management arrangements and receive advisory and other services from the FFA Secretariat. Recognising their national and sub-regional interests and responsibilities, FFA Members also have a commitment to act cooperatively through FFA not only to pursue mutually beneficial outcomes through regional solidarity, but also to maintain consensus and implement regional decisions.
4. **The FFA Secretariat** delivers services to FFA Members to achieve the Vision and Mission of the FFA, as defined in this Strategic Plan, the Statement of Intent (SOI), the Annual Workplan and Budget (AWPB) and Country Service Level Agreements. The Executive of the Secretariat is accountable to FFC for the delivery of the SOI and AWPB.

THE FFA GOVERNANCE STRUCTURE



PRINCIPLES

The following principles guide the way in which FFC, FFA Members and the FFA Secretariat implement the Strategic Plan.

1. **Regional cooperation and solidarity** – FFA embraces collective sub-regional and regional action and recognises this as the most effective mechanism for securing the long-term sustainable use of the region’s common pool fisheries resources.
2. **Ethical behaviour** – FFA will operate with honesty, respect, integrity and professionalism in an open and transparent environment that takes account of national interests of FFA Members.
3. **Social equity** – FFA is committed to equity including the promotion of gender equality, intergenerational equity and social inclusion, fair working conditions at sea and onshore, and equitable access to, and benefits from offshore fisheries resources.

4. **Member driven** – The work and priorities of FFA are driven by Members needs and interests, as articulated in this Strategic Plan. FFA welcomes the support of donors and other strategic partners where it aligns with the overall objectives of members.
5. **Empowering and valuing people** – Empowering our people with the skills and capability to achieve improved fisheries outcomes. Valuing people in the fisheries administrations of FFA Members and the FFA Secretariat and recognising the benefit of diversity and continued skills development.

CHALLENGES AND OPPORTUNITIES

FFA is operating in a dynamic environment and as it moves into the period of this strategic plan there will be new challenges and opportunities requiring different approaches and skills. There is increased interest in wider oceanic issues, including the Blue Pacific narrative, maritime domain awareness, climate change, the Sustainable Development Goals, and Agenda 2030.

While the use of Zone Based Management¹⁷ to gain control over the purse seine fishery has been very successful, much can still be done to capitalise on the value of those rights and increase the economic and social benefits flowing to the people of the Pacific. The longline fishery has much further to go to realise increased benefits to FFA Members and given the different circumstances, provides a greater challenge than the purse seine fishery.

The role of sub-regionalism and sub-regional groups continues to grow in significance, and the role of FFA as a regional consensus point will evolve. FFA must ensure flexibility is maintained to ensure its work is strongly supported by the membership including at the highest political levels.

There are a range of cross-cutting challenges and opportunities that are also relevant to the work of FFA over the coming five years, including social impacts, human rights, gender, capacity development and working with fishing partners.

This Strategic Plan positions FFA to respond to the key challenges and opportunities outlined below.

¹⁷ Zone based management is a multi-jurisdictional form of rights based fisheries management for shared stocks that establishes total limits on catch and/or effort across participating EEZs, and then allocates shares of the total limits to each coastal state EEZ. Zone based management gives greater recognition to the rights given to coastal states under UNCLOS to conserve and manage resources in their EEZs.

Define, maintain and exercise fisheries rights

As competition for fisheries resources increases, there is an increased urgency to further refine and exercise offshore fisheries use and management rights, both within EEZs and on the high seas.

There are a series of risks to existing rights. These include the risks arising from actions that seek to undermine the rules based international order and attempts at the WCPFC to undermine existing zone based rights.

Building consensus, maintaining solidarity and embracing sub-regionalism

A considerable suite of benefits has accrued to FFA members as a direct result of regional cooperation and consensus. These include beneficial outcomes from WCPFC negotiations, gains from the US Treaty and the reduction of IUU fishing. Reaching consensus will become increasingly difficult as fisheries become more complex and the differing commercial implications of decisions increase. However, maintaining solidarity and upholding the terms of agreements will continue to be essential for FFA to achieve its vision.

Sub-groups of FFA members with similar interests in a fishery, jointly developing and implementing management arrangements, is an effective way to achieve improved management of shared resources and sustainable development outcomes.

It is recognised that not all FFA members have the same fishery resources, national priorities or needs. Sub-regional arrangements will grow in importance as countries work together to better define and manage their zone-based fisheries rights, including through the continued application of the purse seine Vessel Day Scheme, and strengthening the implementation of the longline Vessel Day Scheme and the Tokelau Arrangement.

Illegal, Unreported and Unregulated (IUU) fishing

The nature of IUU has changed, becoming more sophisticated and harder to detect as the risk from unlicensed vessels decreases and the focus moves to non-compliance, including mis-reporting, among licenced vessels. The current well-established suite of MCS measures will need to be enhanced to address these new challenges, and to take advantage of available data and emerging technologies, including the development of Catch Documentation Schemes, electronic reporting and electronic monitoring.

Increasing attention is also being paid to maritime domain awareness and the links between fisheries surveillance and broader law enforcement.

The FFA controlled aerial surveillance capability provided under the Pacific Maritime Security Program is new ground for FFA and to realise its full potential will require considerable coordination, management, and national level support from Members.

Information technology and management

The increased flow and accessibility of information, and rapidly evolving technology, present a range of opportunities to improve the work of FFA. Advances in IT will support improvements in fisheries monitoring, compliance and management at national, sub-regional and regional level. Increased IT capability also has the potential to broaden engagement and reduce the workload and travel costs imposed by physical attendance at meetings. More available and accessible information will contribute to building capacity in the region. At the same time, advances in IT will challenge the absorptive capacity of fisheries agencies and increase the need for effective data security.

Evolving capacity and the way we work

Fisheries management is becoming even more complex, with the implementation of harvest strategies, allocation of fishing opportunities, and cross-fisheries issues all on the national and regional agendas

Fisheries staff in Member countries and the Secretariat will need a new and evolving set of skills to implement multifaceted fisheries management arrangements that are increasingly focussed on maximising value from tuna resources. The capacity within core functions of fisheries institutions, including the FFA Secretariat, will also need to develop and modernise to ensure that the systems and resources are available to support FFA Members and the FFA Secretariat team in pursuit of improved fisheries outcomes. FFA Members and the FFA Secretariat will need to develop the necessary capacity to enable ongoing effective engagement within WCPFC to ensure fisheries management outcomes best serve their interests.

The capacity of individual Members to participate and effectively cooperate at the sub-regional and regional level, will be important to build a stronger FFA overall. Consequently, there is a need for services to support and strengthen Members and sub-sets of members, where those services relate to the objectives of FFA.

Broader oceans management

Broader ocean governance processes (integrated oceans management, the United Nations process on Biodiversity Beyond National Jurisdictions, the Sustainable Development Goals and other similar initiatives) have the capacity

to support or undermine FFA interests. FFA will increasingly need to analyse and monitor these processes, to identify where they may undermine the sustainable development aspirations of Pacific Island countries.

Working with other coastal States and developing countries, including 'South-South' cooperation, has been shown to be effective in influencing wider international and RFMO outcomes by promoting the work of FFA to achieve benefits for FFA Members and others.

Monitoring and engagement in the many relevant forums imposes on the resources and capacity of fisheries agencies. Better management and coordination among institutions at national and regional levels will be necessary to ensure suitable representation and advocacy for fisheries interests.

Increased impacts from marine pollution and other threats to the marine ecosystem also have the capacity to undermine fisheries benefits.

Climate change

Climate change is the single greatest threat to the livelihood, security and wellbeing of the peoples of the Pacific¹⁸. In the fisheries context, climate change will affect the location and abundance of Pacific tuna stocks, and sea level rise will have impacts on boundary delimitation, which increases the urgency of securing members' maritime boundaries and fisheries rights. Management regimes at regional, sub-regional and national levels will need to be sufficiently flexible and adaptable to these expected future changes. The food security and economic opportunities from fisheries may also play a role in disaster management.

Governance and decision making

The many national, sub-regional, and regional decision making processes create governance challenges and requires processes and structures to ensure coherence and complementarity in decision making. Robust governance (decision making) processes and structures will result in greater commitment to consensus agreements.

The use of science and information from a wide variety of sources and sectors will be necessary for FFA members to take informed and coherent decisions.

¹⁸ Under the 2018 Boe Declaration on Regional security, the Leaders noted that climate change remains the single greatest threat to the livelihoods, security and wellbeing of the peoples of the Pacific and their commitment to progress the implementation of the Paris Agreement.

Fisheries development and managing competing interests

As members' rights to offshore fisheries become better defined and secure, commercial development opportunities increase. Demand for tuna is also likely to increase, generating opportunities for value-addition and innovation in the development of new products, as well as marketing, branding, and investment in different parts of the value chain.

Leveraging of rights for onshore and offshore developments, including processing and port infrastructure and development of domestic fleets, is increasingly creating commercial opportunities for FFA members. However, they also present risks and potential negative impacts upon food security, coastal fisheries, conservation initiatives, human rights and other social objectives.

There is the risk that some national level requests for industry development services will compete with or undermine other similar initiatives being pursued by other FFA members either nationally or sub-regionally.

STRATEGIES

The following table provides the Strategies that will be undertaken by FFA in pursuit of the Strategic Plan Outcomes.

Outcome	1. Offshore fisheries are ecologically sustainable
Strategies	<ol style="list-style-type: none">1.1 Drive positive action at WCPFC, that is consistent with FFA members' interests, including the adoption of WCPFC harvest strategies that maintain stocks above their limit reference points1.2 Ensure that the management arrangements in FFA EEZs deliver ecologically sustainable offshore fisheries, that also minimise the broader environmental impacts of fishing1.3 Improve the management of high seas fisheries to ensure in zone management is not undermined1.4 Continue to support strong, defensible science and information to inform precautionary and adaptive management1.5 Understand and manage for the impacts of climate change on offshore fisheries

Outcome	2. FFA members offshore fisheries rights are well defined
Strategies	<ul style="list-style-type: none"> 2.1 Further refine FFA Members' offshore fisheries rights within EEZs, including through strengthening zone based management 2.2 Define FFA Members' fisheries rights on the high seas while ensuring zone based management is not undermined 2.3 Improved management of longline fisheries to enhance the social and economic benefits derived by FFA Members 2.4 Continue to improve the management of purse seine and other fisheries 2.5 Enable FFA Members to exercise their flag State rights

Outcome	3. FFA members offshore fisheries rights are secured and protected
Strategies	<ul style="list-style-type: none"> 3.1 Ensure measures and laws that define fisheries rights and control fishing activity can be effectively monitored and enforced 3.2 Reduce IUU through the implementation of the Regional Monitoring, Control and Surveillance Strategy (RMCSS) at the national and regional level 3.3 Improve Monitoring, Control and Surveillance (MCS) on the high seas 3.4 Strengthen the capacity of relevant FFA Members to implement their responsibilities as flag, port and processing States 3.5 Actively participate in WCPFC compliance processes 3.6 Utilise international forums to enhance global recognition and adoption of zone based management, and protect FFA Members fisheries rights

Outcome	4. Economic and social benefits are optimised, for FFA member countries and our people, within the context of ecologically sustainable fisheries.
Strategies	<ul style="list-style-type: none"> 4.1 Drive the inclusion of social and economic considerations in WCPFC CMMs, including in the establishment of TRPs at levels that are consistent with FFA members' economic objectives for WCPO fisheries

- 4.2 Improve standards for employment and ensure opportunities for decent work for women and men in the fishing and processing industry
- 4.3 Increase the value and profitability of the region's tuna fisheries throughout the value chain for the economic benefit of FFA Members
- 4.4 Increase the social benefits from offshore fisheries in FFA members' countries while combatting potential negative social impacts

Outcome **5. Our people are empowered through strong and effective national, sub-regional and regional fisheries organisations**

- Strategies**
- 5.1 Enhance the capacity of national fisheries administrations to achieve their fisheries management and development aspirations
 - 5.2 Improve national capacity to meet the increasing responsibilities associated with the regional management of offshore fisheries
 - 5.3 Strengthen and support sub-regional fisheries management arrangements
 - 5.4 Strengthen regional cooperation to improve offshore fisheries management
 - 5.5 Facilitate stakeholders' engagement and participation in offshore fisheries management decisions

Outcome **6. FFA Secretariat is a professional organisation providing high quality advice and other services to FFA Members**

- Strategies**
- 6.1 Enhance the internal governance processes within the FFA Secretariat and governance of the Secretariat by FFC
 - 6.2 Develop and enhance the capacity and skills of the FFA Secretariat to meet the changing context and increasing needs of FFA Members
 - 6.3 Understand and prioritise resourcing options to implement the Strategic Plan
 - 6.4 Enable a high performance culture in the FFA Secretariat
 - 6.5 Enhance the value of and protect FFA information assets.
 - 6.6 Ensure the organisational structure and service delivery model of the FFA Secretariat, including core services and supporting systems, are fit-for-purpose to meet the Strategic Plan

IMPLEMENTATION

Implementation of the FFA Strategic Plan is the joint responsibility of FFA Members, FFC and the FFA Secretariat, and will be done through a suite of implementation mechanisms as outlined in Figure 1. These mechanisms will be informed by an implementation plan, which will describe the Actions necessary to achieve the Outcomes and Strategies described within this Strategic Plan, including the respective roles and responsibilities of FFA Members, the FFC and the FFA Secretariat.

The FFA Secretariat will implement its responsibilities under this Strategic Plan through a comprehensive business planning framework comprising of the following documents:

Statement of Intent (SOI). The SOI is a rolling three year planning instrument for the FFA Secretariat that is prepared by the Executive Management Team and presented to FFC for approval each year. It provides further detail on the implementation of the Strategic Plan, including associated financial implications.

Annual Work Program and Budget (AWPB). The AWPB provides a detailed annual plan of the FFA Secretariat's contribution to achievement of the Strategic Plan, including the Actions for which it is responsible under the implementation plan. The AWPB provides the scope and cost of activities to be carried out by the FFA Secretariat on an annual basis that is approved by the FFC Officials. The AWPB is aligned with the SOI and matched to anticipated revenue for each financial year and is revised mid-way through each financial year to reflect changes in circumstance and revenue. While the AWPB includes forward projections for two years, its focus is on the current financial year. The AWPB forms the basis of Divisional and individual work plans.

Country Service Level Agreements (CSLAs). CSLAs are two-way instruments that set out the priority activities of each FFA Member and the roles of the FFA Secretariat and the Member in implementing those activities. The CSLA framework will be reformed to make CSLAs a more strategic and useful planning tool.

The planning, implementing and reporting framework for the FFA Strategic Plan

	FFA Members	FFA Secretariat	FFC	Leaders
PLANNING DOCUMENTS	National Sustainable Development Plans			Framework for Pacific Regionalism
	National Tuna Management and Development Plans			Regional roadmap for Sustainable Fisheries
	FFA Strategic Plan 2020-2025			
	FFA Strategic Plan Implementation Plan			
IMPLEMENTATION MECHANISMS	Country Service Level Agreements		FFC Meetings	
		Statement of Intent		
		Annual Workplan and Budget		
REPORTING		FFA Annual Report	Annual Strategic Plan performance reports	Future of Fisheries Tuna Report Card
		FFA Traffic-Light Report		

REPORTING

Annual reports on performance against the Strategic Plan will be provided to FFC Ministers, highlighting progress towards Outcomes, including recommendations for managing risks to achieving those Outcomes. There will also be a mid-term review and an end of Plan Performance report.

The activities of the FFA Secretariat are reported in the FFA Annual Report, and in the annual traffic-light report to FFC. FFC initiates independent reviews of the Secretariat from time to time.

STRATEGIC PARTNERS

FFA will promote coherence across stakeholder groups and partner organisations to avoid duplication and inefficiency and ensure that appropriate services are delivered in support of FFA Members' aspirations. There are key organisations that we work with to achieve the Vision and Mission of this Strategic Plan and these are:

- PNA and PNAO
- Other sub-regional organisations and arrangements of FFA Members
- Pacific Community (SPC)
- Pacific Islands Forum Secretariat
- Office of the Pacific Ocean Commissioner (Pacific Islands Forum Secretariat)
- Secretariat of the Pacific Regional Environment Program (SPREP)
- WCPFC
- PITIA and other international industry organisations
- Non-Governmental Organisations
- UN Agencies and other international organisations
- QUADs (the defence forces of Australia, New Zealand, France and the US)

Details of the roles of each of these organisations in achieving the Vision of the Strategic Plan are provided in Attachment 1.

Development partners will continue to provide valuable assistance to enable FFA members to achieve the outcomes of this Plan. In respect of relationships with development partners, FFA will seek to ensure that:

- funding provided by development partners is aligned and coordinated to ensure policy coherence with the Strategic Plan;
- the burden of administration and reporting of funding is fully resourced and does not result in oversight that reduces efficiency and undermine FFA's authority to act;
- assistance from development partners does not divert attention from members' priorities towards donors' priorities;
- offers of funding from development partners will be assessed against guidelines; and
- the consideration of development partner funding offers and negotiation of projects will be made more transparent to FFA Members.

ATTACHMENT 1

Key organisations and groups

Organisation or group	Role in achieving the Vision of the Strategic Plan
Sub-regional organisations and arrangements (e.g. PNA/PNAO)	<p>Sub-regional groups represent the collective interests (or rights) of sub-sets of FFA members, particularly with respect to the management of a certain fishery or fisheries. The FFA Secretariat provides support to sub-regional groups in addition to the support it provides to individual members</p> <p>FFA will collaborate closely with PNAO in support of PNA members, providing advice and information on request.</p> <p>PNA will advise FFA of their cooperative approaches and consult with all FFA members on their WCPFC priorities and policy positions.</p>
Pacific Community (SPC)	<p>Scientific advice to FFA members</p> <p>Liaison with FFA Secretariat, particularly with respect to harvest strategies, bioeconomic modelling, WCPFC meetings preparations, and in country missions where scientific support is appropriate.</p> <p>SPC coastal fisheries officers collaborate with FFA Secretariat staff on in-country assistance with management and MCS reforms that involve both inshore and offshore fisheries</p> <p>Collaboration on maritime boundaries issues</p>
Pacific Islands Forum Secretariat (PIFS)	<p>Preparation of papers to Leaders</p> <p>Assistance where appropriate (trade, coordinating input to wider regional and international processes)</p> <p>Coordinator of Council of Regional Organisations of the Pacific (CROP)</p>

Organisation or group	Role in achieving the Vision of the Strategic Plan
Office of the Pacific Ocean Commissioner (PIFS)	<p>Coordinator of cross-sectoral ocean issues for members and the CROP Marine Sector Working Group</p> <p>Advocacy related to the role of the Pacific Ocean Commissioner</p> <p>Secretariat for the Pacific Ocean Alliance</p>
University of South Pacific (USP)	<p>Collaborate with FFA Secretariat to provide fisheries capacity building and training activities</p>
Secretariat of the Pacific Regional Environment Program (SPREP)	<p>Assistance in bycatch mitigation of threatened and migratory species in Pacific island fisheries</p> <p>Assist in quantification and management of marine pollution, including from fishing vessels</p> <p>Assistance in ecosystem-based approaches to conservation planning and management</p>
Western and Central Pacific Fisheries Commission (WCPFC)	<p>WCPFC is a forum for negotiation and agreement of binding management measures for the High Seas that are compatible with in-zone measures.</p> <p>The WCPFC Secretariat is a recipient of VMS services from FFA through the Pacific VMS and administers agreed arrangements for MCS, particularly in the high seas.</p>
PITIA and other international industry organisations	<p>PITIA provides a conduit between FFA and the Pacific domestic tuna industry, enabling them to participate in FFA Members meetings, represent domestic tuna industry perspectives and interests, and garner support for development activities and projects</p> <p>The broader fishing industry operating in FFA Members waters operate in accordance with regional and national management requirements, and contribute to FFA Members development through the provision of licence revenue, employment opportunities and other economic benefits</p>

Organisation or group	Role in achieving the Vision of the Strategic Plan
Non-Government Organisations (NGOs)	Some environmental NGOs working in the Pacific contribute to the work of FFA by supporting and advocating for FFA Member initiatives and proposals where they align with the objectives of the NGO
UN agencies (inc. FAO) and other relevant international organisations	<p>UN agencies contribute to the work of FFA by providing funding support and through the development of international guidelines and collaboration processes</p> <p>A range of other international organisations, including Interpol, also contribute to the Mission of FFA</p>
QUADs	The “QUAD” countries (Australia, New Zealand, US, France) provide maritime surveillance assistance and assets to support regional MCS activities



FFA

PACIFIC ISLANDS FORUM FISHERIES AGENCY

**BUSINESS PLAN
FY 2021-2025**

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ACRONYMS

FFA	Forum Fisheries Agency
SPC	Secretariat of the Pacific Community
EEZ	Exclusive Economic Zone
RIMF	Regional Information Management Facility
VMS	Vessel Monitoring System
MCS	Monitoring Control and Surveillance
PNA	Parties to the Nauru Agreement
CROP	Council of Regional Organisations of the Pacific
WCPO	Western and Central Pacific Ocean
WCPCF	Western and Central Pacific Fisheries Commission
LLVDS	Longline Vessel Day Scheme
CDS	Catch Documentation Scheme
TMDP	Tuna Management and Development Plan
PITIA	Pacific Islands Tuna Industry Association
TRP	Target Reference Point

DIRECTOR GENERAL'S OVERVIEW

FFA is a proudly member-driven organisation. With the growing complexity of offshore fisheries, it is therefore vital that the FFA Secretariat evolves in the way it serves Members. Our ongoing work honours the visionary decision of our Forum Leaders to establish FFA.

At all times, we are committed to effectiveness, innovation and efficiency in service delivery to drive forward FFA's clear vision as set out in the FFA Strategic Plan 2020-2025: *"Our people enjoying the greatest possible social and economic benefits from the sustainable use of offshore fisheries resources"*. **Our People** are at the centre of our work. **Empowerment** and **Cooperation** are core to achieving this Vision.

It is an honour to present FFA's Business Plan 2021-25. The Business Plan sets out how the Secretariat will progress activities and work plans to deliver on FFA's Strategic Plan 2020-2025 and how we will be accountable to Members for the outcomes of our work. The Business Plan outlines our operating intentions and associated resource requirements for the next four years, and informs FFA's Annual Work Program and Budget each year. The progress of implementation of the Business Plan will be reported in the FFA Annual Report.

The Business Plan builds on the six Strategic Outcomes and 31 Strategies in the Strategic Plan to identify the deliverables which will drive the FFA Secretariat's key work areas. The Business Plan also sets out the high level services that the FFA Secretariat provides to Members, further strengthening the focus on service delivery and accountability to Members. Through effective and efficient provision of services, and achievement of the deliverables set out in the Business Plan, the FFA Secretariat will contribute to the effective implementation of the Strategic Plan 2020-2025.

Essential to tracking our progress in delivering on the Business Plan is the Monitoring, Evaluation, Reporting, Learning and Adaptation Framework. The Framework will help ensure the efficient and effective delivery of services to FFA Members. Developing both strategic and operational indicators is important as this will identify any barriers to implementation and help us learn where we can improve and adapt. The details of these indicators are set out in Annex 2.

Importantly, this Business Plan is a living document which will enable amendments as needed to reflect changes in our operating environment and ensure Secretariat operations stay as relevant as possible to achieving Members' goals.

We sincerely thank Members for your active engagement in the development of the Business Plan and we welcome Member feedback at any time. We are also grateful for the deep commitment of Members to our cooperation to achieve our Vision for Our People. It is our Pacific Way.

Dr Manumatavai Tupou-Roosen
DIRECTOR-GENERAL

VISION

Our people enjoying the greatest possible social and economic benefits from the sustainable use of offshore fisheries resources.

MISSION

Empowering FFA Members to take collective and national action for the sustainable use of offshore fisheries resources.

OUR VALUES

The PROPOSED FFA Secretariat Core Values have been sourced from the five Principles that guide the way which FFC, FFA Members and the FFA Secretariat implement the Strategic Plan:

Table 1 - FFA Principles & FFA Secretariat Core Values

#	FFA PRINCIPLES	The FFA Core Values sourced from the FFA Principles either directly or inferred from the Strategic Plan 2020-2025
1	Regional Cooperation & Solidarity	1. Collaborative Partnership - We will work in collaborative partnership with members, partners and donors in the implementation of the Business Plan.

FFA PRINCIPLES

The FFA Core Values sourced from the FFA Principles either directly or inferred from the Strategic Plan 2020-2025

- | | |
|--|--|
| 2 Ethical Behaviour | 2. Integrity - We will be self-aware, accountable, responsible, and truthful in our words and actions.
3. Professionalism - We will display a high work ethic, communicate clearly, meet work deadlines and be proud of our work.
4. Respect - We will value and support everyone irrespective of their age, gender, ethnicity or experience. We believe that everyone needs to be treated with dignity as they bring diverse experience and knowledge to the benefit of FFA. |
| 3 Social Equity | 5. Social Equity - We will promote gender equality, intergenerational equity, and social inclusion. We will not discriminate against anyone. |
| 4 Member Driven | 6. Engagement and Responsiveness - Our work will be driven by the priorities and needs of Members. We value all interactions and will respond in a timely manner to our Members through effective service delivery. |
| 5 Empowering and Valuing People | 7. Professional Growth - We will strengthen the technical, operational, management and leadership competencies of all our staff so they can grow professionally and better deliver our services. |

ABOUT FFA

The FFA was established by Forum Leaders in 1979 to support its members in the management of their offshore fisheries resources. FFA is governed by the Forum Fisheries Committee (FFC) made up of one representative from each member country. FFC meets at Ministerial level once a year and at Officials level on several occasions each year. The outcomes of the annual FFC Ministerial meeting are conveyed to Forum Leaders along with the FFA Annual Report.

The FFA Secretariat is made up of the High-Level Advice section led by Executive, and four Divisions: Fisheries Management, Fisheries Operations, Fisheries Development and Corporate Services. The current organisational structure can be found in ANNEX 1. This structure will be reviewed and aligned to the approved organisational changes and the capability framework.

As a member-driven organisation, we engage and work closely with the governments of our Member countries through their Fisheries Ministers, Fisheries Administrations and Foreign Affairs Departments. We also collaborate with a range of partners and stakeholders to deliver our work. Our partners and stakeholders include the Office of the Parties to the Nauru Agreement (PNAO); CROP Agencies; the Western and Central Pacific Fisheries Commission (WCPFC); UN Agencies and other international organisations; the Pacific Islands Tuna Industry Association (PITIA); NGOs; and our quadrilateral defence partners (QUADs) Australia, New Zealand, US and France.

OUR OPERATING ENVIRONMENT

The operating environment within which this Business Plan is to be implemented is significantly influenced by the nature and status of the regional tuna fishery and the regional economic environment. The tuna catch within FFA members' waters is dominated by the purse seine fishery, which at around 1.5 million metric tonnes makes up 94% of the total catch taken in these waters. The longline fishery catches at around 80,000 metric tonnes accounts for 5% of the total catch taken in FFA members' waters.

FISH STOCKS - All four main WCPO tuna stocks (albacore, bigeye, skipjack and yellowfin) are assessed to be "biologically healthy" in that they are not overfished nor is overfishing occurring. However, some stocks are economically overexploited with, for example, the south Pacific albacore stock producing lower than desired catch rates in the southern longline fishery.

REGIONAL FISHERIES ROADMAP - Significant progress has been made in recent years towards the achievement of many of the targets outlined in the Regional Roadmap for Sustainable Pacific Fisheries and by the Taskforce on Increasing Economic Returns from Fisheries. For example, there have been significant increases over the past decade in government revenue from licence and access fees, the share of the catch taken by FFA Members' fleets, processing volumes and the value of exports.

However, it is important to note that these regional trends mask substantial differences between the benefits obtained from regional tuna fisheries to individual FFA Members as a result of varying resource endowments, and different areas of comparative advantage for development of each Member's fisheries resources.

ECONOMIC OUTLOOK - The global COVID-19 pandemic has impacted both the general regional economic environment and regional fisheries with the tourism sector particularly severely impacted. Significant impacts have also been felt in the fisheries sector, including through a significant reduction in the operations of domestic longline fleets with corresponding reductions in employment, income, exports and related business activities and a significant reduction in opportunities for observers to secure placements and a consequent loss of income. At the same time resilience in the fishery sector was also observed with, for example, revenue from the purse seine VDS remaining at similar levels to that seen in the years preceding COVID-19. The significant economic impact on revenue streams from key sectors such as tourism due to the pandemic has underlined the importance of fisheries for economic development and food security.

OPERATIONAL IMPACTS OF THE PANDEMIC - COVID-19 has also significantly changed the way the agency operates. Since March 2020, most meetings have been undertaken virtually. The efficiency provided by these virtual platforms has enabled shorter meetings with Members on specific subjects with streamlined meeting agendas. The swift migration to, and heavy reliance on, these platforms to transact our work has required investments in technology - upgrading electronic meeting facilities, improving connectivity, suitable meeting rooms at the Secretariat and external IT support.

In addition, COVID-19 impacted Monitoring, Control and Surveillance support on regional operations; Members and surveillance partners have adjusted well to the pandemic resulting in full participation in operations in 2021. The Secretariat through the Regional Fisheries Surveillance Centre (RFSC) continues to provide contact tracing of specific vessels, identification of possible transshipments and bunker proximity contacts, monitored and reported VMS/AIS tracks of potential IUU activity, and supports national tasks for surface assets.

IMPLEMENTATION OF THE FFA STRATEGIC PLAN 2020-2025

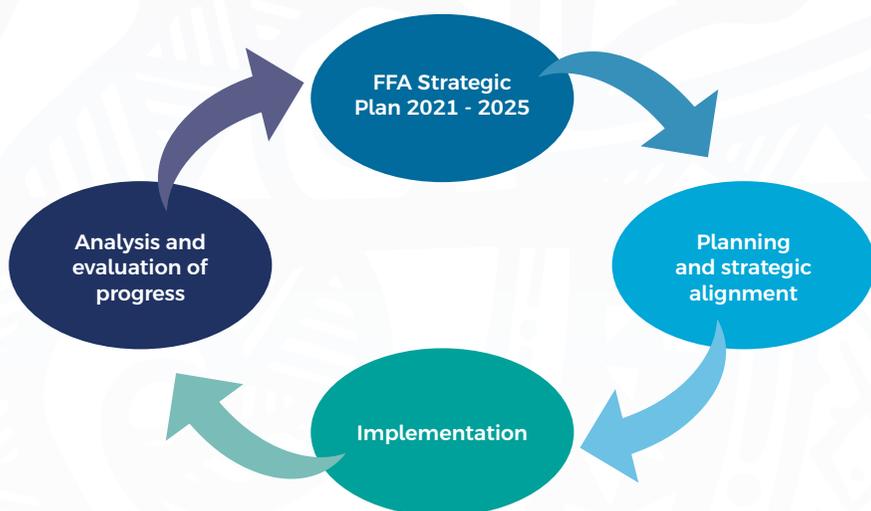
To ensure strategic direction and an outcomes-based approach to the work of FFA, FFC Ministers adopted the FFA Strategic Plan 2020-2025 which came into effect in July 2020. FFC118 in May 2021 agreed that a corresponding Business Plan would be developed to guide the implementation of the Strategic Plan.

The Secretariat supports Members in various ways to implement the Strategic Plan. This has been conceptualised around the three stages set out in Figure 1. While these are depicted in stages, they are not discrete and work is undertaken concurrently.

The stages are set out as follows:

- **Planning and strategic alignment** - this involves the development of this corresponding Business Plan and the strategic alignment required for preparation for implementation.
- **Implementation** - this is the ongoing delivery of work as outlined in the outputs and activities below; and
- **Analysis and evaluation of progress** - this entails tracking results and reporting.

Figure 1. Key Stages of the planning and implementation process in FFA



STRUCTURE OF THE BUSINESS PLAN

This Business Plan sets out the deliverables and services that the FFA Secretariat will provide to FFA Members over the coming four years.

The eleven High Level Services provided by the Secretariat consist of seven that deliver Strategic Outcomes 1 to 5 and an additional four that will deliver Strategic Outcome 6. These are set out in the next section of the Plan and highlight the increased focus on service delivery.

The Secretariat has carried out a prioritisation and sequencing exercise to sequence the key reviews and Priority Deliverables anticipated by the

Strategic Plan. This is followed by a short description of the Secretariat's plan to transform its staff.

The plan then sets out the Secretariat's Strategic and Operational Intentions for the period of the Business Plan. A short description of each Strategic Outcome is provided followed by the list of the Strategies for achieving that Outcome, as set out in the FFA Strategic Plan 2020-2025.

Beneath this are the tables that set out the specific deliverables and associated services that the Secretariat will provide over the term of this Business Plan with respect to each of the six high level Strategic Outcomes set out in the FFA Strategic Plan 2020-2025. The Division responsible for each activity is listed along with the services to be provided in relation to each deliverable.

Effective and efficient delivery of the deliverables set out in tables therefore represent implementation of the strategies that are in turn designed to achieve, or contribute to achieving, the high-level Strategic Outcomes of the FFA Strategic Plan 2020-25.

Annex 1 shows the FFA Secretariat Organisational Structure which details the different divisions, units of work and staff numbers for each division as at April 2022.

Annex 2 of the Business Plan sets out the key high-level indicators for assessing whether or not progress is being made towards achieving our Strategic Outcomes. These will help us ascertain the extent to which the Secretariat is delivering the desired outcomes at the strategic level.

OUR SERVICES TO MEMBERS

The Secretariat provides Members with the following High-Level Services that contribute towards the achievement of Strategic Outcomes 1-5 and delivering the activities in the Business Plan:

1. **Provision of policy, technical and legal advice at national, sub-regional and regional level**

Description - This is FFA's core role and includes policy advice relating to fisheries management, fisheries development and MCS areas as well as legal advice and technical advice relating to operational areas. Advice is provided to members collectively (e.g. at FFC or MOC meetings), sub-regionally (e.g. to meetings of SPG or PNA members) and at national level (e.g. during national visits). *The Secretariat's workplan is predominantly delivered through this High-Level Output and the Secretariat's performance will be judged by the quality of the advice and papers provided to support members' decision making.*

2. Capacity building and training at national, sub-regional and regional level

Description - An important part of the Secretariat's work providing learning and development opportunities to improve Members' offshore fisheries management, development and MCS capacity at national, subregional and regional level. Examples include training in negotiations, training in MCS operational activities such as dockside boarding, and the Secretariat's work to support vocational training such as observer training and the Cert IV in Fisheries Compliance. *The Secretariat's performance in relation to this service will include qualitative feedback from trainees and members on the effectiveness and utility of the capacity building and training provided.*

3. Forum for regional dialogue and negotiations to develop shared regional positions and building solidarity

Description - A service provided by the Secretariat to convene fora for Members' discussions and negotiations to develop shared regional positions and develop solidarity. Examples include FFC meetings, MCSWG, MOC and preparatory meetings before WCPFC meetings. *With respect to this service, the Secretariat will be judged by the processes that are put in place to assist members to achieve member consensus.*

4. Technical services at regional level including in the area of MCS

Description - The Secretariat also provides some specific technical services to support Members. This includes MCS services such as the VMS and Regional Register and the support provided by the RFSC, and information management services through the RIMF. Also included are the services for administering the US Treaty and other arrangements, including the Observer Programme under the US Treaty. *Performance in the delivery of these services will be based on the efficiency and effectiveness of service provision by the Secretariat and the quality of outputs.*

5. Engagement, collaboration and partnerships

Description - This output captures the partnerships that the Secretariat develops and maintains with other organisations and with donors to support delivery of the Strategic Plan Outcomes. In addition to critical regional partnerships with PNAO, SPC and other CROP, this output also includes the formal partnerships with donors that support the work of the Secretariat and members. The Secretariat plays a critical role in aggregating donor support and ensuring it is aligned into coherent programmes that support members' priorities as captured in the Strategic Plan and Business Plan.

6. Data and information to meet decision-making needs of FFA members

Description - Collection, management and provision of data to inform decision-making by Members e.g. economic data and statistics.

Performance in relation to this service will be based on the quality of the data provided to members as well as the management of that data by the Secretariat, including in relation to ensuring the security and protection of information.

7. Advocacy, media & communications

Description - Providing media and other external communication services to support members to achieve objectives in relation to offshore fisheries (e.g. press releases, media events, publications) and internal communications to strengthen timely flow of information within the Secretariat. **Performance in relation to this service will be based on both quantitative and qualitative assessment of the Secretariat's communications related outputs.**

The following outputs support the delivery of Outcome 6 which focuses on the FFA Secretariat and corresponding work to strengthen the organisation. They are in addition to high level outputs 5 and 7 which also contribute to Outcome 6.

8. Organisational transformation, management systems & processes

Description - implementation of organisational transformation programmes and initiatives to enhance the services provided by the Secretariat to Members to update and modernise management processes, including through use of technology.

9. Planning; monitoring, evaluation, reporting, learning and adaptation (MERLA); and risk management

Description - the process of strategic and operational planning, tracking implementation, evaluation of results achieved and effectiveness of approach undertaken, reporting on results, learning and adapting future approach to better achieve the desired outcomes.

10. People management and development

Description - The process of strengthening management and development of human capital in the Secretariat to continuously enhance performance, productivity, professionalism, innovation, and engagement required to meet the changing and increasing needs of Members.

11. Financial & asset management, and procurement

Description - The process of ensuring efficient and effective management of the Secretariat's resources including finance, properties and procurement.

SEQUENCING OF KEY REVIEWS AND PRIORITY DELIVERABLES

This Business Plan anticipates a number of foundational reviews of FFA's governance and services, as well as our internal business processes and policies, in order to effectively deliver on the Strategic Plan. These reviews are likely to result in changes to the way the FFA Secretariat currently operates and the way services are delivered to Members, and may also lead to changes in the Secretariat's organisational structure. The following table sets out the sequencing and timeframes for these reviews, which have been highlighted in **blue**, over the coming three years.

The Business Plan includes thirty-one (31) Strategies, fifty two (52) indicators and ninety-one (91) Deliverables to be delivered over the next three years and these are set out in the tables under *Our Strategic and Operational Intentions* in the next section of the Plan. Many of these deliverables can be classified as ongoing operational work of the Secretariat in support of Members that are anticipated to continue throughout the term of the Business Plan and beyond. However, there are also key areas of foundational work to be progressed with Members, including in the WCPFC context, that need to be sequenced and prioritised if they are to be delivered effectively.

The sequencing of these key priorities over the next three years 2022 -2025 is also shown in the Table 2 below.

Table 2: Sequencing of Key Reviews and Priority Deliverables

Outcome	2022 -2023	2023 -2024	2024 -2025
1 Offshore fisheries are ecologically sustainable	<ul style="list-style-type: none"> Support FFA Members in Harvest Strategy Development for SKJ and SPA FFA Climate change strategy developed Support Electronic Reporting implementation by FFA members and in WCPFC 	<ul style="list-style-type: none"> Support FFA Members in Harvest Strategy Development for BET and YFN Support FFA Members in Harvest Strategy Implementation for SKJ and SPA Support FFA Members in development of Bycatch measures in WCPFC 	<ul style="list-style-type: none"> Support FFA Members in Harvest Strategy Development for BET and YFN
2 FFA Members' offshore fisheries rights are well defined	<ul style="list-style-type: none"> Support FFA Members in South Pacific albacore management and implementation of the RLLS including development of LL zone-based management Support US Treaty renegotiation Review of Treaty Administration and Observer Programme (see Activity 2.4.5) 	<ul style="list-style-type: none"> Support FFA Members to progress agreement on High Seas Limits & Allocations for tropical tuna Support FFA Members in South Pacific albacore management and implementation of the RLLS including implementation of LL zone-based management 	<ul style="list-style-type: none"> Support FFA Members to progress agreement on High Seas Limits & Allocations for tropical tuna

3 FFA Members' offshore fisheries rights are secured and protected

- Review of IMS and associated services provided by FFA to Members (see Activity 3.2.5) – second half 2022
- Vessel Register review including service delivery and fee levels (see Activity 3.2.6) – second half 2022
- Support Members to reach agreement on Standards and governance arrangements for Electronic Monitoring agreed
- Support Members to develop and reach agreement on Standards for regional CDS developed and agreed
- Support Members to progress to reach agreement on Revision of WCPFC Compliance Monitoring Scheme (CMS)
- Targeted programme of work to address misreporting and prioritise support to ongoing monitoring and analysis of key IUU metrics to support the systematic collection, analysis and understanding of IUU fishing
- Support implementation IMS services to Members.
- Support to implementation of Electronic Monitoring of Vessels at all levels
- Review and update of the Regional Monitoring Control & Surveillance Strategy (RMCSS)
- Support Members with Regional CDS implementation
- Support Members on Strengthening the WCPFC CMS process to address high seas MCS
- Support Year 1 implementation of the updated RMCSS.
- Update of IUU Quantification study

4 Economic and social benefits are optimised for FFA Member countries and our people, within the context of ecologically sustainable fisheries

- | | | |
|---|--|---|
| <ul style="list-style-type: none"> • Support Implementation of HMTCs to protect human rights and safeguard the labour conditions for crew across all members • Implement the recommendations from the observer livelihoods and safety study and establish the observer compensation scheme • Support Ensure Members with EU Competent Authorities to maintain certification and others progress towards certification • Development of national frameworks for socio-economic indicators • Investigation of policies and programs to increase contribution of tuna fisheries to food security • Provision of support to SMEs working in the tuna sector | <ul style="list-style-type: none"> • Systems put in place to monitor and enforce HMTCs related to labour conditions for crew • Support to members to increase the number of EU Certified Competent Authorities • Development of national frameworks for socio-economic indicators • Provision of support to members to develop and implement national policies and programs to increase the contribution of tuna fisheries to food security • Provision of support to SMEs working in the tuna sector | <ul style="list-style-type: none"> • Systems put in place to monitor and enforce HMTCs related to labour conditions for crew • Support to members to increase in the number of EU Certified Competent Authorities • Development of national frameworks for socio-economic indicators • Provision of support to members to develop and implement national policies and programs to increase the contribution of tuna fisheries to food security • Provision of support to SMEs working in the tuna sector |
|---|--|---|

- 5 Our people are empowered through strong and effective national, sub-regional and regional fisheries organisations**
- Implementation of reformed CSLA/Partnership Agreement framework
 - Enhanced Strategic Mapping progressed
 - Enhancements to the Regional Training Framework including in Fisheries Management
 - CSLA/Partnership Agreements in place and incorporated into FFA's planning and budget processes
 - Enhanced Strategic Mapping in place and assists with strategising and positioning of Members for negotiations
 - CSLA/Partnership Agreements are updated and continue to inform FFA's planning and budget processes
 - Enhanced Strategic Mapping is updated and continues to assist with strategising and positioning of Members for negotiations

- 6 FFA Secretariat is a professional organisation providing high quality advice and other services to FFA Members.**
- Independent Review of FFA Governance (see Activity 6.1.2) – second half 2022
 - Resourcing Strategy & Funding Guidelines developed
 - Gender Equality and Social Inclusion Policy endorsement & mainstreaming
 - People Strategy & Capability Framework developed
 - Review of policies, systems and processes
 - Development of FFA Communication Strategy
 - Embed Core Values
 - Performance Management System revised
 - Fisheries Services & Standards Review of FFA Secretariat Organisation Structure
 - Total Quality Management
 - Full implementation and review of the following:
 - FFA Governance Framework
 - Performance Management System
 - Revised Structure
 - Core Values
 - People Strategy
 - Updated policies, systems and processes
 - Review of the SP2020-2025

TRANSFORMING THE FFA SECRETARIAT STAFF

The full implementation of the People Strategy under Strategic Outcome 6 will continue to build up a cadre of professional, motivated and performing staff delivering services to our members and other key stakeholders. We will set clear career paths and develop our staff, use the succession planning system to ensure we have a talent bench ready to take up higher positions in 3-5 years. We will reward exemplary staff behaviour that compliments top performance. We will use the Staff Satisfaction Survey Results to improve areas we need to improve and maintain our practices that have delivered successful outcomes. We will encourage and entrench flexible cross functional work teams to deliver the FFA Strategic Outcomes using the diverse skill sets and experience of the Secretariat staff.

These changes require management and staff working together towards building up staff capabilities. We will encourage the demonstration of behaviours that are consistent with our Principles & Values to our fellow staff, Members and key stakeholders in the implementation of this Business Plan.

OUR STRATEGIC OUTCOMES

There are six strategic outcomes in the Strategic Plan 2020-25:

1. Offshore fisheries are ecologically sustainable
2. FFA Members' offshore fisheries rights are well defined
3. FFA Members' offshore fisheries rights are secured and protected
4. Economic and social benefits are optimised for FFA Member countries and our people, within the context of ecologically sustainable fisheries
5. Our people are empowered through strong and effective national, sub-regional and regional fisheries organisations
6. FFA Secretariat is a professional organisation providing high quality advice and other services to FFA Members.

OUR STRATEGIC AND OPERATIONAL INTENTIONS

STRATEGIC OUTCOME 1 - Offshore fisheries are ecologically sustainable

Description

This Outcome seeks to ensure that the tuna stocks of the region remain healthy and that the environmental impacts of fishing on the environment are actively managed and mitigated, including adapting to the impacts of climate change.

FFA's priorities under this outcome include support for members to implement effective zone-based management of longline fisheries, establishment of CMMs for management of high seas fisheries that are compatible with and do not undermine zone-based management arrangements, agreement of harvest strategies for key species which maintain stocks around agreed target reference points (TRPs) and ensuring that WCPO tuna fisheries are subject to controls that minimise impacts on non-target and by-catch species.

The FFA Strategic Plan (2020-2025) identifies a number of strategies it will implement in order to achieve ecologically sustainable offshore fisheries.

Strategies to achieve this Outcome (from Strategic Plan 2020-25):

1. Drive positive action at WCPFC, that is consistent with FFA members' interests, including the adoption of WCPFC harvest strategies that maintain stocks above their limit reference points
2. Ensure that the management arrangements in FFA EEZs deliver ecologically sustainable offshore fisheries, that also minimise the broader environmental impacts of fishing
3. Improve the management of high seas fisheries to ensure in-zone management is not undermined
4. Continue to support strong, defensible science and information to inform precautionary and adaptive management
5. Understand and manage for the impacts of climate change on offshore fisheries

The following table shows how each of the services that FFA provides to Members contribute to the planned outputs, how each of the outputs support the associated strategies identified in the Strategic Plan and the proposed indicator(s) associated with each strategy. The assumption underpinning the Strategic Plan is that if the identified strategies, as measured by tracking progress against the indicators, are successfully achieved then the overarching outcome will also be achieved as the strategies are all contributing to it.

STRATEGY	KEY INDICATORS	DELIVERABLES	SERVICES TO SUPPORT							DIVISION RESPONSIBLE
			1	2	3	4	5	6	7	
Outcome 1: Offshore fisheries are ecologically sustainable										
<i>Strategy 1.1: Drive positive action at WCPFC, that is consistent with FFA Members' interests, including adoption of WCPFC harvest strategies that maintain stocks above their limit reference points.</i>	Indicator 1.1 - All WCPO tuna stocks not overfished and overfishing not taking place	1.1.1	Facilitate, through consensus building among Members, effective participation of members in WCPFC processes in close collaboration with SPC and PNAO							FM
		1.1.2	Build members understanding of Harvest Strategies, in collaboration with SPC							FM
Outcome 2: Sustainable fisheries management and bycatch reduction										
<i>Strategy 1.2: Ensure that the arrangements in FFA EEZs deliver ecologically sustainable offshore fisheries that also minimise the broader impacts of fishing</i>	Indicator 1.2 - Reduction in bycatch rates for key species (sharks, marine mammals, seabirds, turtles).	1.2.1	Assist Members with policy and planning for sustainable management of tuna fisheries and to mitigate bycatch and other environmental impacts, at national level							FM
		1.2.2	Assist Members with review and development of legislation for sustainable management of fisheries at national level.							Legal + FM
		1.2.3	Work with other CROP agencies on measures that seek to minimise bycatch impacts and address marine pollution.							FM + FO

STRATEGY	KEY INDICATORS	DELIVERABLES	SERVICES TO SUPPORT							DIVISION RESPONSIBLE
			1	2	3	4	5	6	7	
Outcome 1: Offshore fisheries are ecologically sustainable										
Strategy 1.5: Understand and manage the impact of Climate Change on offshore fisheries	Indicator 1.5 - FFA CMM proposals and adopted WCPFC management measures include explicit climate change adaptation and mitigation provisions.	1.5.1 Work with SPC to interpret and advise Members on the development of adaptive management regimes, based on the predicted climate-change on Pacific tuna								FM
		1.5.2 Estimates of social and economic impacts of predicted changes to tuna abundance and distribution								FD
		1.5.3 Engagement in wider CROP processes to ensure fisheries issues are captured in the broader regional processes related to climate change.								HILA

STRATEGIC OUTCOME 2 - FFA Members Offshore Fisheries rights are well defined

Description

This Outcome seeks to ensure Members' offshore fisheries rights are well defined including through specified rights to fishing within Members' EEZs as well defined rights to participate in high seas fisheries. Clear delineation of EEZ boundaries is also a central component of this Outcome.

FFA's priorities under this outcome include the fishing industry and vessel operators recognising and fishing in accordance with specified rights and limits for EEZs and the high seas, allocations are agreed within WCPFC including incorporation of FFA members' zone based limits into CMMs, Members managing fisheries within their EEZs on the basis of well specified rights and limits that apply to tuna and other HMS, and that FFA Members can utilise their flag State rights and are meeting their associated flag State obligations.

The FFA Strategic Plan (2020-2025) identifies a number of strategies it will implement in order to achieve well defined offshore fisheries rights for Members.

Strategies to achieve this Outcome (from Strategic Plan 2020-25):

1. Further refine FFA Members' offshore fisheries rights within EEZs, including through strengthening zone-based management
2. Define FFA Members' fisheries rights on the High- Seas while ensuring zone-based management is not undermined.
3. Improved management of Longline fisheries to enhance the social and economic benefits derived by FFA Members.
4. Continue to improve the management of the Purse-seine and other fisheries.
5. Enable FFA Members to exercise their Flag State rights.

The following table shows how each of the services that FFA provides to Members contribute to the planned outputs, how each of the outputs support the associated strategies identified in the Strategic Plan and the proposed indicator(s) associated with each strategy. The assumption underpinning the Business Plan is that if the identified strategies, as measured by tracking progress against the indicators, are successfully achieved then the overarching outcome will also be achieved as the strategies are all contributing to it.

STRATEGY	KEY INDICATORS	DELIVERABLES	SERVICES TO SUPPORT							DIVISION RESPONSIBLE
			1	2	3	4	5	6	7	
Outcome 2: FFA Members Offshore Fisheries are well defined										
Strategy 2.1: Further refine FFA Members' offshore fisheries rights within EEZs, including through zone-based management	Indicator 2.1a - The number of individual FFA members with zone-based limits and rights captured in national policies and legislation.	2.1.1 Assist FFA Members to take national actions to strengthen fisheries rights and implement agreed sub-regional and regional actions.								FM
		2.1.2 Provide analysis on the pathways and actions necessary to better define FFA Members' fisheries use and management rights in national legal and regulatory frameworks								Legal
	Indicator 2.1b - Formalisation of maritime boundaries	2.1.3 Provide analysis and advice to support FFA Members effort to establish allocations, and compatible management arrangements for key WCPFC species								FM
		2.1.4 Collaborate with other agencies to assist FFA Members to determine and secure maritime boundaries								Legal

<p>Strategy 2.2: Define FFA Members fisheries rights on the high-seas while ensuring the zone-based management is not undermined</p>	<p>Indicator 2.2a- Allocations in WCPFC measures that include zone-based limits for FFA Members' EEZs</p> <p>Indicator 2.2b - FFA Members' rights in the high seas defined in WCPFC CMMs</p>	<p>2.2.1</p> <p>2.2.2</p>	<p>Facilitate consensus-building between sub-groupings of FFA Members on high-seas allocation discussions, and between FFA Members and the broader WCPFC membership.</p> <p>Provide analysis and advice to support efforts to establish and define FFA Members' fisheries rights on the high seas</p>		<p>FM</p> <p>FM</p>
<p>Strategy 2.3: Improve the management of longline fisheries to enhance the social and economic benefits derived by FFA Members</p>	<p>Indicator 2.3 - Agreed in-zone management arrangements in place for the southern longline fishery that are compatible with LL VDS</p>	<p>2.3.1</p> <p>2.3.2</p> <p>2.3.3</p>	<p>Assist FFA Members to implement the RLLS, to implement and improve management measures for longline fisheries at regional, sub-regional and national levels.</p> <p>Provide analysis of management and/or allocation options for the Southern Longline fisheries</p> <p>Provide support, on request, on the implementation of the Longline Vessel Day Scheme (LLVDS).</p>		<p>FM</p> <p>FM</p> <p>FM</p>

STRATEGY	KEY INDICATORS	DELIVERABLES	SERVICES TO SUPPORT							DIVISION RESPONSIBLE
			1	2	3	4	5	6	7	
Outcome 2: FFA Members Offshore Fisheries are well defined										
Strategy 2.4: Continue to improve the management of the purse-seine and other fisheries	Indicator 2.4 - Purse seine fisheries are maintained at levels commensurate with biomass and effort levels in 2012 for skipjack while other tuna stocks remain at sustainable levels of fishing.	2.4.1	Assist FFA Members implement national measures, and sub-regional or regionally agreed actions, to enhance stock-wide management of the purse-seine fisheries including in the EEZs of non VDS participants.							FM
		2.4.2	Assist Members to better understand and manage other tuna fisheries occurring in their waters, including pole and line and troll fisheries							FM
		2.4.3	Provide effective and efficient administration of the US Tuna Treaty on behalf of PIPs, including support to the renegotiation of the Treaty post-2022							FM
		2.4.4	Manage the Regional Observer Programme for placement of observers on purse seine vessels operating under the US Treaty							FO
		2.4.5	Carry out a review of Treaty Administration and Observer Programme services to ensure Treaty Administration is fit for purpose post-2022							HLA

<p>Strategy 2.5 Enable FFA Members to exercise their Flag State rights</p>	<p>Indicator 2.5 - FFA members implementing their rights and responsibilities as Flag States</p>	<p>2.5.1</p>	<p>Provide support to Enhance Members to enhance their capacity in the implementation of their flag State rights and responsibilities</p>	Legal

STRATEGIC OUTCOME 3 - FFA Members offshore fisheries rights are secured and protected

Description

This Outcome is about safeguarding and protecting FFA members' ownership rights to tuna in their EEZs, particularly from IUU fishing but also from other threats such as the undermining of rights in the context of WCPFC.

FFA's priorities under this outcome include ensuring that Members implement their responsibilities as flag, port, coastal and processing states, Members strengthen best practice procedures and tools to conduct effective MCS activities, and Members and national agencies collaborate to effectively monitor and enforce national and regional rules and laws.

The FFA Strategic Plan (2020-2025) identifies a number of strategies to ensure Members' offshore fisheries rights are secured and protected.

Strategies to achieve this Outcome:

1. Ensure measures and laws that define fisheries rights and control fishing activity can be effectively monitored and enforced.
2. Reduce IUU through the implementation of the Regional Monitoring, Control and Surveillance Strategy (RMCSS) at the national and regional level.
3. Improve Monitoring, Control and Surveillance (MCS) on the high seas.
4. Strengthen the capacity of relevant FFA Members to implement their responsibilities as flag, port and processing States.
5. Actively participate in the WCPFC compliance processes
6. Utilise international forums to enhance global recognition and adoption of zone-based management and protect FFA Members' fisheries rights.

The following table shows how each of the services that FFA provides to Members contribute to the planned outputs, how each of the outputs support the associated strategies identified in the Strategic Plan and the proposed indicator(s) associated with each strategy. The assumption underpinning the Business Plan is that if the identified strategies, as measured by tracking progress against the indicators, are successfully achieved then the overarching outcome will also be achieved as the strategies are all contributing to it.

STRATEGY	KEY INDICATORS	DELIVERABLES							SERVICES TO SUPPORT							DIVISION RESPONSIBLE		
		1	2	3	4	5	6	7	1	2	3	4	5	6	7			
Outcome 3: FFA members offshore fisheries rights are secured and protected																		
Strategy 3.1: Ensure measures and laws that define fisheries rights and control fishing activity can be effectively monitored and enforced	Indicator 3.1 - Outcomes of FFA's Regional Surveillance Operations in terms of nature and extent of infractions by licensed vessels.	3.1.1	Support Facilitate FFA members in the development of draft WCPFC CMMs that can be effectively monitored and implemented													FO		
		3.1.2	Support FFA Members to develop appropriate regulatory and governance frameworks to enable effective monitoring and enforcement activities														FO	
		3.1.3	Support FFA Members implementation of electronic monitoring (EM) including through close collaboration with SPC and PNAO															FO
		3.1.4	Assist FFA Members to implement the regional framework for Port State Measures (PSM) at national level, including the regulatory and governance frameworks, and systems, to enable them															FO
		3.1.5	Progress the development of CDS at national, sub-regional and regional level, including through development of regional standards for eCDS development															FM

STRATEGY	KEY INDICATORS	DELIVERABLES							DIVISION RESPONSIBLE
		1	2	3	4	5	6	7	
Outcome 3: FFA members offshore fisheries rights are secured and protected									

Strategy 3.2: Reduce IUU through the implementation of the Regional Monitoring Control and Surveillance Strategy (RMCSS) at the regional and national level	Indicator 3.2 Quantification of IUU fishing in tuna fisheries in WCPO	3.2.1	Facilitate the development and implementation of the regional information management standards and procedures outlined in the RMCSS.							FO	
		3.2.2	Assist FFA Members to develop, update and implement national MCS Plans								FO
		3.2.3	Implement regional MCS information systems and services, through the RIMF and the maintenance of the Regional Surveillance Picture								FO
		3.2.4	Provide MCS Training to members in relation to the use of FFA's information systems and services including RIMF, the RSP and VMS								FO
		3.2.5	Review of FFA's IMS Strategy and associated services to Members								HLA
		3.2.6	Review of FFA Vessel Register and associated fee levels and transition from manual paper-based process to online registration system.								FO

3.2.7	Identify and implement, where beneficial, emerging technologies into existing MCS processes and activities.								FO
3.2.8	Continue to refine and update assessments of the risk, nature and extent of IUU fishing								FO
3.2.9	Carry out a review and update of the RMCSS prior to the end of 2023.								FO
3.2.10	Work with PIFS on the implementation of the BOE declaration and contribute to broader Maritime Domain Awareness discussions and initiatives where it benefits FFA Members MCS efforts								FO
3.2.11	Support effective planning and deployment of the Aerial Surveillance capability								FO
3.2.12	Maintain the Niue Treaty Information System and continue to support FFA Members to implement the Niue Treaty								FO

STRATEGY	KEY INDICATORS	DELIVERABLES	SERVICES TO SUPPORT							DIVISION RESPONSIBLE	
			1	2	3	4	5	6	7		
Outcome 3: FFA members offshore fisheries rights are secured and protected											
Strategy 3.3: Improve Monitoring, Control and Surveillance (MCS) on high seas	Indicator 3.3 - FFA Members participation in high seas MCS regimes and activities FFA Members participation in the high seas MCS regimes and activities increased.	3.3.1	Assist FFA Members, and subsets of Members, to develop proposals for WCPFC measures that would improve high-seas MCS								FO
		3.3.2	Coordinate FFA Members MCS activities in the high seas								FO
Outcome 4: FFA members flag State responsibilities are enhanced											
Strategy 3.4: Strengthen the capacity of relevant FFA Members to implement their responsibilities as Flag, Port and Processing States	Indicator 3.4 - Progressive enhancement of FFA Members ability to implement their responsibilities as Flag, Port and Processing States.	3.4.1	Assist FFA Members to understand and implement their respective Flag, Port or Processing State responsibilities								Legal

			3.4.2	Assist FFA Members to review their legal and regulatory frameworks, and to develop and implement appropriate national processes and procedures to comply with their respective responsibilities						Legal
Strategy 3.5: Actively participate in WCPFC compliance processes	Indicator 3.5 - FFA Members' level of compliance with WCPFC obligations.	3.5.1		Support FFA Members participation in the WCPFC Compliance processes, including the Compliance Monitoring Review (CMR) process, by ensuring FFA Members understand their obligations under WCPFC						FO
Strategy 3.6: Utilise international forums to enhance global recognition, adoption of zone-based management, and protect FFA Members fisheries rights	Indicator 3.6 - Increasing global recognition and support for FFA Members fisheries work, policies and practises.	3.6.1		Support FFA Members participation, and where appropriate represent FFA Members interests, in international processes that support, or have the potential to undermine FFA members interests						HLA
		3.6.2		Promote and advocate the positive work and achievements of FFA Members including through media and other communication mechanisms						HLA

OUTCOME 4 - Economic and social benefits are optimised for FFA Member countries and our people, within the context of ecologically sustainable fisheries

Description

This Outcome is in pursuit of the optimisation of economic and social benefits in relation to the exploitation of Offshore Tuna fisheries resources.

FFA's priorities under this outcome include assisting members to ensure: economic and social benefits are optimised and that these benefits are shared widely including women and socially excluded groups; an environment conducive to the development of Members' fisheries related industries; employment creation and decent labour standards across domestic and foreign vessels, and; Members' domestic tuna industries, including SMEs, are well supported to develop and access global tuna markets on a competitive basis.

The FFA Strategic Plan (2020-2025) identifies a number of strategies it will implement in order to ensure economic and social benefits are optimised for FFA Member countries, within the context of ecologically sustainable fisheries.

Strategies to achieve this Outcome:

1. Drive the inclusion of social and economic considerations in WCPFC CMMs, including in the establishment of TRPs at levels that are consistent with FFA members' economic objectives for WCPO fisheries.
2. Improve standards for employment and ensure opportunities for decent work for women and men in the fishing and processing industry.
3. Increase the value and profitability of the region's tuna fisheries throughout the value chain for the economic benefit of FFA Members.
4. Increase the social benefits from offshore fisheries in FFA members' countries while combating potential negative social impacts.

The following table shows how each of the services that FFA provides to Members contribute to the planned outputs, how each of the outputs support the associated strategies identified in the Strategic Plan and the proposed indicator(s) associated with each strategy. The assumption underpinning the Strategic Plan is that if the identified strategies, as measured by tracking progress against the indicators, are successfully achieved then the overarching outcome will also be achieved as the strategies are all contributing to it.

STRATEGY	KEY INDICATORS	DELIVERABLES	SERVICES TO SUPPORT							DIVISION RESPONSIBLE
			1	2	3	4	5	6	7	
Outcome 4: Economic and social benefits are optimised for FFA Member countries and our people, within the context of ecologically sustainable fisheries										
Strategy 4.1: Drive the inclusion of social and economic considerations in management, including in the establishment of WCPFC target reference points (TRPs) at levels that are consistent with FFA members' economic objectives	<p>Indicator 4.1a - TRPs for tuna stocks adopted by WCPFC that are consistent with the social and economic objectives of FFA members</p> <p>Indicator 4.1b - Economic and social factors considered in the development of National tuna management and development plans.</p>	4.1.1	Provision of relevant economic data, associated analysis and reports disseminating these data.							FD
		4.1.2	Provide Rrequested economic analyses and the enhancement of members' capacity to undertake and interpret such analyses.							FD

STRATEGY	KEY INDICATORS	DELIVERABLES	SERVICES TO SUPPORT							DIVISION RESPONSIBLE
			1	2	3	4	5	6	7	
Outcome 4: Economic and social benefits are optimised for FFA Member countries and our people, within the context of ecologically sustainable fisheries										
Strategy 4.2: <i>Improve standards for employment and ensure opportunities for decent work for women and men in the fishing and processing industry</i>	Indicator 4.2 - Regional Minimum Terms and Conditions (MTCs) of employment for vessel crews	4.2.1 Facilitation of the development of new regional terms and conditions for vessel crew and support Member's efforts to promote improved safety of observers and crews, and the protection of human rights through the WCPFC								FD
		4.2.2 Identification of opportunities for initiatives in the private sector that support greater inclusion of women in all aspects of fisheries								FD
		4.2.3 Support to FFA members and sub-regional agencies to enhance national and sub-regional measures to increase on-board employment and value-adding (processing) opportunities								FD

<p>Strategy 4.3: <i>Increase the value and profitability of the region's tuna fisheries throughout the value chain for the economic benefit of FFA Members</i></p>	<p>Indicator 4.3a - Measurable economic benefits including:</p> <ul style="list-style-type: none"> • Government revenue from licence and access fees • Contribution of fisheries to GDP • Export values • Employment in fisheries and related sectors • Direct investment in fisheries and related sectors <p>Indicator 4.3b - Number of FFA members with EU-certified Competent Authorities or in the process of obtaining certification</p>	<p>4.3.1</p>	<p>Assist FFA Members to review and update national fisheries development plans that are coherent with national development strategies and lessons learnt</p>	<p>FD</p>
		<p>4.3.2</p>	<p>Provision of high quality economic analysis, investment analysis and facilitation, including facilitating market opportunities for small and medium enterprises and assistance to Members to develop capacity in investment/ financial analysis and corporate governance.</p>	<p>FD</p>
		<p>4.3.3</p>	<p>Assist FFA Members to access global tuna markets including through the establishment and maintenance of competent authorities, provision of advice on market access requirement.</p>	<p>FD</p>

STRATEGY	KEY INDICATORS	DELIVERABLES	SERVICES TO SUPPORT							DIVISION RESPONSIBLE
			1	2	3	4	5	6	7	
Outcome 4: Economic and social benefits are optimised for FFA Member countries and our people, within the context of ecologically sustainable fisheries										
Strategy 4.4: <i>Increase the social benefits from offshore fisheries in FFA members' countries while combating potential negative social impacts</i>	Indicator 4.4a - Number of national frameworks to monitor socio-economic contributions of tuna fisheries developed.	4.4.1 Provision of advice and assistance to FFA Members in the consideration and, where appropriate, development of policies and initiatives with regard to the contribution of tuna fisheries to food security, and developmental aspects of artisanal tuna fisheries								FD
	Indicator 4.4b - Measurable social benefits, including: <ul style="list-style-type: none"> Proportion of women employed in fisheries related sectors. Increase in volume of tuna entering local markets. 	4.4.2 Provision of assistance to FFA Members in the identification of community priorities and development of indicators to monitor progress towards their objectives.								FD

OUTCOME 5 - Our people are empowered through strong and effective national, sub-regional and regional fisheries organisations

Description

This Outcome seeks to ensure that FFA members are empowered to proactively manage their fisheries, through strengthening the capacity of national fisheries administrations as well as enhancing sub-regional and regional fisheries organisations.

FFA's priorities under this outcome include supporting sub-regional fisheries administrations to effectively fulfil their mandates, Members leading and participating and effectively collaborating at sub-regional and regional levels, Members meeting national responsibilities associated with regional management of offshore fisheries and working with fisheries managers and the fishing private sector to boost understanding and achievement of their respective priorities and management approaches.

The FFA Strategic Plan (2020-2025) identifies a number of strategies it will implement in order to ensure that people are empowered through strong effective national, subnational and regional fisheries organisations.

Strategies to achieve this Outcome:

1. Enhance the capacity of national administrations to achieve their fisheries management and development aspirations.
2. Improve the national capacity to meet the increasing responsibilities associated with the regional management of offshore fisheries.
3. Strengthen and support sub-regional fisheries management arrangements.
4. Strengthen regional cooperation to improve offshore fisheries management.
5. Facilitate stakeholders' engagement and participation in offshore fisheries management decisions.

The following table shows how each of the services that FFA provides to Members contribute to the planned outputs, how each of the outputs support the associated strategies identified in the Strategic Plan and the proposed indicator(s) associated with each strategy. The assumption underpinning the Strategic Plan is that if the identified strategies, as measured by tracking progress against the indicators, are successfully achieved then the overarching outcome will also be achieved as the strategies are all contributing to it.

STRATEGY	KEY INDICATORS	DELIVERABLES	SERVICES TO SUPPORT							DIVISION RESPONSIBLE
			1	2	3	4	5	6	7	
OUTCOME 5: Our People Are Empowered through Strong and effective national , sub-regional and regional fisheries organizations										
Strategy 5.1: <i>Enhance the capacity of national fisheries administrations to achieve their fisheries management and development aspirations</i>	Indicator 5.1a - Targeted and effective delivery of training programs Indicator 5.1b - Improved skills, knowledge and abilities of trainees Indicator 5.1c - CSLAs are effective in supporting Members; achievement of national priorities	5.1.1 Manage and Implement the FFA Regional Training Framework								HLA
		5.1.2 Identify and implement improvements to the planning, development and implementation of CSLAs including to incorporate a more strategic level element								HLA
		5.1.3 Work closely with education providers, including USP , to enhance the training opportunities available to FFA members								HLA
		5.1.4 Enhance the FFA communications strategy to ensure more effective outreach								HLA

<p>Strategy 5.2: <i>Improve national capacity to meet the increasing responsibilities associated with the regional management of offshore fisheries</i></p>	<p>Indicator 5.2a - Growth in leadership at the national level to engage effectively with sub-regional, regional and international organisations</p>	<p>5.2.1</p>	<p>Assist FFA members to understand and implement their WCPFC obligations through training, regular communication, meeting briefs and response to requests</p>	<p>FM + FO</p>
<p>Strategy 5.3: <i>Strengthen and support sub-regional fisheries management arrangements</i></p>	<p>Indicator 5.3 - Improved administrative capacity enabling integrated strategic and operational planning for fisheries</p>	<p>5.3.1</p>	<p>Assist sub-regional groupings in accordance with the principles of transparency, accountability and clear identification of conflicts of interest, including through participation in sub-regional meetings as appropriate and provide advice to contribute to the development of sub-regional measures where it is consistent with the interests of the broader FFA Membership and assist FFA Member to implement these obligations and initiatives under sub-regional measures</p>	<p>FM</p>
		<p>5.3.2</p>	<p>Work closely, and cooperate, with PNAO to assist PNA countries as requested</p>	<p>ALL</p>
		<p>5.3.3</p>	<p>Support the development of the South Pacific Group as a formal sub-regional grouping as requested</p>	<p>HLA + FMD</p>

STRATEGY	KEY INDICATORS	DELIVERABLES	SERVICES TO SUPPORT							DIVISION RESPONSIBLE
			1	2	3	4	5	6	7	
OUTCOME 5: Our People Are Empowered through Strong and effective national , sub-regional and regional fisheries organizations										
Strategy 5.4: Strengthen regional cooperation to improve offshore fisheries management	Indicator 5.4 - Members solidarity on Pacific tuna fisheries issues.	5.4.1 Provide analysis and other information to support national and collective decision-making								HLA + FMD
		5.4.2 Work closely with SPC Fame team to identify interactions between coastal and offshore fisheries, and provide advice to FFA Members on the management implications of interactions								HLA
		5.4.3 Provide high level visibility to the importance of fisheries and the activities of the Secretariat and FFA Members to ensure sustainable management , responsible development and appropriate enforcement								HLA

<p>Strategy 5.5: <i>Facilitate stakeholder engagement and participation in offshore fisheries management decisions</i></p>	<p>Indicator 5.5 - Effective engagement, increasing stakeholders support for FFA initiatives</p>	5.5.1	Facilitate engagement with the industry and relevant Non-Governmental Organisations (NGO), including PITIA, where appropriate in the development of regional initiatives	HLA +FMD
		5.5.2	Enhance the website and communications mechanisms to provide stakeholders with timely and accessible information on regional fisheries management decisions and processes	HLA

OUTCOME 6 - FFA Secretariat is a professional organisation providing high quality advice and other services to FFA Members

Description

Strong governance, systems and processes underpin the success of any organisation. For the FFA to successfully implement the organisation's Strategic Plan, it must invest in and strengthen the Secretariat to ensure it is equipped to implement the necessary strategies for success.

FFA's priorities under this Outcome include ensuring the Secretariat is able to deliver the Strategic Plan efficiently and effectively for the benefit of the Members, and that FFA staff are supported to continuously perform at high standards in delivering their work.

The FFA Strategic Plan (2020-2025) identifies a number of strategies it will implement in order to ensure that the FFA Secretariat is a professional organisation providing high quality advice and other services to FFA Members.

Strategies to achieve this Outcome:

1. Enhance the internal governance processes within the FFA Secretariat and governance of the Secretariat by FFC.
2. Develop and enhance the capacity and skills of the FFA Secretariat to meet the changing context and increasing needs of the FFA Members.
3. Understand and prioritise resourcing options to implement the Strategic Plan.
4. Enable a high-performance culture in the FFA Secretariat.
5. Enhance the value of and protect the FFA information assets.
6. Ensure the organisational structure and service delivery model of the FFA Secretariat, including core services and supporting systems, are fit for purpose to meet the Strategic Plan.

The following table shows how each of the services that FFA provides to Members contribute to the planned outputs, how each of the outputs support the associated strategies identified in the Strategic Plan and the proposed indicator(s) associated with each strategy. The assumption underpinning the Strategic Plan is that if the identified strategies, as measured by tracking progress against the indicators, are successfully achieved then the overarching outcome will also be achieved as the strategies are all contributing to it.

STRATEGIES	KEY INDICATORS	DELIVERABLES	SERVICES TO SUPPORT						DIVISION RESPONSIBLE
			5	7	8	9	10	11	
Outcome 6: FFA Secretariat is a professional organisation providing high quality advice and other services to FFA members.									
Strategy 6.1: Enhance the internal governance processes within FFA Secretariat and governance of the Secretariat by FFC	Indicator 6.1a - Improvement in Stakeholder Satisfaction with FFA Secretariat (External)	6.1.1 Develop, review and update Business Plan to be aligned with the Strategic Plan							HLA + CSD
		6.1.2 Oversee an independent review of the governance of FFA by FFC							HLA + CSD
		6.1.3 Improve the quality and transparency of the services provided by the Secretariat to individual and sub-groupings of FFA Members							CSD
	6.1.4 Implement a robust Monitoring and Evaluation system								HLA

STRATEGIES	KEY INDICATORS	DELIVERABLES	SERVICES TO SUPPORT						DIVISION RESPONSIBLE
			5	7	8	9	10	11	
Outcome 6: FFA Secretariat is a professional organisation providing high quality advice and other services to FFA members.									
Strategy 6.2: Develop and enhance the capacity and skills of the FFA Secretariat to meet the changing context and increasing needs of FFA Members	Indicator 6.2a - Average length of time key positions are vacant	6.2.1	Develop a "People Strategy" that includes Building Core-competencies' that support the delivery of services to members, administration of the FFA Secretariat; Building capacity in non- fisheries areas including governance, management, policy analysis/advice, institutional strengthening; ensuring recruitment and retention of high quality staff; Enhancing succession planning, and associated development of staff, and formalising more flexible working arrangements						CSD
	Indicator 6.2b - Staff Turnover rates Indicator 6.2c - Completed People Strategy & Capability Framework Indicator 6.2d - Maintaining high employee satisfaction rating of greater than 95%								
	Indicator 6.2e - Percentage of budget allocated to professional development to increase by 0.5% per annum to reach maximum of 2.5% by 2025.	6.2.2	Develop and implement quality improvement programme for the Secretariat to ensure the effectiveness of its interventions , the efficiency of services and relevance of its activities						CSD

		<p>6.2.3 Promote Gender Equality by Identifying and removing any barriers in the corporate governance framework to facilitate the full participation of women in all aspects of the FFA Secretariat's operations</p> <p>6.2.4 Build the FFA Secretariat's capability to provide assistance and advice on institutional governance and administrative capacity building</p>	CSD
			HLA
<p>Strategy 6.3: <i>Understand and prioritise resourcing options to implement the Strategic Plan</i></p>	<p>Indicator 6.3a – Approved Resourcing Strategy and Funding Guidelines ensuring long term sustainability of funding of Secretariat's activities</p> <p>Indicator 6.3b – Growth in amounts secured from donors.</p> <p>Stable income across the three main revenue sources (fees for service, Membership fees and donations)</p> <p>Proportion of multi-year, core funding with project funds from donors</p>	<p>6.3.1 Draft guidance for FFC's consideration of new funding opportunities, including funding guidelines including mechanisms to advise and consult FFA Members and potential implications for the work of the Secretariat</p>	HLA + CSD

STRATEGIES	KEY INDICATORS	DELIVERABLES	SERVICES TO SUPPORT						DIVISION RESPONSIBLE	
			5	7	8	9	10	11		
Outcome 6: FFA Secretariat is a professional organisation providing high quality advice and other services to FFA members.										
Strategy 6.4: <i>Enable a high-performance culture in the FFA Secretariat staff</i>	Indicator 6.4a - Improvement in Staff Values Assessment Score by 10% annually from baseline Indicator 6.4b - Performance Management System endorsed and fully implemented Indicator 6.4c - Fit for purpose Human Resources policies & Increase investment in automation and integration of business systems and processes	6.4.1	Finalise, launch and embed the FFA Values with all Secretariat staff						HLA	
		6.4.2	Implement a performance management system for all staff that focuses on: <ul style="list-style-type: none"> improving performance. investing in skills and knowledge. recognising and rewarding high performance. identifying and managing poor performance. enabling professional development; and including 360-degree feedback. 						CSD	
		6.4.3	Ensure Human Resources Policies and Procedures are aligned to the Strategic Plan & Business Plan leveraging technology to provide the necessary support to staff to enable them to perform in their roles							CSD

Strategy 6.5: <i>Enhance the value of and protect FFA information assets</i>	Indicator 6.5a – Maintain secure access and use of data to support decision making processes. Better use of data in decision-making and improving processes.	6.5.1	Develop an organisational “Information Strategy” to ensure that information systems protect data, enable improved decision making, and enhance business processes that support services delivered to members						HLA + FOD
	Indicator 6.5b – Number of cyber security breaches recorded annually	6.5.2	Identify and implement means of ensuring security of data and information (cyber-security)						FOD
Strategy 6.6: <i>Ensure the organisational structure and service delivery model of the FFA Secretariat, including core services and supporting systems, are fit-for-purpose to meet the Strategic Plan</i>	Indicator 6.6a - Defined Fisheries Services and Development & Implementation of performance standards	6.6.1	Define the “fisheries services” and associated performance standards that will be delivered to FFA Members						HLA
	Indicator 6.6b - Percentage of operational cost to total costs Indicator 6.6c - Proportion of staff cost to activity cost Indicator 6.6d - Increase investment in automation and integration of business systems and processes	6.6.2	Review organisational structures to ensure efficient and effective implementation of business processes that support the efficient delivery of fisheries services , promotes the transparency of organisational decision-making at the lowest level of organisation.						

STRATEGIES	KEY INDICATORS	DELIVERABLES	SERVICES TO SUPPORT					DIVISION RESPONSIBLE
			5	7	8	9	10	
Outcome 6: FFA Secretariat is a professional organisation providing high quality advice and other services to FFA members.								
	<p>Indicator 6.6e - Endorsed and fully operational Organisational Structure to deliver Strategic Plan</p> <p><i>Proportion of targets under Outcomes 1 - 5 that are on track to be met</i></p>							

Services as defined in Our Services to Members section: 1 – Policy, technical and legal advice; 2 – Capacity building and training; 3 - Forum for regional dialogue and negotiations to develop shared regional positions and building solidarity; 4 – Regional technical services, including MCS; 5 – Engagement, collaboration and partnerships; 6 – Data and information to meet decision making needs; 7 – Advocacy, media and communications

BUDGET AND RESOURCING

The following tables provide the financial forecast summaries for the duration of the business plan. Apart from the approved revised budget for FY2021-FY2022, the rest of the years are financial forecasts. These estimates will be reviewed each year against actual performance in the previous year and assumptions for the year before finalising the Secretariat budgets that will be part of the AWPB.

Table 1: Income by Source

Income by Source	FY2021 - FY2022	FY2022 - FY2023	FY2023 - FY2024	FY2024 - FY2025
	Revised budget	Proposed Budget	Indicative Budget	Indicative Budget
General Fund	3,306,911	4,723,100	4,757,700	4,678,500
DFAT Program Fund	3,459,274	3,551,000	3,622,000	3,694,400
MFAT Program Fund	2,921,920	2,419,900	2,419,900	2,419,900
Donor Project Fund	9,831,285	11,143,300	12,257,600	13,483,400
Housing Fund	1,948,069	2,021,800	2,122,900	2,229,000
Vessel Register Fund	3,958,767	3,965,100	4,163,400	4,371,600
US Treaty Fund	2,007,286	1,256,000	1,256,000	1,256,000
Total (USD)	27,433,512	29,080,200	30,599,500	32,132,800

Table 2: Expenditure by Outcome

Expenditure by Strategic Outcome	FY2021 - FY2022	FY2022 - FY2023	FY2023 - FY2024	FY2024 - FY2025
	Revised budget	Proposed Budget	Indicative Budget	Indicative Budget
1. Offshore fisheries are ecologically sustainable	3,114,841	3,154,800	3,218,600	2,883,000
2. FFA Members' offshore fisheries rights are well defined	2,536,118	3,537,100	4,456,500	4,802,800
3. FFA Members' offshore fisheries rights are secured and protected.	8,306,021	8,317,300	8,940,800	9,601,500

Expenditure by Strategic Outcome	FY2021 - FY2022	FY2022 - FY2023	FY2023 - FY2024	FY2024 - FY2025
	Revised budget	Proposed Budget	Indicative Budget	Indicative Budget
4. Economic and social benefits are optimized for FFA Member countries and our people, within the context of ecologically sustainable fisheries.	4,559,768	4,609,300	5,105,300	5,504,500
5. Our people are empowered through strong and effective national, sub-regional and regional fisheries organisations.	1,226,235	1,547,700	1,713,200	1,835,800
6. FFA Secretariat is a professional organisation providing high quality advice and other services to FFA Members.	7,690,529	7,914,000	7,165,100	7,505,200
Total (USD)	27,433,512	29,080,200	30,599,500	32,132,800

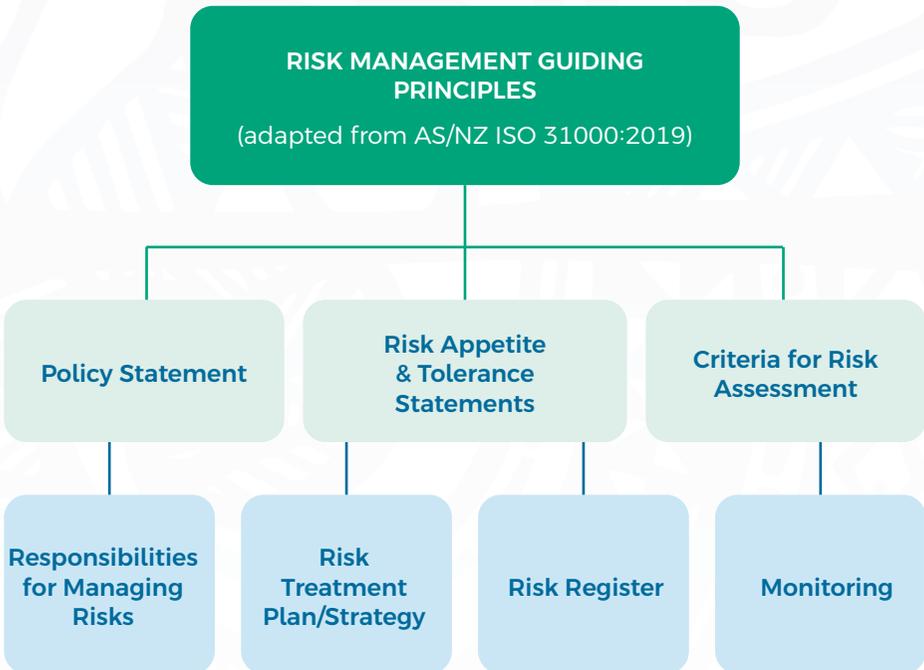
Table 3: Expenditure by Division

Expenditure by Division	FY2021 - FY2022	FY2022 - FY2023	FY2023 - FY2024	FY2024 - FY2025
	Revised budget	Proposed Budget	Indicative Budget	Indicative Budget
High Level Advice	4,991,711	4,871,200	4,984,500	5,290,700
Fisheries Management	5,242,147	5,075,675	5,154,025	5,502,575
Fisheries Development	4,262,716	4,874,700	5,391,200	5,814,300
Fisheries Operations	6,829,995	8,589,250	9,917,650	10,123,050
Corporate Services	6,106,943	5,669,375	5,152,125	5,402,175
Total (USD)	27,433,512	29,080,200	30,599,500	32,132,800

The budgets will be aligned to the Resourcing Strategy which will set out the Secretariat’s resourcing needs for the coming years in order to effectively deliver on the Business Plan and Strategic Plan. The Resourcing Strategy will guide our high-level engagements with donors and partner organisations going forward, providing the basis for conversations about future programme and project related funding

RISK MANAGEMENT

The increasing pace of change, particularly the dynamic environment FFA is operating in and the planned improvements will bring risks that the Secretariat needs to mitigate to ensure achievement of its strategic outcomes. These risks will be managed in accordance with its Risk Management Framework depicted in the diagram below.



Risk Management Framework

The Framework is adapted from the Australia New Zealand Risk Management Framework consisting of FFA's Risk Management Principles which guides our risk policy, risk appetite and tolerance, criteria for assessing risks, responsibilities for managing risks, monitoring and process for assessing and treating risks.

The framework identifies Risk Management as everyone's responsibility, first and second level being management and third level being assurance by Internal Audit and reviews by the Audit and Risk Committee (ARC). Specifically, the Internal Auditor reviews the adequacy of controls relevant to the risks that are inherently significant, high and moderate, on a cyclical basis and report the results to the ARC through the Executive as required under the ARC Charter

To support the achievement of the FFA 2020-2025 strategic outcomes, the FFA Secretariat will, with a moderate risk appetite, adapt advances in technology and digital transformation, empower and safeguard its workforce. It will also pursue a low-risk appetite for values and culture, business continuity, fraud, project management, information security, financial management and compliance with the host country's relevant laws and regulations.

Review of the framework and strengthening risk identification

Internal Audit is seeking to drive the development of a three year risk based Internal Audit Plan that will assess the adequacy of controls in addressing risks as well as bringing about efficiencies and improvements to business processes and assessing compliance. The foundation of the planning process relies upon the accurate and relevant determination of risks through robust procedures and up to date information. Further, identifying emerging risks in a timely manner and in line with current best practice and international norms. The FFA will engage a highly qualified consultant to undertake a review of the processes it currently has in place where required and to update the Risk Register through consultation with the Executive Management Team and other relevant Managers.

Current and emerging risks

Two significant risk events have occurred since November 2021, the events concerned being the riots and Covid-19. It's important that we review how FFA responded to these events, how successful that response was (and our BCP systems), and lessons learned that not only improved our response during the events, but can be used to improve our BCP procedures for the future. To that end, FFA is seeking the input of all directors to provide an update on these matters to the Audit and Risk Committee.

THE MERLA FRAMEWORK

FFA has adopted the MERLA (*Monitoring, Evaluation, Research, Learning & Adaptation*) approach in reviewing progress of the implementation of the six Strategic Outcomes of this Business Plan. The MERLA approach sets out the implementation, analysis and evaluation of progress for reporting, learning, adaptation and continuous improvement of the operational life of the Strategic Plan 2020-2025.

The MERLA Framework will be finalised by the Executive Management Team by July 2022. The Planning, Transformation & Monitoring Unit (PTMU) will partner with the Executive Management Team to measure, report and adopt refined approaches to delivering services and improving divisional performance in the full implementation of the six Strategic Outcomes of the 2021 -2025 Business Plan.

To this end, we will:

- Review the Annual Work Plan & Budget implementation every 6 months
- Review and make any necessary adjustments to the Business Plan annually
- Carry out mid-term review of the Strategic Plan in 2023

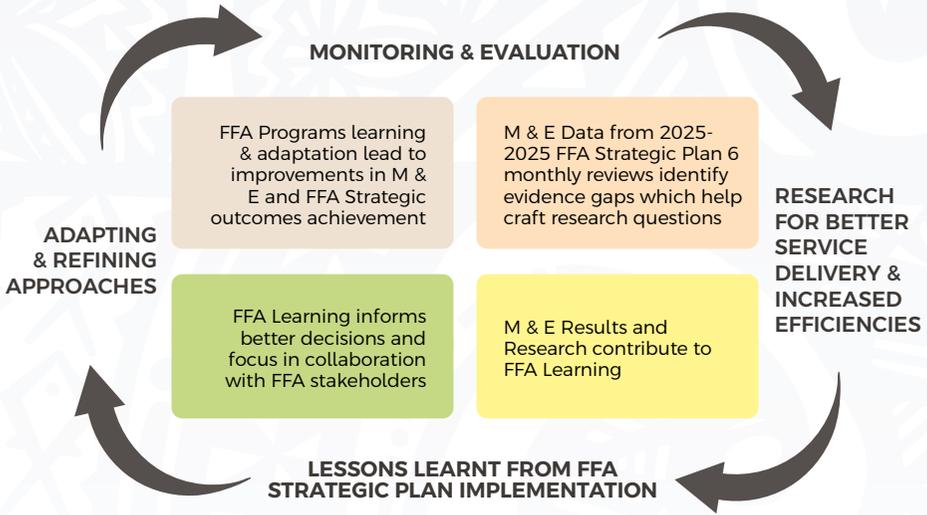
Collection of Divisional Performance data will be done in coordination with Divisional designated staff and with Finance & PTMU staff. The divisional M & E reports will be forwarded to the Directors for their review & endorsement before it is finalised.

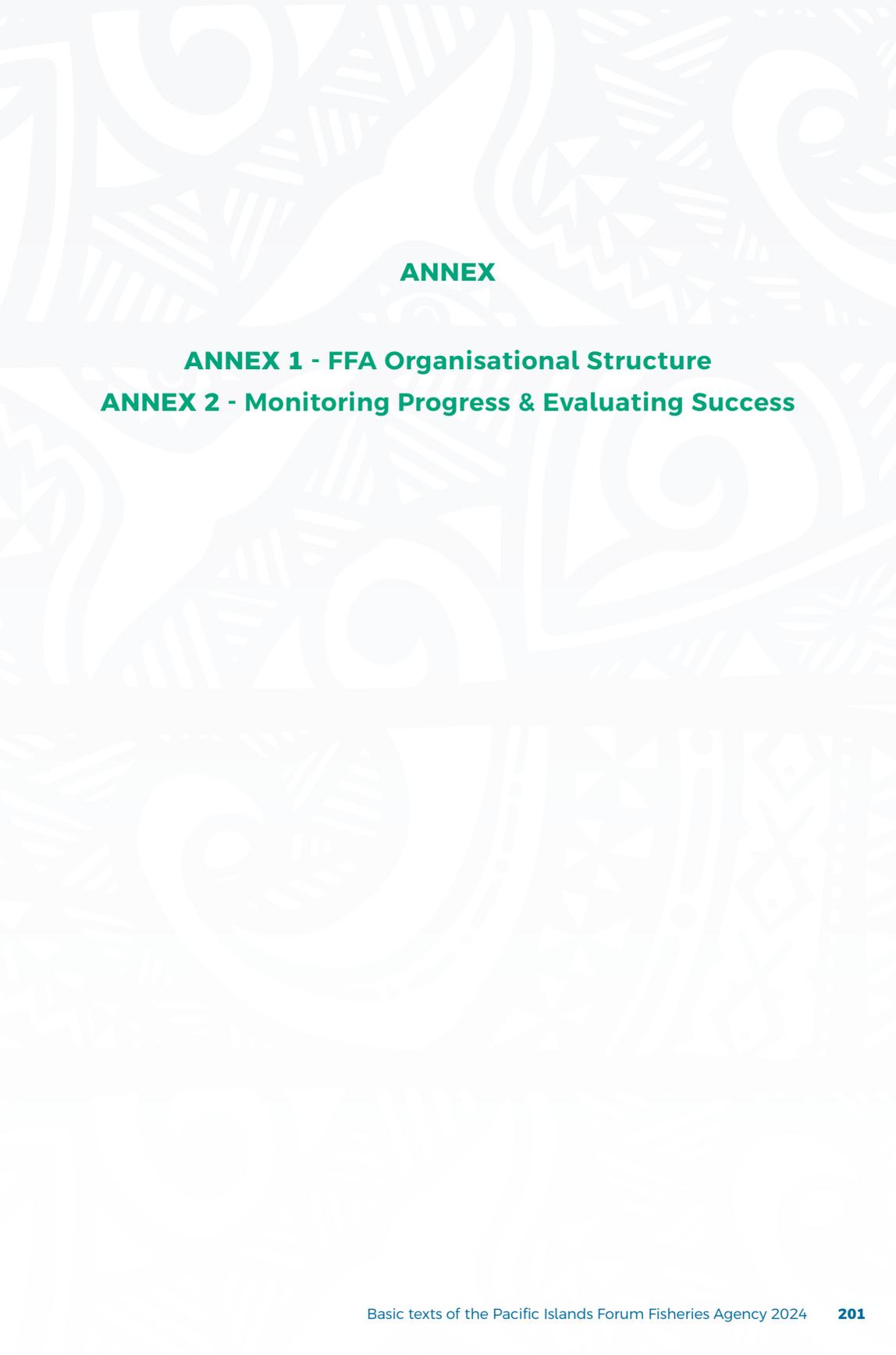
The half year reports on the Business Plan and Divisional work plan implementation, including Project implementation reports, will be presented to the Executive Management Team for their review.

The FFA Secretariat Annual Report reports progress on Business Plan Implementation for the preceding year. The Planning, Monitoring, Evaluation, Reporting, Learning and Adaptation (MERLA) cycle is presented in Figure 2 below:

Figure 2. The MERLA Framework

FFA Monitoring, Evaluation, Research, Learning and Adaptation Cycle





ANNEX

- ANNEX 1 - FFA Organisational Structure**
- ANNEX 2 - Monitoring Progress & Evaluating Success**

ANNEX 1: FFA Organisational Structure as at 25 April 2022

Refer to attached document - Refer to



<https://www.ffa.int/publications-and-statistics/ffa-corporate-documents/>

ANNEX 2: Monitoring Progress & Evaluating Success:

In this Appendix, all Indicators are listed for each Strategic Outcomes with the relevant tables showing how these deliverables are monitored and measured. Baseline and targets are listed for ease of reference.

STRATEGIC OUTCOME 1 - Offshore Fisheries are ecologically sustainable

The critical element of ensuring success of the Business Plan is to track progress against each strategy and outcome through monitoring the noted indicators. The following table provides further detail on Strategic Outcome 1 will be achieved:

KEY INDICATORS	HOW	BASELINE	TARGET
OUTCOME 1: Offshore fisheries are ecologically sustainable			
Indicator 1.1: All WCPO tuna stocks not overfished and overfishing not taking place	TRPs agreed and adopted according to pathway agreed in the Harvest Strategy Work Plan Formal HS adopted at WCFPC level.	Interim TRP in place for South Pacific albacore. ITRP for skipjack has now lapsed. None for other species as of Dec 2021. Interim HCR in place for PBF. No HCRs in place as of Dec 2021 for other tuna species.	Target Reference Points adopted for Western and Central Pacific Ocean (WCPO) tuna stocks. Harvest Control Rules in place as part of harvest strategies covering key tuna species WCPO tuna stocks maintain the status of not overfished and not subject to overfishing.
Indicator 1.2 - Decrease in bycatch rates for key species (sharks, marine mammals, seabirds, turtles)	SPC data showing % reduction of by-catch over time.	Current status of bycatch per species.	Effective bycatch mitigation measures adopted by WCFPC

KEY INDICATORS	HOW	BASELINE	TARGET
OUTCOME 1: Offshore fisheries are ecologically sustainable			
Indicator 1.3 - CMMs adopted that formally recognise zone-based management and implement agreed allocation frameworks for the high seas.	Facilitate consensus building among FFA Members on high-seas management measures Provide technical support for the development of FFA proposals to WCPFC on high-seas management	No CMMs currently acknowledge zone-based management arrangements and high seas allocation frameworks yet to be developed.	Catch/Effort limits in WCPFC CMMs do not apply in Members EEZs FFA Members have secured access to HS fisheries through agreed allocation frameworks.
Indicator 1.4a - Adoption of mandatory Electronic Reporting requirements for FFA EEZs and in WCPFC	Electronic Reporting obligations in effect for FFA EEZs and within WCPFC. Assessment of agreed CMMs against best available science advice.	Standards for ER in place in WCPFC. Mandatory ER reporting obligations not yet in place.	Mandatory ER in place by 2023. Improved electronic reporting to comply with mandatory requirements for FFA EEZs in WCPFC by 2023. WCPFC CMMs are based on the best available science.
Indicator 1.4b - WCPFC CMMs are based on and respond to best available science.			
Indicator 1.5 - FFA CMM proposals and adopted WCPFC management measures include explicit climate change adaptation and mitigation provisions.	Streamlining of climate change projections into fisheries management actions including the development of harvest strategies for key tuna stocks.	With exception of the Tropical Tuna Measure which includes explicit acknowledgment of climate change impacts in the preamble no other CMMs currently include specific CC provisions.	WCPFC adopts Harvest Strategies for key stocks which include provisions that explicitly recognise potential impacts of climate change.

STRATEGIC OUTCOME 2 – FFA Members’ Offshore Fisheries Rights are well defined

The critical element of ensuring success of the Business Plan is to track progress against each strategy and outcome through monitoring the noted indicators. The following table provides further detail on how Strategic Outcome 2 will be achieved:

KEY INDICATORS	HOW	BASELINE	TARGET
OUTCOME 2: FFA Members Offshore Fisheries are well defined			
Indicator 2.1a - The number of individual FFA members with zone-based limits and rights captured in national policies and legislation.	Review of policies and legislation	Member countries that already have zone-based limits in their national frameworks and legislation	All national Management Plans are current and up to date, incorporating zone-based limits and management arrangements as they are agreed and implemented.
	Maritime boundaries, agreements and legislations	Number of national management Plans already in place and current in all Member countries	
Indicator 2.1b - Formalisation of maritime boundaries		Number of boundaries still to be finalised	Boundaries agreed with FFA member support
Indicator 2.2a - Allocations in WCPFC measures that include zone-based limits for FFA Members’ EEZs	Review of WCPFC CMMs	Tropical tuna measure recognises zone-based limits for the purse seine fishery.	Zone based limits for the tropical and southern Longline fisheries recognised in WCPFC CMMs
	Provisions of WCPFC CMMs	Most CMMs currently include exemptions for SIDS but high seas rights/allocations are not specifically defined	
Indicator 2.2b - FFA Members’ rights in the high seas defined in WCPFC CMMs			FFA Members’ high seas allocations are clearly defined in WCPFC CMMs

KEY INDICATORS	HOW	BASELINE	TARGET
OUTCOME 2: FFA Members Offshore Fisheries are well defined			
Indicator 2.3 - Agreed in-zone management arrangements in place for the southern longline fishery that are compatible with LL VDS	Review of in-zone management arrangements.	TKA limits Catch/effort management arrangements not in place for non-PNA members	Catch/effort management arrangement/s cover all FFA Member EEZ longline fisheries.
Indicator 2.4 -Purse seine fisheries are maintained at levels commensurate with biomass and effort levels in 2012 for Skipjack while other tuna stocks remain at sustainable levels of fishing.	SPC stock assessments and reports to WCPFC	Purse seine and other tropical tunas managed under single species-based provisions of CMM 2021-01	WCPFC CMMs incorporates harvest strategies and HCRs which provide a multispecies approach to management of key tropical tunas
Indicator 2.5 - FFA members implementing their rights and responsibilities as Flag States	Compliance by FFA members with flag State obligations	Level of Compliance with flag State obligations within WCPFC	No systemic failure by FFA members to implement flag State obligations

STRATEGIC OUTCOME 3 – FFA Members’ Offshore Fisheries Rights are Secured and Protected

The critical element of ensuring success of the business plan is to track progress against each strategy and outcome through monitoring the noted indicators. The following table provides further detail on how Strategic Outcome 3 will be achieved:

KEY INDICATORS	HOW	BASELINE	TARGET
OUTCOME 3: FFA members offshore fisheries rights are secured and protected			
Indicator 3.1 - Outcomes of FFA’s Regional Surveillance Operations in terms of nature and extent of infractions by licensed vessels	FFA Regional Surveillance Operations post activity reports.	Number of infractions detected and reported for FFA Member action in FFA Surveillance Operations.	Further reductions in the number of infractions detected by surveillance operations Increased levels of compliance by vessels subject to boarding and inspection.
Indicator 3.2 - Reduction in level of IUU fishing in tuna fisheries in WCPO	Quantification of IUU study - 2020 Update	Estimated value lost to FFA members through IUU of US\$333.49m or 6.5% of total WCPFC Convention Area catch.	Continue to reduce losses from IUU fishing by x% - to be determined in workshops or consultations.
Indicator 3.3 Increase FFA Members participation in high seas MCS activities FFA Members participation in the high seas MCS regimes and activities increased.	High Sea Boarding and Inspection (HSBI) scheme, timely access to high seas data, WCPFC CMS process, and regional operations covering high seas	8 FFA Members participate in HSBI, 14 FFA Members access high seas VMS data, and 4 regional operations covering EEZs and high seas.	Contribute to reducing noncompliance with WCPFC measures on the high seas Effective contribution towards reducing non-compliance with WCPFC actions on the high seas by 2025

KEY INDICATORS	HOW	BASELINE	TARGET
OUTCOME 3: FFA members offshore fisheries rights are secured and protected			
Indicator 3.4 - Progressive enhancement of FFA Members ability to implement their responsibilities as Flag, Port and Processing States	Trained national staff with updated training as needed. Updated policies and regulatory frameworks to enable implementation of responsibilities as Flag, Port and Processing States	Baselines to be determined in consultation with individual Members, as a basis for assessing progress.	An ongoing capacity in Member Countries to implement their Flag, Port and Processing State responsibilities.
Indicator 3.5 - FFA Members' level of compliance with WCPFC obligations	Outcomes of WCPFC CMR process	Members meeting their reporting obligations. Some members need support with implementation of obligations.	Reduction in the number of members needing support to implement specific obligations under WCPFC
Indicator 3.6 - Increasing global recognition and support for FFA Members fisheries work, policies and practises	Review of global instruments for recognition of SIDS rights and interests, including zone-based management.	Limited recognition of zone-based management approaches in other RFMOs and/or international instruments.	Evidence of increased recognition of SIDS rights and interests in global instruments as a result of FFA interventions.

STRATEGIC OUTCOME 4 – Economic and Social Benefits are Optimised for FFA Member Countries and our people, within the context of ecologically sustainable fisheries

The critical element of ensuring success of the business plan is to track progress against each strategy and outcome through monitoring the noted indicators. The following table provides further detail on how Strategic Outcome 4 will be achieved:

KEY INDICATORS	HOW	BASELINE	TARGET
OUTCOME 4: Economic and social benefits are optimised for FFA Member countries and our people within the context of ecologically sustainable fisheries			
Indicator 4.1a - TRPs for tuna stocks adopted by WCPFC that are consistent with the social and economic objectives of FFA members.	Social and economic considerations of FFA members are addressed by the WCPFC in adopting TRPs for tuna stocks.	Interim TRP in place for south Pacific albacore. iTRP for skipjack has now lapsed. No TRPs for other species as of Dec 2021.	Target Reference Points adopted for all Western and Central Pacific Ocean (WCPO) tuna stocks. Social and economic considerations of FFA members are addressed by the WCPFC in adopting TRPs for tuna stocks.
Indicator 4.1b - Economic and social factors considered in the development of all national tuna management and development plans.	Members explicitly consider social and economic factors in developing TMDPs.	Setting of south Pacific albacore and initial skipjack iTRP included consideration of economic factors. Economic considerations are often taken into consideration in the development of national TMDPs, social considerations less so.	All national TMDPs explicitly consider economic and social factors.

KEY INDICATORS	HOW	BASELINE	TARGET
OUTCOME 4: Economic and social benefits are optimised for FFA Member countries and our people within the context of ecologically sustainable fisheries			
Indicator 4.2 - Regional Minimum Terms and Conditions (MTCs) of employment for vessel crews	Members implementing MTCs through policies, legislation and regulations	Number of Member states who implement MTCs Members Policies, legislation and regulations	All FFA members to implement the MTCs by Jan 2023.
Indicator 4.3a - Measurable economic benefits including: <ul style="list-style-type: none"> Government revenue from licence and access fees Contribution of fisheries to GDP Export values Employment in fisheries and related sectors Direct investment in fisheries and related sectors 	Continued collection, analysis and dissemination of economic data including through the national economic data collection programme. Members implement investment frameworks.	FFA Economic and Development Indicators and Statistics Report National reports and program outcomes Reports from FAO, Globefish, Infofish, World Bank and others	Tangible increases in the value of economic benefits across fisheries, industry sectors and members.
Indicator 4.3b - Number of FFA members with EU-certified Competent Authorities or in the process of obtaining certification	Members maintaining or obtaining listing	Number of members on the list and in process of obtaining listing	Maintain CA access for 4 members with approved CAs. 2 additional members obtain CA approval and 2 in the process of obtaining. No red cards issued

KEY INDICATORS	HOW	BASELINE	TARGET
OUTCOME 4: Economic and social benefits are optimised for FFA Member countries and our people within the context of ecologically sustainable fisheries			
<p>Indicator 4.4a - Number of national frameworks to monitor socio-economic contributions of tuna fisheries developed.</p> <p>Indicator 4.4b - Measurable social benefits, including:</p> <ul style="list-style-type: none"> Proportion of women employed in fisheries related sectors. Increase in volume of tuna entering local markets. 	<p>Members develop national level socio-economic indicator frameworks in relation to tuna fisheries.</p> <p>Continued collection, analysis and dissemination of socio-economic data.</p>	<p>FFA Gender outcomes related reports.</p> <p>FFA Economic and Development Indicators and Statistics Report.</p> <p>National reports and program outcomes</p>	<p>Proportion of women engaged in fisheries, particularly the harvest sector and as observers, increased.</p> <p>Tangible increase in volume of tuna entering local markets in some members.</p> <p>Wide implementation across FFA members of national level programs and policy measures aimed at increasing female participation in fisheries and the contribution of tuna fisheries to food security.</p> <p>Increased ability to measure and monitor social outcomes related to tuna fisheries.</p>

OUTCOME 5 - Our people are empowered through strong and effective national, sub-regional and regional fisheries organisations

The critical element of ensuring success of the Business Plan is to track progress against each strategy and outcome through monitoring the noted indicators. The following table provides further detail on how Strategic Outcome 5 will be achieved:

KEY INDICATORS	HOW	BASELINE	TARGET
OUTCOME 5: Our people are empowered through strong and effective national, sub-regional and regional fisheries organisations			
Indicator 5.1a - Targeted and effective delivery of training programs	Training needs analysis	Level of knowledge and capacity before training takes place.	Increase in members' knowledge and capacity as a result of training.
	Course and program evaluations		
Indicator 5.1b - Improved skills, knowledge and abilities of trainees	Tracer studies and post training evaluations	Immediate after training assessment reports. Tracer studies and member satisfaction surveys	
Indicator 5.2a - Growth in leadership at the national level to engage effectively with Sub-regional, regional and international organisations	Increased success in negotiations and achieving Members national interests via new agreements, position papers etc.	Participation in the Pacific Fisheries Leadership Programme and the Certificate IV in First Line Management	Number of new agreements, position and policy papers initiated and presented by Member countries annually.
	Tracer studies reflect improved knowledge, skills and abilities	CSLAs process being reviewed and new CSLAs jointly developed progressively with Member countries	
Indicator 5.2b - CSLAs are effective in supporting Members deliver national priorities	FFC, WCPFC and MCSWG etc meeting records.		
		The national priorities identified in the CSLAs	

KEY INDICATORS	HOW	BASELINE	TARGET
OUTCOME 5: Our people are empowered through strong and effective national, sub-regional and regional fisheries organisations			

	<p>Provide opportunities to undertake studies in leadership and management</p> <p>Number of CSLAs signed and implemented</p> <p>Increase annual budget/funding of CSLA work by the Secretariat (source: AWPB)</p> <p>CSLA Report to FFC</p>		<p>Services for each Country tailored for their own specific conditions.</p> <p>Good planning process in-country including a strategic plan with members able to identify their capability gaps.</p> <p>10 CSLAs signed in FY 2022-23</p> <p>10% increase in budget for CSLA work</p>
<p>Indicator 5.3 - Improved administrative capacity enabling integrated strategic and operational planning for fisheries</p>	<p>Members' Fisheries Management and Development Plans linked to National Strategic Plans</p> <p>Provide opportunities for strategic plan development training</p> <p>Provide opportunities for project management training to support integrated and effective implementation</p> <p>Promote training and presentation development skills at the national level</p>	<p>FFC Training Framework Reports</p> <p>Existing number of training events led by national officers and supported by FFA.</p>	<p>Effective national planning and administrative processes in place, linked with national strategic goals in fisheries.</p>

KEY INDICATORS	HOW	BASELINE	TARGET
OUTCOME 5: Our people are empowered through strong and effective national, sub-regional and regional fisheries organisations			
Indicator 5.4 - Members solidarity on Pacific tuna	Members agree on Tuna utilisation strategy after considering the different positions of FFA member	Identified existing positions on Tuna by FFA Members sub-regionally and regionally	Number of agreements signed nationally, sub-regionally and sub-regionally
Indicator 5.5 - Effective engagement, with stakeholders supportive of FFA initiatives	Regional and national initiatives supported by Members and stakeholders such as NGOs, industry (industry bodies such as PITIA etc)	2022 as baseline year for the total number of initiatives supported by members and stakeholders	70% full implementation of initiatives

OUTCOME 6 - FFA Secretariat is a professional organisation providing high quality advice and other services to FFA Members

The critical element of ensuring success of the business plan is to track progress against each strategy and outcome through monitoring the noted indicators. The following table provides further detail on how Strategic Outcome 6 will be achieved:

KEY INDICATORS	HOW	BASELINE	TARGET
OUTCOME 6: FFA Secretariat is a professional organisation providing high quality advice and other services to FFA Members			
Indicator 6.1a - Improvement in Stakeholder Satisfaction with FFA Secretariat (External)	Business Plan completed and endorsed by FFA Members	Jan 2022 Business Plan	FFA approved 2021 -2025 Business Plan fully implemented
Indicator 6.1b - MERLA Framework endorsed and rolled out	Review Business Plan & AWP implementation every 6 months	April 2022 Business Plan with 31 Strategies & 90 deliverables	2 FFA Business Plan and AWP Progress reports completed annually
	Review Strategic Plan		Completed Strategic Plan reviews in 2023 & 2025

KEY INDICATORS	HOW	BASELINE	TARGET
OUTCOME 6: FFA Secretariat is a professional organisation providing high quality advice and other services to FFA Members			
Indicator 6.2a - Average length of time key positions are vacant	People Strategy & Capability Framework endorsed by FFA Secretariat EMT	Situational Report on Capacity Development, Recruitment & Selection, Succession Planning, Institutional Strengthening of Member fisheries agencies 2021 Survey results	People Strategy fully implemented & Capability Framework in place by 2025
Indicator 6.2b - Staff Turnover rates			
Indicator 6.2c - Completed People Strategy & Capability Framework			
Indicator 6.2d - Maintaining high employee satisfaction rating of greater than 95%	Annual employee satisfaction survey	2021 Professional Development budget	Employee satisfaction of greater than 95% in all years
Indicator 6.2e - Percentage of budget allocated to professional development to increase by 0.5% per annum to reach maximum of 2.5% by 2025	Review of annual budget		2.5% of annual budget per annum, spread evenly across levels in the organisation (minimum 0,5% increase per annum to reach the target of 2.5% p.a)

KEY INDICATORS	HOW	BASELINE	TARGET
OUTCOME 6: FFA Secretariat is a professional organisation providing high quality advice and other services to FFA Members			
Indicator 6.3a - Approved Resourcing Strategy and Funding Guidelines ensuring long term sustainability of funding of Secretariat's activities	Development and approval of Resourcing Strategy and Funding Guidelines	Completed and endorsed Resourcing Strategy Funding Guidelines	Resourcing Strategy & Funding Guidelines fully implemented
Indicator 6.3b - Growth in amounts secured from donors.	FFC approved Annual Work Programme and Budget and Annual Report	Donor funding received for 2021/22 Financial Year	Average of 2% increase per annum over 4 years (minimum increase of US\$500k per annum).
Stable income across the three main revenue sources (fees for service, Membership fees and donations)	FFC approved Annual Work Programme and Budget and Annual Report	Financial Year 2021-22 General Fund budget	Diversified income base with no single revenue stream exceeding (60%) of total revenue
Proportion of multi-year, core funding with project funds from donors	Signed multi-year core funding agreements, FFC approved Annual Work Programme and Budget and annual report	Financial Year 2021-22 core funding budget	Core funding to be 30% of total annual budget.
Indicator 6.4 a - Improvement in Staff Values Assessment Score by 10% annually from baseline	Finalisation and Launch of FFA Secretariat Core Values Staff Values Assessment	Endorsed FFA Secretariat Values 2023 -2024 Values Assessment Scores	Average Score for each Value 80% by 2024-2025

KEY INDICATORS	HOW	BASELINE	TARGET
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OUTCOME 6: FFA Secretariat is a professional organisation providing high quality advice and other services to FFA Members

Indicator 6.4b - Performance Management System endorsed and fully implemented	PMS to be developed, finalised and rolled out	2023 -2024 PMS endorsed and rolled out	PMS to be fully operational in 2024 -2025
Indicator 6.4c - Fit for purpose Human Resources policies & Increase investment in automation and integration of business systems and processes	Review of policies and processes to align with the Business Plan	Completed review of policies & processes in 2022 -2023	All reviewed policies and processes fully operational in 2025
Indicator 6.5a - Maintain secure access and use of data to support decision making processes. Better use of data in decision-making and improving processes.	ISMS confidentiality agreements	ISMS log records	FFA Members satisfaction of high-quality services delivered by the Secretariat through improved decision making and supported by timely and secure access to information systems and use of data. Quality of Secretariat decision-making, including degree it is supported by data with at least a 90% approval of secure access to information systems and use of data by Members

KEY INDICATORS	HOW	BASELINE	TARGET
OUTCOME 6: FFA Secretariat is a professional organisation providing high quality advice and other services to FFA Members			
Indicator 6.5b - Number of cyber-security breaches recorded annually	IT department records	2021 records	Zero cyber security breaches
Indicator 6.6a - Defined Fisheries Services and Development & Implementation of performance standards	FFC approved Annual Work Programme and Budget	FY2020-21 AWPB FY2020-21 (Revised Budget)	Capped at 25% annually
Indicator 6.6b - Percentage of operational cost on total cost	FFC approved Annual Work Programme and Budget.	FY 2020-21 (Revised Budget) Business Plan, Divisional work plans and Annual Work Plan and Budget	Ratio of staff to activities to be maintained at 40%: 60%. (i.e. staff cost not to exceed 40% of total cost)
Indicator 6.6c - Proportion of staff cost to activity cost	FFC approved Annual Work Programme and Budget	Approved Revised Structure with Service delivery model by end 2023-2024	Between 1-2 % of the annual budget.
Indicator 6.6d - Increase investment in automation and integration of business systems and processes	Annual Reports		Ongoing review of performance of the delivery of different Outcomes enables timely capability review to focus resources and self-correct to meet targets
Indicator 6.6e - Endorsed and fully operational Organisational Structure to deliver Strategic Plan	Review Organisation Structure to align with Strategic Plan and Business Plan		Revised Structure fully operational by 2025
<i>Proportion of targets under Outcomes 1- 5 that are on track to be met</i>			





FFA

PACIFIC ISLANDS FORUM FISHERIES AGENCY

FFA CLIMATE CHANGE STRATEGY

August 2023

To guarantee the future of our children, we will urgently advocate as a collective to reduce and prevent the causes and impacts of climate change and sea level rise; we will call for stronger global commitment to combat climate change; we will continue to pursue innovative measures to address climate change impacts and disaster risk; and with the support of our partners, we commit to ensuring net zero carbon emissions by 2050.

**2050 Strategy for the Blue Pacific Continent
Pacific Islands Forum Leaders, 51st meeting,
July 2022**

Purpose

The purpose of this Strategy is to guide FFA to prepare for and respond to the risks and impacts of climate change to Pacific Island offshore fisheries, in order to ensure that these fisheries and associated economic and social benefits are climate resilient.

Context

“Recognising that climate change presents the single greatest threat to the livelihood, security and wellbeing of Pacific people, Leaders reaffirmed the importance of immediate urgent action to combat climate change”

Pacific Islands Forum Leaders, 49th meeting, September 2018

In response to the Pacific Island Forum Leaders directive, the Forum Fisheries Committee made Climate Change a standing agenda item at their next Governing Council meetings in 2019. At the same meeting, FFC Ministers adopted the FFA Strategic Plan 2020-2025 which included Outcome One that Offshore Fisheries are Ecologically Sustainable. A key strategy to achieve this outcome is to understand and manage the impact of Climate Change on offshore fisheries.

Climate change is predicted to impact offshore fisheries and have environmental, social, security and economic consequences across the region.

Climate change is already being felt in the Western and Central Pacific Ocean (WCPO): the latest scientific information shows that the area of warm pool is expanding by greater latitudinal extent since 1900, particularly since GreenHouse Gas emissions have increased; and data of sea surface temperature (SST) shows that during the last 20 years, the mean annual SST across the WCPO area has increased 0.26C. These changes in ocean conditions have an impact on tuna and tuna like species life cycles, abundance and distribution and consequently affect fishing activities.

Recent modelling shows that continued GHG emissions are expected to cause substantial changes in the abundance and distributions of Skipjack, Yellowfin and Bigeye tunas within the Pacific Ocean Basin, with predicted shifts in biomass from the Western and Central Pacific Ocean (WCPO) toward the Eastern Pacific Ocean (EPO), and from areas under national jurisdiction to the high seas. In particular, projections under the worst-case scenario (countries continue to emit GHG in *business as usual*, scenario) show a decrease in tuna biomass in the equatorial western and central Pacific Ocean by 2050 and an increase in abundance in the eastern equatorial Pacific Ocean and in some subtropical regions.

The magnitude of this estimated redistribution of tuna biomass is most significant for Skipjack tuna, but also evident for Yellowfin and Bigeye tuna. Future projections of south-Pacific Albacore are more uncertain but also

indicate a distribution of biomass but over longer time frames than that estimated for the equatorial tuna species.

In a business as usual scenario, this redistribution may result in significant reductions in the economic benefits some Pacific Island Members derive from these fisheries. The projected redistribution of tuna biomass is significantly reduced under a scenario of moderated global efforts of GHG emission reduction.

Projections for the end of the century show changes in biomass towards the eastern Pacific and poleward with declines of tuna biomass forecast for most of the Pacific Islands. In addition, the impact of climate change on bycatch species that can be of interest for food security projects the negative impact of fishing on most of the edible bycatch and the strengthening of this negative impact by climate change.

Given the all-encompassing and complex nature of climate change, our collective effort is required to prepare and respond to those threats by taking a proactive approach to managing the potential risks and increasing the resilience of offshore fisheries and associated benefits for the people who depend on them. This should be undertaken, maintaining a good understanding of the broader connected impacts of climate change in the region and associated economic, social, security and environmental implications.

Special recognition is accorded to Smaller Island Members who are heavily dependent on fisheries revenue in addressing the impacts of climate change, noting this is the single most important priority for such Members.

Objectives and strategies can be pursued that will move towards climate-resilient pathways for sustainable development, while at the same time helping to improve livelihoods, social and economic well-being and effective environmental management.

There are 6 key objectives with associated specific strategies to deliver on each objective. FFA Members and the Secretariat will work closely in implementing these strategies, under the direction of the Forum Fisheries Committee.

- 1. Actioning Climate Change Adaptation and Resilience**
- 2. Achieving Climate Justice**
- 3. Accessing Climate Finance**
- 4. Contributing to Mitigation**
- 5. Capacity Building and Institutional Strengthening**
- 6. Advocacy and Engagement**

OBJECTIVE 1 - ACTIONING CLIMATE CHANGE ADAPTATION AND RESILIENCE

FFA Members increase their resilience and adaptive capacity to climate change by managing their fisheries in an ecologically sustainable manner, securing and protecting their rights, and maintaining the offshore fisheries' social and economical benefits despite climate change.

SUB OBJECTIVE 1.1 - ECOLOGICAL SUSTAINABILITY

FFA Members' offshore fisheries resources are managed in an ecologically sustainable manner in the face of climate change.

Strategies

1. Build FFA Members' capacity to assess climate change risks to offshore fisheries in order to prepare and respond to them at national, subregional and regional scales so that these resources remain ecologically sustainable.
2. Continue to support strong, defensible science and information to ensure and inform the development and adoption of climate-informed offshore fisheries policies and management measures at the national level and arrangements at the subregional and regional level.
3. Implement and strengthen the current Climate Change Resolution at WCPFC into current and future Conservation and Management Measures, consistent with FFA members' climate change priorities for WCPO fisheries.
4. Ensure climate change representatives at national, subregional and regional levels are fully informed of the climate change impacts and projections for offshore fisheries to enable better engagement and representation through international processes.

SUB OBJECTIVE 1.2 - WELL-DEFINED RIGHTS, SECURED AND PROTECTED

FFA Members secure and maintain well defined offshore fisheries rights taking into account climate change and that these rights remain secured and protected.

Strategies

1. Support the assessment of climate-induced risks to FFA Members' rights to their offshore fisheries resources and their associated economic and social benefits managed including identifying any adaptation policies that would be appropriate to addressing these.

2. Continue to strengthen FFA Members' capacity to define and secure rights to their offshore fisheries resources, including securing and protecting maritime boundaries and zones.
3. Support a WCPFC allocation framework accounting for redistribution of stocks from the EEZ into the high seas.
4. Enhance global recognition and adoption of Zone-Based Management and protection of FFA Members' fisheries rights in new climate change scenarios.
5. Ensure the adaptability of Monitoring, Control and Surveillance systems and tools despite climate change threats.

SUB OBJECTIVE 1.3 – SUSTAINABLE ECONOMIC AND SOCIAL BENEFITS

The economic and social benefits obtained by FFA Members from their offshore fisheries continue to grow in a sustainable manner, notwithstanding the impacts of climate change.

Strategies

1. Identify climate-induced threats to the economic and social benefits derived from FFA Members' offshore fisheries resources, and any adaptation and mitigation policies that would be appropriate to addressing these.
2. Continue to identify and progress opportunities to enhance social and economic returns to FFA Members from their offshore fisheries under climate change.
3. Drive the inclusion of equitable social and economic considerations in climate related policies and measures consistent with FFA Members' social and economic objectives and their developmental aspirations for WCPO tuna fisheries.
4. Integrate gender and social inclusion principles into climate change responses for offshore fisheries by prioritising equitable social and economic factors within climate-related policies and measures.

OBJECTIVE 2 - ACHIEVING CLIMATE JUSTICE

FFA members are supported to achieve solutions to avert, minimise and address climate change induced economic and non-economic loss and damage to their offshore fisheries resources. Climate justice may be pursued through arrangements including at national and sub-regional level.

Strategies

1. Support Members to develop and articulate well-thought out approaches and defensible positions and achieve solutions and mechanisms to avert, minimise and address climate change induced loss and damage to their offshore fisheries to present to the relevant fora.
2. Strengthen FFA Members' capacity to negotiate and access solutions and mechanisms to avert, minimise and address climate change induced loss and damage to their offshore fisheries resources, including to participate in and contribute to global processes underway through the UNFCCC and under the Paris Agreement to operationalise new funding arrangements, including a fund, to support particularly vulnerable developing countries, including Pacific Island Countries.
3. Strengthen FFA Members' capacity to liaise with partners and to engage and progress issues related to climate justice in international fora, such as the WCPFC and the UNFCCC and the International Court of Justice.

OBJECTIVE 3 - ACCESSING CLIMATE FINANCE

FFA Members' access climate finance from external sources to fund national and regional offshore fisheries related climate activities and initiatives.

Strategies

1. Enhance FFA Members' and FFA Secretariat's understanding of the processes and steps involved in mobilising climate finance to support Members' priorities.
2. Strengthen FFA Members' and FFA Secretariat's capacity to access sustainable climate finance mechanisms through a collaborative partnership approach with their relevant counterparts in-country, such as focal points for climate financing and relevant CROP agencies and other partners.
3. Develop climate finance plans to mobilise resources to support the Members and the Secretariat's work towards increasing the resilience of the offshore fisheries sector.

OBJECTIVE 4 – CONTRIBUTING TO MITIGATION

FFA Members' offshore fisheries sector contributes to reducing GHG emissions.

Strategies

1. Enhance and support FFA Members capacity to meet national commitments to minimise FFA Members' offshore fisheries GHG emissions, including reporting of those efforts.
2. Evaluate the feasibility of development and implementation of mitigation measures for FFA Members' offshore fisheries.
3. Drive positive action at WCPFC towards commitments to GHG emission reductions.
4. Contribute to and support the development of science and technology for mitigation efficiency.
5. Assess and reduce the FFA Secretariat's emission profile.

OBJECTIVE 5 – CAPACITY BUILDING AND INSTITUTIONAL STRENGTHENING

FFA Members' offshore fisheries are resilient to climate change through strong and effective national, and sub-regional fisheries organisations.

Strategies

1. Enhance the capacity of national fisheries administrations to increase the resilience of their offshore fisheries to climate change.
2. Strengthen the capacity of national fisheries administrations to engage with national climate change administrations for mainstreaming offshore fisheries into climate change policies.
3. Enhance FFA Members' capacity for stakeholder engagement and participation in climate change and fisheries decision-making processes.
4. Enhance the technical capability of FFA Members' and their fisheries to prepare for, and adapt to, the impacts of climate change.
5. Strengthen FFA Secretariat's capacity to support FFA Members' needs on offshore fishery-related climate change priorities, and to coordinate their engagement at national, regional and international fora.

OBJECTIVE 6 - ADVOCACY AND ENGAGEMENT

FFA Members advocate and generate strong collaborative mechanisms and partnerships for increasing the resilience of the offshore fisheries and influence positive change.

Strategies

1. Strengthen FFA Members collaborative mechanisms and partnerships at all levels to engage in relevant regional and international fora on their offshore fishery-related climate change priorities.
2. Ensure that FFA Members' fishery-related climate change priorities influence regional and international fisheries related plans, policies, strategies and frameworks.
3. Enhance the collaboration within other RFMOs to help develop workable solutions to address loss and damage induced by climate change on offshore fisheries.
4. Strengthen FFA Members collaborative mechanisms and partnerships to engage relevant inter-governmental agencies at the national-level on their offshore fishery-related climate change priorities.
5. Identify how offshore fisheries conservation and management measures can be better integrated in Members' climate change agenda.
6. Ensure the significance of Members' offshore fisheries is advocated in other relevant climate change fora such as the UNFCCC Conference of the Parties.

IMPLEMENTATION

The FFA Secretariat will work with Members to develop an implementation plan as a matter of priority. This plan shall include key components such as how to progress risk assessments for the strategies, monitoring, evaluation and reporting on progress, and a review to take place after 5 years. This approach would form the basis for prioritising the work of FFA on Climate Change, engagement with donors and partners as well as engagement in the development of the Implementation Plan for the 2050 Strategy for the Blue Pacific Continent and coordination with related regional architecture.



FFA

PACIFIC ISLANDS FORUM FISHERIES AGENCY

**PRINCIPLES FOR FORUM
FISHERIES AGENCY ENGAGEMENT
IN REGIONAL TUNA FISHERIES
PROJECT PARTNERSHIPS WITH
DONORS**

PRINCIPLES FOR FORUM FISHERIES AGENCY ENGAGEMENT IN REGIONAL TUNA FISHERIES PROJECT PARTNERSHIPS WITH DONORS

The Forum Fisheries Committee reaffirms its commitment to the Principles of the 2005 Paris Declaration on Aid Effectiveness and the 2009 Cairns Compact, and has agreed the following Specific Principles for application in the design and implementation of regional scale^[1] oceanic fisheries development assistance partnerships between the FFA^[2] and third parties:

1. Partnership and mutual accountability in project design:

- a. Partnership projects should be based on clearly linked FFA-priorities, the FFA Strategic Plan, the FFA Regional Longline Strategy or other compatible high-level strategy agreed by the FFC to guide the direction of the Forum Fisheries Agency.
- b. FFA will not engage in a partnership which is based primarily upon the donor's objectives and priorities, or which has been derived through an entirely separate donor-driven process of consultation with FFC Members, unless this is clearly and unambiguously in line with the priorities specifically set for FFA by the FFC.
- c. FFA will consider previous experience with donors when looking to engage with such donors in future.
- d. Project management procedures should be openly discussed in advance of signature, and open to mutual negotiation by both partners without any unilateral impositions.

2. Avoidance of “donor capture” and management of conflicts of interest:

- a. Conflicts of interest must be identified and managed where donor partners also have fishing interests in or around FFA Member waters without exception, i.e. including those FFA Members that are also donor partners. Principles to guide decisions on conflict of interest include integrity, impartiality, accountability, trustworthiness, respect, and responsiveness.

[1] Note: “regional scale” is mentioned here because the Paris Declaration refers to “countries” and does not specifically take in regional bodies.

[2] Note: FFA being the Forum Fisheries Committee and Secretariat, in the sense of Article 1.2 of the FFA Convention.

- b. Donor partners that also have fishing interests in or around FFA Member waters are to keep development assistance and fisheries policy separate and unlinked. Development assistance agreements should not directly or indirectly have donor partners influence or impact on the policies of FFA Members in WCPFC or subregional management measures. FFC members are to have the main say in the timing and subject matter of any dialogue meetings on fisheries policy in their region.

3. Inclusiveness of partnerships:

- a. All FFA Members should be fully included in the activities of a regional partnership project to be implemented by the FFA Secretariat, with formal agreement of the donor partner that benefit can be extended to all or, with the approval of FFC, through the addition of supplementary funding from another organisation that has agreed to be part of the partnership and its objectives.
- b. If a partnership concerns a specific fishery or topic that is only of relevance or interest to a subset of the FFC membership then the Secretariat may subcontract a subregional agency or consultancy to deliver the project activity, provided that the overhead costs to FFA of any fiduciary safeguards, commitments and administration are fully covered by the project donor and do not have any net negative impact on FFA's core business or administrative capacity to deliver other services to all FFA Members.

4. Transparency of project administration: All audit and progress reports and reviews directly connected to a partnership must be susceptible to view and comment by both FFA and the project partner(s).

5. Adequacy of reimbursement of Project Administration Costs:

- a. 12%, or an applicable percentage that is the current minimum agreed by the Council of Regional Organisations in the Pacific (CROP) of the budget of each project, shall be provided to the FFA General Fund to defray the costs of project administration, accounting, monitoring and reporting by core FFA staff and the use of FFA premises and utilities etc.
- b. If a donor insists on a reduced Project Administration percentage to be paid to the General Fund, but provides for a project to recruit its own administrative and accounting staff from project funds, these project-funded staff shall be managed as part of the FFA Corporate Services Division and be mandated to work on any general agency tasks appropriate to their expertise, provided their project-related duties are fulfilled.

6. General provision

- a. The FFA Audit and Risk Committee is the body that maintains the administrative and accounting standards of the FFA secretariat, with oversight of both member funds and donor funds.
- b. If any of these specific principles cannot be agreed by any potential development partner during the negotiation stage then the members of the FFA Audit and Risk Committee should be brought together online, or in person as appropriate, and requested to make a consensus recommendation to FFC on whether to withdraw from the potential partnership or to waive or amend that specific principle.



FFA

PACIFIC ISLANDS FORUM FISHERIES AGENCY

**FFA POLICY ON INFORMATION
GOVERNANCE AND
INTELLECTUAL PROPERTY**

FFA POLICY ON INFORMATION GOVERNANCE AND INTELLECTUAL PROPERTY

Approved by FFC122 (24 – 27 May 2022).

1. Purpose

- 1.1 The Pacific Islands Forum Fisheries Agency (FFA) holds a wide range of information and has a duty to protect and manage access to and use of such information. Information includes confidential and personal information on private individuals, employees, partners and suppliers, information relating to its own operation, as well as information provided by Members pursuant to regional undertakings and treaty obligations.
- 1.2 The FFA also has Intellectual Property that is capable of legal protection or is the subject of legal rights under national laws and international treaties.
- 1.3 The purpose of this policy is to provide and describe an overarching policy for the governance of information and intellectual property, for the benefit of the FFA. The policy also provides the rules relating to intellectual property that is attached to a document or other product developed by the FFA.

2. Scope

- 2.1 This policy provides the overarching framework for the governance of information and intellectual property, the ownership of information and intellectual property, the management of intellectual property created, used and shared by FFA, and the specification of principles for the use, management and protection of intellectual property.

3. Definitions

In this policy:

Copyright means the rights that creators have over their original works, and such works protected by copyright include books, music, works of art, films, computer programs, software, databases, advertisements, maps, and technical drawings.

Data has the same meaning as information.

Data owner refers to a Member, Members, the FFA, or person that is the source of the data.

Data user includes any person that is authorised to access FFA information.

Document means any information or record or database and includes electronically stored records or information.

Forum Fisheries Agency or **FFA** means the Agency established under Article I of the South Pacific Forum Fisheries Agency Convention and consists of the Forum Fisheries Committee and the Secretariat;

Forum Fisheries Committee or **FFC** refers to the governing body of the Agency whose functions are set out under the South Pacific Forum Fisheries Agency Convention;

FFA Member or **Member** refers to an individual member of the FFA;

Information means all forms of information including but not limited to: (i) hard copy data printed or written on a document, (ii) information stored in manual filing systems, (iii) communications sent by post/courier, facsimile, electronic mail, or any other messaging service (iv) data stored and processed via servers, PCs. Laptops, mobile phones, tablets; and (v) data stored on any type of removable media including but not limited to CDs, DVDs, tape, USB memory sticks, hard drives, or cameras.

Intellectual property (IP) means information, ideas, inventions, innovations, art work, designs, literary text and any other matter or thing whatsoever that as a creation of human intervention, that may be capable of legal protection or the subject of legal rights, as granted by national laws.

Intellectual property right (IPR) means the right or rights conferred by the law, which protect innovations or creativity from being appropriated by others.

Intellectual property right owner refers to a Member, Members, the FFA, or person that owns the right or rights conferred by law.

Patent refers to an intellectual property that gives its owner the legal right to exclude others from making, using, or selling an invention for a limited period of years in exchange for publishing an enabling disclosure of the invention.

Secretariat refers to the secretariat of the Forum Fisheries Agency appointed in accordance with the South Pacific Forum Fisheries Agency Convention.

Trademark refers to an intellectual property that provides for the recognition of a sign, design or expression which identifies products or services of a particular source.

Transfer, in relation to intellectual property, refers to the transfer under an agreement of such property from the FFA, a group of Members or a Member to another party.

4. Application

- 4.1 This policy applies to all information that is held by the FFA as well as all intellectual property that is generated by a document or other product developed by the FFA.
- 4.2 This policy applies to all staff and employees of FFA and contractual third parties and agents of FFA who have access to FFA's information systems or information.
- 4.3 In addition, this policy also applies to third parties that have access to or use FFA Intellectual Property Rights that are vested in the FFA or a legal entity created with the approval of the Forum Fisheries Committee for vesting of such rights.

5. Governance

- 5.1 The Forum Fisheries Committee is responsible for and has oversight of the implementation of this policy.
- 5.2 The Forum Fisheries Committee shall consider and decide upon any information governance and intellectual property matter that falls within the scope of this policy. Accordingly, the Committee may deliberate on issues of ownership (including joint ownership) of data or intellectual property.
- 5.3 Where the Forum Fisheries Committee approves of the registration of intellectual property, the Committee shall also stipulate whether such property should be vested in the FFA or such other legal entity created with the approval of the Committee for the vesting of such rights.
- 5.4 Where intellectual property is jointly created, the Forum Fisheries Committee shall consider and approve the legal entity to which the FFA proportion of such joint ownership is vested.
- 5.5 The Secretariat shall put in place the necessary arrangements to ensure that this policy is complied with by all including but not limited to staff, consultants, contractors, and any person that has access to data or IP that is owned by FFA, a group of Members, or a Member.

6. Ownership

- 6.1 Data that is held by the FFA consists of different types of data provided by various sources. Such data sources are considered to be the 'owners'

of the data provided and they can authorise, or revoke authorisation, regarding the use of their data. For the most part, the ownership of data vests with the FFA Member that provided it.

- 6.2 Any data that is generated in or in relation to waters under the jurisdiction of an FFA Member is owned by and is the property of that FFA Member and cannot be accessed, used, shared, or transferred by another FFA Member or the Secretariat without prior approval from the respective FFA Member.
- 6.3 Ownership of Intellectual Property Rights may vest with (i) a Member; (ii) a group of Members; (iii) FFA Members as a whole, and vested in the Agency or vested in a specific legal entity created by the Forum Fisheries Committee for that purpose.
- 6.4 The Secretariat will ensure that all memorandums, contracts and consultancies are aligned with this policy.

7. Information Security

- 7.1 The FFA Information Security Management System (ISMS) approved at FFC110, as amended, sets out the framework for the protection of the organisation's information assets including but not limited to the controls required to protect information.
- 7.2 Protections assigned to shared data held within FFA information systems apply to the use, storage and protection of that data even when held at the national level. Members are required to implement nationally-developed Information Security frameworks similar in scope to the FFA ISMS.

8. Information Management

- 8.1 The Secretariat shall ensure that appropriate information management systems are in place to safeguard and protect all data that is held by the FFA.
- 8.2 The Secretariat shall ensure that staff are properly trained in the Agency's relevant information management systems and information security.
- 8.3 The Secretariat shall take an integrated approach to information management to ensure compatibility with regards to PNA, SPC, WCPFC and FFA Information Management Systems, as well as with national level Information Management Systems, and report to the Forum Fisheries Committee.

9. Intellectual Property

Vesting

- 9.1 Ownership of Intellectual Property Rights is vested in a Member, Members, the FFA, or specific legal entity. In the case of patents, and trademarks, ownership arises through registration; in the case of Intellectual Property embodied in know-how, data and training methods, ownership arises through the assembly or creation of that Intellectual Property.
- 9.2 Where Intellectual Property Rights are jointly owned between the FFA on the one hand and a person or legal entity on the other, the percentage of IPR ownership, terms of joint ownership and the distribution of benefits are to be clearly stipulated.
- 9.3 Where Intellectual Property is vested in a Member, Members or the FFA, such property cannot be used, shared, or transferred without prior explicit approval of the owner. Accordingly, where there are multiple owners, explicit approval is required from all owners.

Management of Intellectual Property

- 9.4 The Secretariat shall maintain a register of FFA Intellectual Property. Such register shall also include any contract, agreement or licence relating to the IPR.
- 9.5 The register of FFA Intellectual Property shall include: (i) a description of the intellectual property; (ii) where such property is registered (in the case of patents or trademarks); (iii) a description of the entity in which the property is vested; (iv) in the case of joint ownership, the proportion of ownership; (v) references to decisions of the Forum Fisheries Committee in relation to the property; and (vi) references to any contract, agreement or licence relating to the property.
- 9.6 All Intellectual Property Rights accruing from work of a staff member at the FFA or from the work of an FFA contractor or consultant, shall be vested in the FFA (see Attachment A for contractual provisions). Intellectual property created in the course of work at FFA is owned by the FFA and is governed by this policy.
- 9.7 Staff should report the creation of Intellectual Property or intellectual assets that may be protected by Intellectual Property. Staff who believe that intellectual property protection should be sought by FFA in relation to aspects of their work, should discuss this with the Director-General.
- 9.8 All FFA Intellectual Property shall also be duly recorded in the FFA Asset Register.

10. Disclosure and use of FFA Intellectual Property

- 10.1 FFA will make its Intellectual Property available to all FFA Members.
- 10.2 FFA Intellectual Property must not be transferred to a third party except with the explicit approval of the Forum Fisheries Committee and in accordance with an appropriate Intellectual Property transfer agreement.
- 10.3 Where intellectual property is jointly owned between the FFA on the one hand, and a person or legal entity on the other, such intellectual property may only be used by third parties in accordance with the conditions of use agreed to between FFA and the joint owner.
- 10.4 FFA shall ensure that any financial benefits arising from use of FFA Intellectual Property Rights are shared equitably with Members. Decision-making on principles for the distribution of any financial benefits shall be made by Ministers of the Forum Fisheries Committee, or Leaders, as appropriate.

11. Compliance

- 11.1 FFA will abide with all relevant national and international laws and treaties concerning intellectual property rights, and will respect the intellectual property rights of third parties.
- 11.2 Non-compliance with this policy by a contractor, consultant or supplier may result in the termination of their contract and relevant legal action.
- 11.3 A breach of the policy by a data user or IPR user (other than an FFA employee, contractor, consultant or supplier) may result in the suspension of data access privileges as determined by the relevant data owner, as well as the suspension of privileges for the use of FFA Intellectual Property.
- 11.4 FFA Staff are required to comply with this policy and non-compliance will lead to disciplinary and remedial action. The FFA Staff Regulations provide the basis for such disciplinary action.

12. Approval, review and compliance monitoring

- 12.1 The Forum Fisheries Committee is responsible for approving this policy, reviewing, and making amendments from time to time.
- 12.2 The Secretariat shall ensure that effective monitoring and control measures are in place and promote transparency and accountability in processes and in decision-making.

12.3 The Secretariat shall report on the implementation of this policy to the Forum Fisheries Committee at each annual session. Where a provision of this policy has not been complied with, the Secretariat shall report such non-compliance and actions taken to the Forum Fisheries Committee. The Forum Fisheries Committee in considering such report may direct the Secretariat to take more stringent measures or alternative actions as it deems appropriate.

ATTACHMENT A

INTELLECTUAL PROPERTY PROVISIONS FOR FFA CONTRACTS

INTELLECTUAL PROPERTY

1.1 Ownership of Deliverables

- (a) The Consultant agrees that all Deliverables shall vest in and remain the property of the FFA.
- (b) The Consultant warrants to FFA that FFA's lawful use of those Deliverables will not breach the Intellectual Property rights of any third party.
- (c) The Consultant must, when requested by FFA, do all things necessary to vest ownership and title of Deliverables in the FFA.
- (d) If ownership of or title in Deliverables is not capable of being vested in the FFA under clause
 - 1.1 because the Consultant does not own those Deliverables, the Consultant must at its cost ensure that the FFA is suitably and irrevocably licensed to use those Deliverables.
- (e) The Consultant acknowledges that the FFA may use the Deliverables in any way notwithstanding that such use might breach the Consultant's moral rights, but does not include false attribution of authorship.

1.2 Licence of Deliverables to Consultant

Subject to clause 1.1 and the confidentiality provisions under this agreement, the FFA grants to the Consultant a royalty-free licence to reproduce the Deliverables only for the purposes of inclusion in the Consultant's professional portfolio.

1.3 Background Intellectual Property

- (a) Neither Party assigns any of its background intellectual property to the other Party if that background intellectual property is used under this agreement.
- (b) Where background intellectual property is incorporated into the Deliverables by the Consultant, the Consultant must at its own cost obtain a licence for the FFA to use that background intellectual property in conjunction with the Deliverables.





FFA

PACIFIC ISLANDS FORUM FISHERIES AGENCY

INFORMATION SECURITY MANAGEMENT SYSTEM

DOCUMENT DETAILS

Author: Consultant

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Document Status: Approved FFC110

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Authority	ISMS Committee			
Author	Consultant			
Documentation status	Working draft	Consultation release	<input checked="" type="checkbox"/>	Final version

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1. INTRODUCTION

Information is an asset that FFA has a duty and responsibility to protect. The availability of complete and accurate information is essential to FFA functioning in an efficient manner to provide products and services in support of effective fisheries management.

The organisation holds and processes confidential and personal information on private individuals, employees, partners and suppliers and information relating to its own operation. In processing information FFA has a responsibility to safeguard information and prevent its misuse.

The objective of the FFA Information Security Management System (ISMS) is to ensure that its core and supporting activities continue to operate with minimal disruptions.

The purpose of FFA's ISMS is to set out a framework for the protection of the organisation's information assets:

- From all threats, whether internal or external, deliberate or accidental;
- To enable secure information sharing;
- To encourage consistent and professional use of information;
- To ensure that everyone is clear about their roles in using and protecting information;
- To ensure business continuity and minimise business damage; and
- To protect the organisation from legal liability and the inappropriate use of information.

The ISMS is a high-level document and sets out a number of controls to protect information. The controls include Policy Statements, processes, roles and responsibilities. The ISMS must be read in conjunction with several other FFA policy documents, including the Staff Regulations, FFA ICT Manual and FFA Business Continuity Plan.

2. SCOPE

The ISMS outline the framework for management of Information Security within FFA.

The ISMS apply to all staff and employees of FFA and contractual third parties and agents of FFA who have access to FFA's information systems or information.

The protections assigned to *shared* data held within FFA information systems apply to use, storage and protection of that data even when held at the national level. FFA members are required to implement nationally-developed Information Security frameworks similar in scope to the FFA ISMS.

The ISMS apply to all forms of information including:

1. Speech, spoken face to face, or communicated by phone or other means such as VOIP;
2. Hard copy data printed or written on paper;
3. Information stored in manual filing systems;
4. Communications sent by post / courier, fax, electronic mail;
5. Data stored and processed via servers, PC's, laptops, mobile phones, PDA's; and
6. Data stored on any type of removable media, CD's, DVD's, tape, USB memory sticks, digital cameras.

3. STRUCTURE OF THE ISMS

The ISMS is based upon ISO 27001 the International Standards for Information Security and is structured to include the main security category areas within these standards. FFA's intention is to continually strengthen the ISMS with the goal of attaining formal certification under the ISO.

The ISMS is a high-level policy document supplemented and extendable by:

1. additional Policy Statements which provide detailed policies and guidelines relating to specific security controls. A schedule of Policy Statements is Annexed to the ISMS and will be updated from time to time as part of FFA's ongoing security risk management process; and
2. cross references to other FFA policy documents that have a bearing on achieving the scope, purpose and objectives of the ISMS as outlined above.

The structure provides an efficient management context that allows FFA to adapt to changes in information security requirements and standards.

4. RISK MANAGEMENT

Information security requires the management of risk from physical, human and technology related threats associated with all forms of information within or used by the organisation.

FFA policy is to ensure that information is secured against three information security risk management criteria of confidentiality, integrity and availability.

FFA's standard business practice will be to continually assess information security risks against the following domains of security:

- **Computer system security:** CPU, Peripherals, and OS. This includes data security.
- **Physical security:** The IT equipment and premises dedicated to the housing of IT Equipment.
- **Operational security:** Environment control, power equipment, and operation activities.
- **Procedural security:** Outlined by IT, vendor, and management personnel, as well as Authorised Users.
- **Communications security:** Communications equipment, personnel, transmission paths, and adjacent areas.
- **Application security:** To include access, authentication and authorisation.

Information security risks may arise or be associated with Individual security awareness; user access levels and logging facilities; backup and disaster recovery mechanisms; protection from viruses and other malware; existence of exploitable software deficiencies; intercept and capture of FFA data in transit; system compromise through overuse and denial of service; controls over changes made to systems and/or data; and sabotage and intrusion.

5. ORGANISATION OF INFORMATION SECURITY

5.1 Statement of Management Intent

It is the policy of FFA to ensure that information will be protected from a loss of:

- Confidentiality, information is accessible only to authorised individuals.
- Integrity, safeguarding the accuracy and completeness of information and processing methods.
- Availability, authorised users have access to relevant information when required.

Requirements and standards of data sharing arrangements, contractual or otherwise, are incorporated in the ISMS and will be subject to review and extension on an as needs basis.

All breaches of information security, actual or suspected, must be reported to the Deputy Director-General. Such reports will be recorded in a register and will be investigated.

Business continuity plans will be produced, maintained and tested.

Information security education and training will be made available to all staff and employees.

Information stored by the organisation will be appropriate to the business requirements.

5.2 Information Security Coordination

The Secretariat has established a functioning ISMS Committee (TOR attached) to oversight the ISMS and make recommendations on improving and enhancing related to, inter alia, ISMS Policy Statements, related or referenced FFA policy documents, procedures, incident management and security management awareness.

The ISMS Committee will assess if the ISMS enables the FFA community to maintain an acceptable risk treatment for information security risks and will make recommendations with the respect to development, review and implementation of

polices to assist Authorised Users and System Custodians to meet their information security responsibilities.

Amendment and Evolution of Information Security

The ISMS is administered by the FFA Secretariat. The Director-General may approve editorial or minor procedural amendments to the ISMS based on recommendations of the ISMS Committee or the Monitoring, Control and Surveillance Working Group (MCSWG). Any such amendments must be notified to the MCSWG.

Substantive changes to the ISMS or its Policy Statements, particularly changes that impact on the way that data or information owned by FFA members (individually or collectively) is used and shared must be approved by FFC.

Changes to cross-referenced FFA policy documents will be approved by the Director- General as long as they do not materially change the application of the ISMS.

The Secretariat will ensure that the most current version of the ISMS and any cross referenced FFA policy documents are available on the FFA website.

5.3 Information Security Responsibilities

Individuals

All staff and employees of the organisation, contractual third parties and agents of the organisation, and any other Data User (as defined in Policy Statement 1A below) accessing FFA information are required to adhere to the ISMS, processes and procedures.

For the purposes of the ISMS, any reference to staff or employees of FFA applies equally to the employee of any other organisation that is based and works within FFA in accordance with the FFA Annual Work Plan and Budget.

Users of FFA Information shall:

1. Preserve security and privacy of systems and the information contained within them in accordance with the ISMS.
2. Report known, likely, and any suspected security breaches to the Deputy Director-General.
3. Make themselves aware of their responsibilities for Information Security and discharge their ISMS obligations accordingly.

It is a condition of employment with the Pacific Islands Forum Fisheries Agency that a staff member shall not communicate to any person, organisation, government or to the press any unpublished information known to them by reason of their official position without obtaining prior permission of the Director-General. This applies at all times during and after termination of employment.

Failure by a staff member to comply with the ISMS and its processes and procedures will lead to disciplinary and remedial action. The FFA Staff Regulations provide the basis for such disciplinary action, but it should be noted that some additional remedies, such as restricted access to data may be considered by the Director-General if appropriate.

Division Directors

Through their membership of the ISMS Committee, and in discharging their management duties for their own divisions, Division Directors and the Deputy Director-General are responsible for ensuring:

- a. The Information Security policy is implemented and adhered to within their respective business units;
- b. That all staff and employees, contractual third parties and agents of the organisation are made aware of and comply with the ISMS;
- c. That appropriate data access privileges are provided for staff members within their Division.

Security Custodians

Security Custodians hold responsibilities for designated systems and information assets with authority to make decisions related to the development, maintenance, operation of applications and associated data consistent with the ISMS. Responsibilities include:

1. Reviewing data classification and sharing requirements for the designated system and, if necessary, recommending appropriate changes to the ISMS Committee;
2. Reviewing access rights and privileges of existing approved users and reviewing and actioning new user requests;
3. Establishing measures to ensure data integrity for access to data (including data backups);
4. Developing a business continuity and disaster recovery plan in case of system failure;
5. Reviewing usage information; and

Security Custodians are specified below and may be updated from time to time by the Director-General on advice from the ISMS Committee:

System or information asset	Security Custodian:
FFA Secretariat system platforms (e.g. servers):	IT Manager
FFA Secretariat communications systems:	IT Manager
FFA Secretariat managed computing facilities:	IT Manager
FFA VMS Systems:	VMS Manager
FFA Register of Good Standing Vessels:	VMS Manager
FFA Observer Systems:	Observer Manager
FFA RFSC Data:	Director, Fisheries Operations
Corporate Finance Applications:	Finance Manager

6. ASSET MANAGEMENT

FFA's assets will be appropriately protected.

All assets (data, information, software, computer and communication equipment) will be accounted for and have an owner.

In the case of physical assets, ownership will be assigned and monitored through the FFA Asset Register. In the case of data and information stored on FFA computers and network drives, the Director-General will be the owner.

7. HUMAN RESOURCE SECURITY

The organisation's security policies will be communicated to all employees, contractors and third parties to ensure they understand their responsibilities.

Security responsibilities will be included in job descriptions and in terms and conditions of employment.

Further policy intentions and procedures are outlined in Policy Statement 3.

8. PHYSICAL AND ENVIRONMENTAL SECURITY

Classified (non-public domain) information processing facilities will be housed in secure areas protected by defined security perimeters with appropriate security barriers and entry controls (see Policy Statement 1B).

Classified (non-public domain) information will be physically protected from unauthorised access, damage and interference (Policy Statements 1A and 1B).

9. COMMUNICATION AND OPERATIONS MANAGEMENT

FFA has and will operate its information processing facilities securely. Procedures for the management, operation and ongoing security and availability of all data and information processing facilities are contained within specific ISMS Statements.

10. ACCESS CONTROL

Within the FFA ISMS construct, information is classified not Data Users. Access to FFA information and information systems is made available to all staff unless a specific case is made by Executive Management or a Division Director for increased protection. The final decision for access to FFA information and information systems, and any subsequent decisions regarding access to specific FFA information and information systems shall be made by Security Custodians, in consultation with the Director General where necessary.

Access will be granted or arrangements made for employees, partners and suppliers according to their role, and only to a level that will allow them to carry out their duties.

A formal user registration and de-registration procedure will be implemented for access to all information systems and services. These procedures will be developed by each security custodian and considered by the ISMS Committee. Procedures will be based on the following principles:

1. For FFA staff – a specific case must be made by the Division Director for their staff to gain access to a systems or data that is not generally open;
2. Similarly, for contractors – the FFA contact specified in the contract must make a specific case;
3. For FFA members – requests for access to given systems or data must be lodged by the Official Contact for the FFA member; and
4. Where the security custodian is aware that a Data User has left the Secretariat, completed a contract or left employment with an FFA member, they will be removed.

The Secretariat will establish an online, publicly available register of data users for each system or data type held by FFA. Members will be responsible for regularly reviewing and, if necessary, requesting updates to the register through their Official Contact. Requests for updates will be a standing agenda item for the MCSWG.

11. INFORMATION SYSTEMS ACQUISITION, DEVELOPMENT, MAINTENANCE

Information security requirements will be defined during the development of business requirements for new information systems or changes to existing information systems.

Risk assessments with controls to mitigate risks will be implemented where appropriate.

12. INFORMATION SECURITY INCIDENT MANAGEMENT

All users are responsible for communicating information security incidents, known or suspected, as well as any potential vulnerabilities associated with information systems as soon as practicable to the FFA IT Helpdesk (email helpdesk@ffa.int or phone +677 7425263). The Helpdesk will log the incident and advise the Deputy Director-General immediately.

Under direction of the Deputy Director-General, the IT Manager and relevant Security Custodian and, if applicable, relevant Division Director(s) will assess the incident or vulnerability controls in place and make an escalation determination for notifying the Director General and ISMS Committee. Escalation to this level will generally occur where the incident poses an information security risk to FFA.

13. BUSINESS CONTINUITY MANAGEMENT

FFA will have in place arrangements to protect critical business processes from the effects of major failures or breaches of information systems or disasters and to ensure their timely resumption. The FFA Business Continuity Plan is available on request from the Corporate Services.

14. COMPLIANCE

FFA will ensure that any statutory and regulatory law or contractual obligations affecting its information systems are upheld by the ISMS. The design, operation, use and management of information systems will comply with all legal, regulatory and contractual security requirements.

ANNEX 1: DEFINITIONS

TERM	DEFINITION
Administration	Tasks (including testing and scanning) undertaken by IT Services Authorised Staff to ensure maintenance of security of IT services and systems within the FFA domain.
Asset	Anything that has value to the organisation
Authorised User	Any user who has been authorised by the relevant officer to access a system or IT facility, and includes (but is not limited to) staff of FFA, staff of member countries fisheries management authorities, or any company in which FFA is pursuing a collaboration such as consultants, recognised visitors, etc.
Availability	Availability refers to the ongoing operations and delivery of intended services by a system (e.g. finance or payroll) and its components.
Control	Means of managing risk, including policies, procedures, guidelines, practices
Confidentiality	Confidentiality refers to the need to ensure that information is accessible only to those authorised to have access.
Guideline	A description that clarifies what should be done and how
Information Security	Preservation of confidentiality, integrity and availability of information
IT Authorised Staff	FFA staff authorised by the IT Manager to monitor accounts, files, stored data and/or network data, and to disconnect IT equipment in the event of an Information Security breach.
IT Services	Information and Technology Services
Integrity	Integrity refers to the accuracy or correctness of data. Loss of data integrity may be gross and evident, as when a computer disc fails, or subtle, as when a character in a file is altered
Policy	Overall intention and direction as formally expressed by management

TERM	DEFINITION
Privacy	The restriction of access and appropriate use of personal information.
Public Information	Information that, from time to time, is available for general access without the requirement for authentication.
Security	The state of being free from unacceptable risk.
System Custodian	The person authorised as responsible for a system and/or its information content. See section 4.3 Information Security Responsibilities above.
Threat	The potential cause(s) of losses or damage. These may include human or non-human, natural, accidental, or deliberate.

ANNEX 2: TERMS OF REFERENCE OF THE FFA ISMS COMMITTEE BACKGROUND

At its Eighty-First Meeting of the Forum Fisheries Committee (FFC81) in Nuku'alofa, Tonga, the Committee endorsed the draft FFA Information Security Management System (ISMS) following the recommendations of the Fifteenth Meeting of the Monitoring, Control, and Surveillance Working Group (MCSWG15).

The FFA ISMS specifies an “FFA Security Committee” comprising of Division Directors to “oversight the ISMS and make recommendations on improving and enhancing the ISMS related to, but not inclusive of, Policy Statements, procedures, incident management and security management awareness.”

This committee was formally established as the FFA ISMS Committee and held its first meeting on November 25, 2016i.

TERMS OF REFERENCE

Membership

1. Members of the ISMS Committee will be as follows:
 - 1.1 Director-General (DG)
 - 1.2 Deputy Director-General (DDG)
 - 1.3 Director Corporate Services (DCS)
 - 1.4 Director Fisheries Development (DFD)
 - 1.5 Director Fisheries Management (DFM)
 - 1.6 Director Fisheries Operations (DFO)
 - 1.7 Internal Auditor (IA)
 - 1.8 Legal Counsel (LC)
 - 1.9 Manager IT (MIT)
 - 1.10 Manager Finance (MFIN)
 - 1.11 Secretary (nominated by the Committee)
2. The DG, or designate, will be the Chairman of the ISMS Committee.
3. Other technical staff may be invited to meetings of the ISMS Committee depending on the agenda.

Secretary

4. A Secretary may be nominated by the ISMS Committee and will be responsible for recording, circulating, finalising and storing appropriately the Minutes of the meeting.

Reporting

5. The ISMS Committee will report to FFC as required, either in the form of a separate paper where warranted or as part of a relevant related paper such as on Monitoring, Control and Surveillance. Matters requiring FFC attention or decision will be put forward to FFC with appropriate recommendations for consideration.

Notice/Frequency of Meetings

6. The ISMS Committee will meet on a quarterly basis throughout the year or more frequently as circumstances dictate.
7. In consultation with the DDG, the DCS will be responsible for calling ISMS Committee meetings and together with the Secretary will coordinate an agenda and any papers for the meetings.

Responsibilities

8. The ISMS Committee will be responsible for:
 - a. Ensuring the ISMS is implemented and the security objectives of the FFA ISMS are met;
 - b. Oversight of the implementation and operation of, and compliance with, the FFA ISMS including making recommendations on improving and enhancing the FFA ISMS relating to Policy Statements, IT hardware and software, procedures, incident management and security management awareness;
 - c. Considering any issues of information security including reported and potential ICT-related security threats and incidents;
 - d. Ensure the FFA's Business Continuity Plan (BCP) is up-to-date and promulgated and consider its activation following any catastrophic events impacting on the integrity of the Secretariat's normal business processes;
 - e. Developing an annual work plan to maintain and improve information security within the Secretariat;
 - f. Considering related outcomes from other relevant security groups such as the FFA Security Committee, QUADs and through CROP processes; and
 - g. Reviewing the status of Member Country adoption of national ISMS policies, consider any requests for assistance arising from such reviews, and advising the FFC of any implications for members regionally arising from such work at the national level.

Information Requirements

9. The following information will be provided to meetings of the ISMS Committee:
 - a. Status report on FFA ISMS implementation including metrics on staff and employee awareness training, data access requests, etc.
 - b. Metrics on suspected and reported information security breaches;
 - c. Report on the mandatory testing of the FFA ICT Business Continuity Plan (BCP) including on respect of disaster recovery procedures;
 - d. Status report of progress against the annual work plan; and
 - e. Status report of Member country information security policy implementation.

Updating the Terms of Reference

10. Noting the pace of change within the IT sector, these Terms of Reference will be updated by the ISMS Committee at least every two years.

Last Update: April 2019.

SCHEDULE OF INFORMATION SECURITY STATEMENTS

- ISMS Policy Statement 1A: Data Access and Use
- ISMS Policy Statement 1B: MCS Regional Information Management Facility
- ISMS Policy Statement 2: FFA Vessel Monitoring System (under consideration noting VMS information also covered under ISMS Policy Statements 1A, 1B and 8).
- ISMS Policy Statement 3: Human Resource Security
- ISMS Policy Statement 4: Appropriate Use of Email
- ISMS Policy Statement 5: Information Backup
- ISMS Policy Statement 6: Infrastructure Hardening
- ISMS Policy Statement 7: Appropriate Use of Internet
- ISMS Policy Statement 8: Arrangements for sharing of data and information between FFA Members, FFA Secretariat and Recognised Quadrilateral Surveillance Providers

15. ISMS POLICY STATEMENT 1A: DATA ACCESS AND USE

DOCUMENT DETAILS

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Author	MCS Specialist			
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1. PURPOSE

ISMS Policy Statement - Data Access and Use defines FFA policy concerning classification and access to information held on behalf of the FFA members within FFA Data Resources. It provides guidelines and requirements for:

1. confidentiality classification of FFA data and information; and
2. access and use of FFA data and information.

Notes:

1. *ISMS Policy Statement 1B – FFA MCS Regional Information Management Facility (RIMF)* conjuncts with this policy and provides further security control regarding information within and distributed from the FFA MCS RIMF.
2. *ISMS Policy Statement 8 – Arrangements for sharing of data and information between FFA Members, FFA Secretariat and Recognised Quadrilateral Surveillance Providers* also provides additional guidance on specific data sharing arrangements with surveillance providers.
3. The FFA Small-Scale Foreign Fishing Vessel Strategy as adopted by FFC104 encourages the sharing of relevant data with non-FFA member countries effected by illegal small foreign vessels (notably New Caledonia).

4. The *Agreement on Strengthening Implementation of the Niue Treaty on Cooperation in Fisheries Surveillance and Law Enforcement in the South Pacific Region (NTSA)* contains certain provisions for minimum data sharing between Parties to that Agreement and these are referenced below.

2. SCOPE

The scope of the *ISMS Policy Statement – Data Access and Use* is information held within FFA Data Resources. It applies to all Data Users and deals with individual responsibilities for ensuring the correct classification and distribution of data that accounts to the rights of Data Owners and the privileges of Data Users.

Data Owners

FFA Data Resources consist of different types of data provided by various sources. These data sources are considered to be the 'owners' of the data provided and they can authorise, or revoke authorisation, regarding the use of their data. For the most part, the ownership of data is at a member level; that is, a specific set of data is deemed to be owned by the particular member that provided it.

Data Users

Data and information held within FFA Data Resources can be accessed and used by a number of 'data users'. A Data User is defined as an individual or organisation authorised in accordance with these rules and procedures to access and make use of data and information for a defined legitimate purpose. Data Users can make use of data owned by different owners as authorised by the owner at any specific point in time. Access to data may vary among users.

3. RISKS

Confidentiality (risk) of FFA Information Resources with respect to data access and usage is managed using a 'traffic light protocol'. Refer to *Table 1: Classification Guidelines*. This protocol provides flexibility to accommodate pre-existing and future data dissemination authorisations by employing four colours to indicate (1) different degrees of sensitivity, (2) the corresponding sharing considerations to be applied by the recipient(s), and (3) what further dissemination, if any, can be undertaken by the recipient.

4. FFA POLICY

Data Owners and Data Users providing, using and distributing data will apply the Classification Guidelines set out in *Table 1 Information Security Classification Guidelines*, with the following procedures and rules:

1. Data may only be accessed if the Data Owner providing the data to FFA Data Resources authorises its release. In the case where there is no individual owner, data will be accessed according to the rules applicable to the confidentiality classification of such data.
2. “Data Owners may authorise the release and dissemination of data by:
 - 2.1 Specific authorisation (using the template set out in Annex A), or
 - 2.2 Authorisation under an international agreement or arrangement¹⁹
3. Data Owners can selectively authorise access to and use of the data they own. This can be reflected in two ways. Owners may:
 4. authorise certain data types but not other data types; or
 5. give authorisation for access to certain Data Users but not to other users.
6. Any Data Users who are authorised to access a Data Owner’s data must agree to be bound by the confidentiality agreement in Annex B
7. Data Users cannot disseminate information they are authorised to access to another party unless such party is also an authorised as a data user of the same data by the data owner.
8. If the classification for a particular data type cannot be easily and readily determined, then either a higher level should be assigned, or the data type should be broken into two or more data types for which classification can be readily assigned.
9. Information for dissemination will be labelled with the correct Classification code, usually by including “[Classification Code] - [Colour]” in unambiguous text in the header and footer of the document. In the event that information needs to be shared more widely than indicated by the original designation, the request must be referred back to the Data Owner.

¹⁹ For example, under Article 19 of the NTSA, Parties, by virtue of being Parties to that Agreement, have authorised the sharing of fisheries data and intelligence (as defined in that Agreement) with all other Parties for fisheries purposes.

10. Where information for dissemination also includes protected data from another source (such as WCPFC non-public domain information), it shall be assigned a suitably high classification to ensure that information is not disseminated to users that do not have access to it through other means.
11. Multi-user IT systems will have the allocation of privileges controlled through a formal authorisation process. Privileges will not be granted until the authorisation process is complete, a record of all privileges allocated will be maintained in the register described in section 10 of the ISMS.
12. Employees of multilateral organisations with common membership and a history of cooperation with FFA members and the FFA Secretariat may be granted ongoing access to classified information that is in the form of FFC working papers, FFA briefs and the associated discussions. This will be considered on a case by case basis by the Director-General and will be facilitated by written agreement at the organisation level that such employees will treat such information appropriately. Written agreements will include reciprocity.
13. Official observers to FFC will be granted access to information and working papers based on a case by case assessment of the confidentiality, strategic importance and sensitivity of the issues. The Director-General or Deputy Director-General will decide whether to restrict access to observers. Where there is doubt, access will be restricted and the question put to the relevant meeting.

Provision of reports containing classified information for donor reporting and monitoring and evaluation purposes

It is FFA policy to provide reporting and M&E data that is as complete and transparent as possible to ensure that all stakeholders, including donors, have as full an appreciation as possible of the work that has been undertaken and the cogent findings or outcomes. However, that policy intent does not in any way override or supersede the provisions, procedures or rules of this ISMS. Where reports or M&E data would contain or reveal classified information, the same rules of data ownership and authorisation shall apply. Donors and other stakeholders should not have any expectation to access classified information on the basis that they have funded or otherwise contributed to work.

5. COMPLIANCE

If any FFA employee is found to have breached this Information Security Policy, they may be subject to Disciplinary action as per section 5.3 of the ISMS.

Any violation of the policy by a temporary worker, contractor or supplier may result in the termination of their contract or assignment or other relevant legal action relating to breach of contract.

Any violation of the policy by a Data User other than an FFA employee or contractor may result in suspension of data access privileges for a period of time as determined by the relevant data owner and, in extreme cases, FFC.

TABLE 1: Information Security Classification Guidelines

When should it be used?	Classification	How Should it be shared?	E.g. Information / Data Types (regardless of how it is provided or how authorisation to share is given by the data owner)
<p>When information cannot be effectively acted upon by additional parties, and could lead to impacts on a member's privacy, reputation, or operations if misused.</p>	<p>Classified High - RED</p>	<p>Recipient may not share the information, unless specific authorisation is granted by the data owner in accordance with the rules above.</p> <p>Internet exchanges will use at a minimum Hypertext Transfer Protocol Secure (HTTPS), with individual user accounts for web-based portals or email exchange</p> <p>The Secretariat will continue to actively test and trial additional protection and encryption mechanisms for RED and YELLOW information or data such as third party and/or two-factor authentication and additional protocols such as HSTS HTTP.</p>	<p>Operational level catch and effort data Access Agreements MCS compliance analysis and profiling for deriving risk levels of:</p> <ol style="list-style-type: none"> 1. Persons of interest 2. Vessels compliance risk²⁰ <p>Financial information, access agreements and other data specific to the administration of a specific fund or fishery at the national level.</p> <p>Name and address details of observers.</p>

²⁰ The RFSC assigns each vessel listed on the FFA Record of Good Standing within the RIMF a compliance index. The underlying analysis used to assign an index draws on classified and open source material. The first pass analysis focuses on:

- a. Negative Correlations between data holdings of VMS, Observers, and Vessel Reporting Requirements;
- b. Geographical location of the vessel in, or within, close proximity of an EEZ in which it does not hold a fishing license;
- c. At-sea and in-port inspection reports;
- d. Aerial surveillance information; and
- e. Monitoring RFMO IUU lists

When should it be used?

When information requires collaborative and cooperative support to be effectively acted upon, but carries risk to privacy, reputation, or operations, if shared outside of FFA.

How Should it be shared?

May be shared with participating members and Surveillance Provider where dissemination of information needs to be tightly controlled.

Internet exchanges will use at a minimum Hypertext Transfer Protocol Secure (HTTPS).

E.g. Information / Data Types (regardless of how it is provided or how authorisation to share is given by the data owner)

MCS Compliance index for:

- persons of interest
- vessels of interest (the Google earth surveillance picture)

Real time or historic location, activities and movement of fishing vessels including VMS data and the Regional Surveillance Picture

FFA RFV - all details

Individual observer reports or unaggregated observer data.

Planning documents for Regional Surveillance Operations where the official is from an FFA Member country or a Surveillance Provider participating in the operation.

Commercially sensitive information such as financial accounts, cost benefit analyses of development proposals, and due diligence assessments of specific entities.

Current licence lists

Classified Medium - YELLOW

<p>When information is useful for the awareness of all FFA members.</p>	<p>Classified Low - GREEN</p>	<p>May be shared with FFA members but is not to be shared in public forums.</p> <p>May be shared with FFC Observers but only after specific review and decision by the Director-General or Deputy Director-General</p> <p>FFC and subcommittee papers and briefings e.g. Management Options W/s, MCS WG, FFA Pre-WCPFC meetings.</p> <p>Catch and Effort, including observer data which has the following resolution:</p> <ul style="list-style-type: none"> • Longline 5°x5°/month and all flags combined • Purse seine 1°x1°/month and all flags combined <p>Historic licence lists</p>
<p>Unclassified High - WHITE</p>		<p>Public domain data – information may be shared freely, may be made freely available, and is subject to standard copyright law.</p> <p>WCPFC Vessel Register</p> <p>RFV vessel details – name, flag, call sign, FFA ID</p> <p>Specific details on all fully adjudicated prosecutions, violations and settlements relating to fishing vessels that are a matter of public record.</p>

ANNEX A: FFA MCS INFORMATION ACCESS AUTHORISATION

Data held in FFA Data Resources and authorised for use by the Data Owner shall only be accessed and used in accordance with the 'FFA Information Security Policy'.

DATA OWNER

Name (Organisation / Institution)	Of Country (N/A if IGO)

DATA USER

Name (Organisation / Institution)	Of Country (N/A if IGO)
E.g. FFA RFSC	
E.g. FFA Authorised MCS Persons	

The Data Owner agrees to provide to the Data User access to the following Data Types with the specified classification.

Data Type	Data Classification
E.g. Licensing data, VMS data, log book data	
E.g. VMS data	
E.g. Log book data	

Additional Terms of Authorisation

Name:

Position

Email:

Signature:

Organisation:

Date:

ANNEX B: FFA DATA USERS CONFIDENTIALITY AGREEMENT

DATA USER

Name (Organisation / Institution / Surveillance Operation)	From Country (or 'multi-country')

PURPOSE AND DETAILS OF THE DATA TO BE USED

Purpose of the data requested	Details of the Data Requested

REPRESENTATIVES TO BE AUTHORISED

Full Name	Contact Details	Signature and Date

I/we agree to the following:

1. That the data shall be used only for the purpose for which the data are being requested and be accessed only by the individuals listed as Data User's representatives listed on this DCA Form;
2. To make no unauthorised copies of the data requested;
3. To destroy the data being provided, including any authorised copies made, upon completion of the usage for which the data are being requested if directed so by the Data Owner;
4. To abide by standards no less stringent than the FFA Information Security Management System;
5. That publication, outside the community of authorised Data Users, of any report that includes data and information provided, requires the prior approval of FFA's Director General and the Data Owner(s);
6. Will not disclose, divulge, or transfer, either directly or indirectly to any third party, the data provided to them by the FFA;
7. The Data User representatives listed on this Confidentiality Agreement Form shall promptly notify the FFA Director General, in writing, of any unauthorised, negligent or inadvertent disclosure of data provided to them by FFA;
8. Data User's representatives listed on this DCA Form assume all liability, if any, in respect of a breach of this Confidentiality Agreement, once the data requested is released to a representative.

This Agreement may be terminated by giving written notice to the other party.

16. ISMS POLICY STATEMENT 1B: MCS REGIONAL INFORMATION MANAGEMENT FACILITY

DOCUMENT DETAILS

Author: Fisheries Operations Division Version: 1.0

Document Status: Approved FFC110

Security classification	Unclassified – Open			
Date of review of security classification				
Authority	FFA Director of Fisheries Operations			
Author	MCS Specialist			
Documentation status	Working draft	Consultation release		Final version

1. PURPOSE

ISMS Policy Statement – FFA MCS Regional Information Management Facility (RIMF) defines FFA policy with regard to the security of information within and distributed from the FFA RIMF.

The RIMF’s overall objective is to facilitated easy, integrated access to diverse data to support member’s decision making on a wide range of fisheries MCS, management, development and administration issues.

RIMF provides FFA members the following services:

- a. a data warehouse and custodianship for the collection, storage, quality assurance and dissemination of data;
- b. analysis and value-adding of MCS data and information to support MCS activities; and
- c. desensitising information to facilitate sharing of MCS data.

2. SCOPE

The scope of *ISMS Policy Statement 1B – RIMF* is information and information systems that make up, or is a part of, the RIMF. It applies to all RIMF users and RIMF administrators.

The policy conjuncts and support *ISMS Policy Statement 1A – Data Access & Use*, providing additional and specific controls for RIMF data and information security.

3. RISKS

RIMF provides custodianship and is a distribution hub of sensitive commercial and national security information for 17 FFA member countries. Certain elements of the RIMF are available to Recognised Quadrilateral Surveillance Providers (AU, NZ, FR, and US) under the terms of ISMS Policy Statement 8. The high number of users and their diversity is a risk to be managed through uniform and universally agreed security standards.

For the purposes of this policy and the maintenance and adherence to data access rules under the ISMS, the Niue Treaty Subsidiary Agreement is considered to be part of the RIMF.

Information security risks regarding this RIMF information arise through (1) oversight of subsequent variations to authorisations, (2) interpretation of what has been agreed to be shared, and (3) changes in product for distribution which is not captured under existing data sharing agreements.

The risk of inadvertent release, access or distribution of RIMF data contrary to agreement of the Data Owner (in most cases FFA members) is ameliorated through FFA policy which sets out the terms, conditions, and reason for physical or electronic access to the RIMF.

4. POLICY

RIMF authorised personnel and access groups will be maintained in the online register established in section 5.3 of the ISMS. The Secretariat will maintain the ability to issue user specific authorisations that only allow the user to access certain elements of the RIMF in accordance with the permissions granted by Data Owners and the authorisation requested by Official Contacts.

The conditions and undertakings of FFA employees and contractors to access RIMF data are described in Annex A of ISMS Policy Statement 3.

Prior to RIMF access all other users and administrators will agree to the terms in Annex B of ISMS Policy Statement 1A.

Access and use to RIMF classified information will be in accordance with *Table 1: RIMF Data Access & Controls*.

Rooms, buildings and installations accredited to be part of the RIMF are:

1. The Regional Fisheries Surveillance Centre – being the secured room attached to the FFA Conference Centre; and
2. The “Bunker” being the secured stand-alone building at the western end of the main FFA office building.

The Director-General will accredit, by amendment to this Policy Statement, an area, room, group of rooms, buildings, or installation to be a part of the RIMF when satisfied that the space has extraordinary security safeguards to prevent and detect visual, acoustical, technical, and physical access by unauthorized persons. Refer to *Annex A: Accredited RIMF Areas*.

5. COMPLIANCE

Refer to section 5 of Policy Statement 1A.

ANNEX A: ACCREDITED RIMF AREAS

The security measures for an accredited RIMF Area include:

PERSONNEL CONTROLS

1. Access rosters listing persons authorised access to the facility are maintained at the RIMF point of entry, using a combination of electronic coded security identification cards and security access rosters.
2. Visitor identification and control using a security access register is used to identify and control visitors seeking access to the RIMF Area.
3. Non-MCS authorised personnel entering the RIMF Area must be continuously escorted by personnel authorised to be within the RIMF Area.

BUILDING CONSTRUCTION

4. The perimeter walls, floors and ceiling are permanently constructed and attached to each other. Construction has been done in a manner to provide visual evidence of unauthorized penetration.
5. The RIMF Area perimeter walls, doors, windows, floors and ceiling, including all openings, provide sufficient sound attenuation to preclude inadvertent disclosure of conversation.
6. The RIMF Area houses an internal operational vault for highly sensitive information. The vault has no windows, no doors, is permanently constructed, and equipped with an automatic door closer and an access control device.
7. Primary RIMF Area entrance is limited to one door. A secondary door exists but is only used as an emergency exit.
8. All RIMF Area doors are closed when not in use, with the exception of emergency circumstances. The doors if left open for any length of time due to an emergency or other reason, will be controlled in order to prevent unauthorized removal of information.
9. The RIMF Area perimeter doors are plumbed in their frames and the frame firmly affixed to the surrounding wall. Door frames are of sufficient strength to preclude distortion that could cause improper alignment of door alarm sensors, improper door closure or degradation of audio security.

10. The RIMF Area primary entrance door is equipped with an automatic door closer and an access control device.
11. The RIMF Area is located in a controlled area secured by two perimeter fences, each with controlled access points. The outer perimeter has a 24-hour manned security presence. The inner perimeter is reinforced steel, controlled locking device, fenced with reinforced material from ground to height of building.
12. The RIMF Area emergency exit door is constructed of material equivalent in strength and density to the main entrance door. The door is secured with deadlocking panic hardware on the inside and has no exterior hardware.
13. The RIMF Area will be fitted with a local enunciator in order to alert people working in the area that someone entering the facility entered or exited the RIMF Area due to an emergency condition or is an unauthorised MCS person.
14. RIMF Area door construction is a solid wood core door, 144 millimetres thick.
15. All vents, ducts, and similar openings that enter or pass through the RIMF Area are protected with either bars, or grills, or metal duct sound baffles.
16. All windows are equipped with drapes and metal gauge to preclude visual surveillance of personnel, documents, material or activities.
17. All windows are covered with materials which provide protection from forced entry. The windows are inoperable from the outside.

17. ISMS POLICY STATEMENT 3: HUMAN RESOURCE SECURITY

DOCUMENT DETAILS

Author: Fisheries Operations Division Version: 1.0

Document Status: Approved FFC110

Security classification	Unclassified – Open			
Date of review of security classification				
Authority	FFA Director of Fisheries Operations			
Author				
Documentation status	Working draft	Consultation release		Final version

1. PURPOSE

ISMS Policy Statement 3 – Human Resource Security provides additional information security control with respect to implementation and maintenance of the FFA ISMS by individuals.

The policy sets out how all FFA personnel and contractors assigned responsibilities as defined in the FFA ISMS are competent to perform the required tasks, are aware of the relevance and importance of their information security activities, and understand how they contribute to the achievement of the ISMS objectives.

2. SCOPE

This policy applies to all FFA staff and contractors.

FFA’s human resources are the most important component in maintaining the safety and security of FFA information and information systems. Each individual contributes to the safe and secure use of information and information systems that FFA holds on behalf of its member countries.

3. RISKS

The FFA Secretariat holds sensitive information which may be put at risk if users do not follow the ISMS. Every user of FFA information and information systems is a risk and a possible threat to FFA information security. They also represent a vulnerability that might be exploited by external threats.

4. POLICY

Verification checks will be carried out on all new employees and contractors.

During employment and as part of FFA's ISMS implementation, FFA will ensure that all employees, contractors and third party users are familiar with the ISMS, aware of information security threats and concerns, their responsibilities and liabilities, are equipped to support organisational security policy in the course of their normal work, and to reduce the risk of human error. All employees of the organisation and, where relevant, contractors and third-party users shall receive appropriate awareness training and regular updates in organisational policies and procedures, as relevant for their job function. In order to achieve this, FFA will, as a priority, develop specific interactive training materials for staff (audio-visual and presentational material) that all existing staff will need to review and that will be extended to new staff on arrival. Simple fact sheets on key aspects of the ISMS, such as examples of the classification of different data types and checklists for how to treat that data.

At termination of employment, contract or agreement, FFA shall ensure all employees, contractors and third-party users return all FFA assets in their possession. The access rights of all employees, contractors and third-party users to information and information processing facilities shall be removed upon termination of their employment, contract or agreement, or adjusted upon change.

All FFA employees, contractors and agents will be required to enter an *FFA ISMS Agreement* (Annex A) prior to accessing FFA's information and information systems.

5. COMPLIANCE

Refer to section 5 of Policy Statement 1A.

ANNEX A: INFORMATION SECURITY AGREEMENT FOR EMPLOYEES & CONTRACTORS

1. I will make myself familiar with FFA's Information Security Management System (ISMS) and its policies, procedures and any special instructions that relate to information security.
2. I will not transmit information that I know, suspect or have been advised is of a higher level of sensitivity than the system is designed to carry.
3. I will not transmit information that I know or suspect to be unacceptable within the context and purpose for which it is being communicated.
4. I will not make false claims or denials relating to my use of FFA information and information systems.
5. I will protect any classified material electronically sent, received, stored or processed by me to the same level as I would paper copies of similar material and to the level required in the ISMS.
6. I will appropriately label information using FFA's information classification scheme.
7. I will not send sensitive or confidential information over public networks such as the internet unless it is suitably protected via encryption or other means.
8. I will always check that the recipients of e-mail messages are correct so that potentially sensitive or confidential information is not accidentally released into the public domain.
9. I will not auto-forward email from my FFA e-mail account to an email account outside of FFA.
10. I will not forward or disclose any sensitive or confidential material received except in accordance with the rules of the ISMS and unless the recipient(s) can be trusted to handle the material securely according to its sensitivity and forwarding is via a suitably secure communication channel.
11. I will seek to prevent inadvertent disclosure of sensitive or confidential information by taking care when printing information received electronically and by carefully checking the distribution list for any material to be transmitted.
12. I will securely store or destroy any printed material.

- 13. Classified material shall not be left unattended at my work station and at the end of each working day, my work station shall be free from all removable documents including post-it notes, business cards, and removable media (e.g. CDs, DVDs, memory sticks etc) that contain any classified information.
- 14. I will not leave my computer unattended in such a state as to risk unauthorised disclosure of information sent or received (this might be by logging-off from the computer, activating the password-protected screensaver, etc., so as to require a user log-on for activation).
- 15. Where FFA IT has implemented other measures to protect unauthorised viewing of information displayed on IT systems (such as an inactivity timeout that causes the screen to be blanked requiring a user log-on for reactivation), then I will not attempt to disable such protection.
- 16. I will inform my manager immediately if I detect, suspect or witness an incident that may be a breach of security.
- 17. I will not attempt to bypass or subvert system security controls or to use them for any purpose other than that intended.
- 18. I will not remove equipment or information from FFA's offices without permission.
- 19. I will take precautions to protect all computer media and portable computers when taking them outside of FFA's offices.
- 20. I will not deliberately introduce viruses, 'Trojan horses' or other malware into FFA's computer systems.
- 21. I will not disable anti-virus protection installed on my computer.
- 22. I will comply with legal, statutory or contractual obligations which the FFA informs me are relevant.
- 23. I will manage my e-mail and extranet accounts in accordance with FFA ISMS.

Name:

Position

FFA Division/Title of Consultancy Contract:

.....

Signature:

Date:

18. ISMS POLICY STATEMENT 4: APPROPRIATE USE OF E-MAIL, SOCIAL MEDIA AND OTHER FORMS OF ELECTRONIC COMMUNICATION

DOCUMENT DETAILS

Author: Fisheries Operations Division Version: 1.0

Document Status: Approved FFC110

Security classification	Unclassified – Open			
Date of review of security classification				
Authority	FFA Director of Fisheries Operations			
Author	MCS Specialist			
Documentation status	Working draft	Consultation release		Final version

1. PURPOSE

ISMS Policy Statement 4 – Appropriate Use of E-mail, Social Media and Other forms of Electronic Communication defines FFA policy concerned with the use of FFA e- mail accounts, and the communication of information using social media or other electronic communication such as Skype or Facebook Messenger. This policy exists ensure effective and appropriate use of FFA systems and hardware in a manner which maintains the security of its information.

The term “e-mail” below is used to cover all forms of electronic communication.

2. SCOPE

This policy applies to all staff and employees of FFA and any other person granted access to FFA’s computer network.

All users of FFA’s IT facilities must understand and use this policy. Users are responsible for ensuring the safety and security of FFA’s systems and the information that they use or manipulate.

All users have a role to play and a contribution to make to the safe and secure use of e-mail.

3. RISKS

E-mail and other communication tools are provided to staff to assist them in carrying out their duties communicating efficiently and effectively with other staff members, other companies and partner organisations.

E-mails may contain inappropriate content that should not be viewed by users.

E-mails may contain malicious code which has the potential to access or damage data or forward data to a third party.

4. POLICY

Use of Email

FFA's e-mail facilities are primarily for business use. Occasional and reasonable personal use of e-mail is permitted on staff members' own time subject to the conditions set out in the FFA ISMS.

When using FFA's e-mail facilities for business purposes, Users will comply with the rules set out in FFA's Information and Communication Technology Manual.

Accidental viewing of materials which infringes this policy should be reported according to the Information Security Incident Reporting Procedure.

Monitoring of E-mail Use

All e-mail coming into or leaving FFA is scanned for viruses and offensive material.

The use of e-mail is recorded and may be monitored. It is possible to identify the senders, recipients and content of e-mail.

FFA reserves the right to inspect any files at any time during investigations where there is suspected misuse and to withdraw access to e-mail.

Personal Use of Email

Personal use is defined as any activity that is not work-related or necessary in the performance of duties connected to employment with FFA.

Staff may use on an occasional basis FFA computers for personal use to send and receive e-mail. The personal use of e-mail for any purpose must not be excessive. It does not count as working time and must not interfere or detract from FFA's business or work. It should also not distract any other staff member from their work.

Staff using FFA computers waive any rights to privacy regarding personal information on FFA's computers and accept, as a condition of doing so, that their activity may be monitored.

No liability can be accepted by FFA for any loss that an individual may suffer as a result of personal use of FFA's computers.

Support must not be requested from other employees for personal use of e-mail.

Subscription to e-mail mailing lists or list servers for personal purposes is not allowed.

Using e-mail for personal purposes must comply with the principles set out in FFA's ISMS.

Phishing

FFA IT will ensure that specific awareness material about phishing is included in education to be developed and promulgated under ISMS Policy Statement 3. Users must not run software or click on a link to verify their password; this is to avoid deceit by 'phishing'.

Purchasing of Goods or Services

The purchasing of goods or services via e-mail is subject to FFA's Financial Regulations and Finance Manual. These must be consulted to determine which goods and services are permissible to purchase.

Computer viruses and malicious programs

Computers can be infected by viruses and malicious programs by opening an attachment to an e-mail or just visiting a link to a webpage contained within the e-mail.

If any FFA staff believes they have a computer virus, it should be reported to the IT Service Desk immediately.

Masquerading

It is an offence to masquerade as another person via e-mail and to send e-mails in another person's name.

It is an offence to manipulate e-mails so as to alter content or suggest that they have been sent at a different time to when they were originally sent or from a different location or computer.

Legal Compliance

Electronic communications and files are admissible in court as evidence. Staff must not write anything about anybody that cannot be proved and evidenced.

5. COMPLIANCE

Refer to section 5 of Policy Statement 1A.

19. ISMS POLICY STATEMENT 5: INFORMATION BACKUP

DOCUMENT DETAILS

Author: Fisheries Operations Division Version: 1.0

Document Status: Approved FFC110

Security classification	Unclassified – Open			
Date of review of security classification				
Authority	FFA Director of Fisheries Operations			
Author	MCS Specialist			
Documentation status	<input type="checkbox"/>	<input type="checkbox"/> Working draft	<input type="checkbox"/> Consultation release	<input checked="" type="checkbox"/> Final version

1. PURPOSE

ISMS Policy Statement – Information Backup defines FFA’s overall policy for backing up the organisation’s information and software application systems. The aim is to ensure that it is always possible to recover information and application systems.

2. SCOPE

This policy applies to:

- all electronic information stored upon FFA’s servers and PCs / laptops.
- all FFA application systems, application software and their configuration.

3. RISKS

Information can be lost as a result of crashed disks, deletion, or corruption; therefore, integrity and availability of important information needs to be maintained by making regular copies to other media.

4. POLICY

Specific details of backup strategies and procedures are spelled out in the FFA Information and Communication Technology Manual. Overarching policy guidance includes:

- Servers and systems will be backed up using combination of suitable backup methods including internet backup, and mirrored servers at a remote site.
- Backups will be performed using dedicated backup software appropriate for the operating system being used.

Information backup is also a key component of FFA's Business Continuity Plan.

5. COMPLIANCE

Refer to section 5 of Policy Statement 1A.

20. ISMS POLICY STATEMENT 6: INFRASTRUCTURE HARDENING

DOCUMENT DETAILS

Author: Fisheries Operations Division Version: 1.0

Document Status: Approved FFC110

Security classification	Unclassified – Open			
Date of review of security classification				
Authority	FFA Director of Fisheries Operations			
Author	MCS Specialist			
Documentation status	<input type="checkbox"/>	<input type="checkbox"/> Working draft	<input type="checkbox"/> Consultation release	<input checked="" type="checkbox"/> Final version

1. PURPOSE

ISMS Policy Statement – Infrastructure Hardening defines FFA’s policy to be followed for infrastructure hardening.

Hardening is the process of securing a system by reducing its surface of vulnerability. By the nature of operation, the more functions a system performs, the larger the vulnerability surface.

Most systems perform a limited number of functions. It is possible to reduce the number of possible vectors of attack by the removal of any software, user accounts or services that are not related and required by the planned system functions. System hardening is a vendor specific process; as different system vendors install different elements in the default install process.

The possibility of a successful attack can be further reduced by making it difficult for a potential attacker to identify the system being attacked so that the attack cannot easily exploit known weaknesses.

2. SCOPE

This policy applies to all components of the information technology infrastructure and includes:

- Computers;
- Servers;
- Application Software;
- Peripherals;

- Routers and switches;
- Databases; and
- Telephone Systems.

All FFA IT staff must understand and use this policy. FFA IT staff is responsible for ensuring that the IT infrastructure is hardened and that any subsequent changes to systems do not affect the hardening of the systems.

3. RISKS

Hardening is required to increase FFA's resilience to the following risks:

- a. Attack by external systems or users seeking to damage infrastructure, compromise, destroy or access data or commit other damage and fraud;
- b. Inefficiency through lack of a Standard Operating Environment and the economies of scale that a SOE allows;
- c. Loss, damage or decreased operation as a result of non-standard software and hardware not interacting with the SOE correctly or efficiently.

4. POLICY

Specific details of backup strategies and procedures are spelled out in the FFA Information and Communication Technology Manual. Overarching policy guidance includes:

All new systems will undergo a specified hardening process.

Only software that has been approved for use by the IT department may be installed on FFA's computing devices.

Non-essential software applications and services will be uninstalled or disabled as appropriate.

Servers, PC's and laptops will be configured to prevent the execution of unauthorized software.

All PC's and laptops will be built from a standard image. Any change to the standard image must be supported by a business case.

Access to the local administrator account will be restricted to members of FFA IT to prevent the installation of unauthorized software and the modification of security software and controls.

5. COMPLIANCE

Refer to section 5 of Policy Statement 1A.

21. ISMS POLICY STATEMENT 7: APPROPRIATE USE OF INTERNET

DOCUMENT DETAILS

Author: Fisheries Operations Division Version: 1.0

Document Status: Approved FFC110

Security classification	Unclassified – Open			
Date of review of security classification				
Authority	FFA Director of Fisheries Operations			
Author	MCS Specialist			
Documentation status	<input type="checkbox"/>	<input type="checkbox"/> Working draft	<input type="checkbox"/> Consultation release	<input checked="" type="checkbox"/> Final version

1. PURPOSE

ISMS Policy Statement – Appropriate Use of Internet defines FFA policy to ensure effective use of time, prevent illegal and inappropriate use of the internet and minimise security exposure of FFA's information and information systems to the internet.

2. SCOPE

This policy applies to all FFA staff, contractors and any other user given access to FFA's computer network or hardware.

All users of FFA's IT facilities must understand and use this policy. Users are responsible for ensuring the safety and security of FFA's systems and the information that they use or manipulate.

All users have a role to play and a contribution to make to the safe and secure use of the Internet.

3. RISKS

Internet access is provided to staff to assist them in carrying out their duties efficiently and effectively. This facilitates access to a vast range of information available on the world-wide web and the communication with people outside of FFA.

A large number of sites exist on the internet that contains inappropriate content and it is important that this content is not downloaded to FFA's computer systems. Many other sites contain malicious software which could harm FFA's computer systems if deliberately or inadvertently downloaded.

4. POLICY

FFA's internet access is primarily for business use.

When using FFA's internet access facilities, Users will comply with the rules and guidelines set out in FFA's Information and Communication Technology Manual.

A corporate internet filter is utilised to prevent specific types of websites being accessed.

Websites which need to be accessed to conduct FFA's business but are blocked can be made available by contacting FFA IT Helpdesk. Authorisation will be required before access is granted.

Accidental viewing of materials which infringes this policy should be reported according to the Information security incident reporting procedure.

Personal use of the Internet

Personal use is defined as any activity that is not work-related or necessary in the performance of duties connected to your employment.

Staff may use on an occasional basis FFA's computers for personal use to access the Internet as long as it complies with the principles set out in this FFA ISMS.

Staff who use FFA's computers for personal use to access the Internet must accept, as a condition of doing so, that their activity may be monitored and waive any rights to privacy regarding personal information on FFA's computers.

The personal use of the Internet for any purpose must be in the employee's own time and must not interfere with employee productivity.

Users should seek to keep any costs incurred as a result of personal use of the Internet to a minimum.

No liability can be accepted by FFA for any loss that an individual may suffer as a result of personal use of FFA's computers.

Support must not be requested from other employees for personal use of the internet.

The playing of internet computer games is not allowed.

Using the Internet for personal purposes must be guided by this policy statement.

Purchasing of goods and services

The purchasing of goods or services via the Internet is subject to FFA's Financial Regulations and Finance Manual.

Masquerading

It is an offence to masquerade as another person on the internet and post articles in another person's name.

Legal compliance

The Internet must be used for lawful purposes only, and must comply with relevant legislation.

Users will be placed at risk of prosecution if unlawful action is involved. Electronic communications and files are admissible in court as evidence. Do not write anything about anybody that you cannot prove and evidence.

5. COMPLIANCE

Refer to section 5 of ISMS Policy Statement 1A.

22. ISMS POLICY STATEMENT 8: ARRANGEMENTS FOR SHARING OF DATA AND INFORMATION BETWEEN FFA MEMBERS, FFA SECRETARIAT AND RECOGNISED QUADRILATERAL SURVEILLANCE PROVIDERS

DOCUMENT DETAILS

Security classification	Open				
Date of review of security classification	July 2017				
Authority	Director-General				
Author	Deputy Director-General				
Documentation status		Working draft		Consultation release	Final version (v6.0)

1. PURPOSE

1. This ISMS Policy Statement defines FFA policy concerning:
 - a. the sharing and use of information held on behalf of the FFA members with Recognised Quadrilateral Surveillance Providers (RQSP) as defined below;
 - b. the sharing of information held on behalf of the FFA members with regional Rescue Coordination Centres (RCCs) for the purposes of Safety of Life at Sea (SOLAS) and Search and Rescue (SAR); and
 - c. the sharing of data and other information generated by RQSP with the FFA Secretariat.
2. This ISMS Policy Statement is to be read and applied in conjunction with the ISMS generally and ISMS Policy Statement 1A specifically. Where there is an explicit inconsistency between this ISMS Policy Statement and ISMS Policy Statement 1A, the provisions of this ISMS Policy Statement will apply.

2. SCOPE

3. The scope of this ISMS Policy Statement is information held within FFA Data Resources, with a particular focus on Monitoring, Control and Surveillance (MCS) related data, especially the Regional Surveillance Picture (RSP) and Vessel Monitoring System (VMS) information.

4. Information collected by air assets operating under FFA command and control as part of the Australian funded Pacific Security Maritime Program (PMSP) is also relevant to this ISMS Policy Statement. It is the FFA's intention that this information will be integrated into the RSP, and primarily available to RQSP through that means.
5. This ISMS Policy Statement applies to all employees of FFA and to the handling of information exchanged with RQSP agencies as described and defined below.

2.1 Recognised Quadrilateral Surveillance Providers

6. RQSP is a generic term intended to cover agencies of the Quadrilateral Defence Coordination Group (Australia, France, New Zealand and the United States of America) that are directly involved in supporting the fisheries MCS efforts of FFA members through the provision of air or surface surveillance assets. RQSP includes the designated Rescue Coordination Centres for the Quadrilateral Defence Coordination Group.
7. The following agencies are considered as RQSP, noting that this list may be updated from time to time. Note the following list identifies the operational centres where data will be received for the purpose of informing asset deployment.
 - a. Australia:
 - i. Maritime Border Command
 - ii. Joint Operations Command
 - b. France:
 - i. Forces armées de la Nouvelle-Calédonie (French Armed Forces of New Caledonia) including Joint Headquarters, French Navy, French Air Force and Maritime Rescue Coordination Centre
 - ii. Forces armées de Polynésie Française (French Armed Forces of French Polynesia) including Joint Headquarters, French Navy and French Air Force + Maritime Inter Agency Centre / Maritime Information Fusion Centre (MIAC / IFC)
 - c. New Zealand:
 - i. National Maritime Coordination Centre
 - ii. Headquarters Joint Forces New Zealand
 - iii. Rescue Coordination Centre New Zealand
 - d. United States of America
 - i. United States Coast Guard
 - ii. United States Navy

8. RQSP agencies and personnel that receive data and information under this ISMS Policy Statement are understood to be “data users” as defined in ISMS Policy Statement 1A.

3. RISKS

9. This ISMS Policy Statement addresses the following risks:
 - a. Use or sharing of FFA member MCS data for purposes outside of direct support to FFA fisheries MCS efforts and SAR efforts, noting that this information is classified in the two highest tiers (Classified High – RED and Classified Medium – YELLOW) under the ISMS Policy Statement 1A; and
 - b. Ineffective or inefficient deployment of RQSP assets due to incomplete maritime domain or situational awareness.

4. FFA POLICY

10. The policy statements below describe both the data and information that FFA will provide to RQSP in their direct support to FFA fisheries MCS efforts, and the RQSP roles as regional Rescue Coordination Centres, and the data and information that is expected to be provided by RQSP to FFA in respect of that direct support.

4.1 Reasons for sharing data with RQSP

11. FFA and FFA Members recognise the generous support offered to them by RQSPs through the provision of assets and associated technical capacity. Despite enormous growth in national capacity through a number of means, notably enhanced data sharing, formalised compliance officer training, and the PMSP replacement of Pacific Patrol Boats (PPBs) and incoming aerial surveillance capability, FFA members will continue to rely on RQSP for assistance in their fisheries MCS efforts.
12. While there are undoubtedly additional benefits to both FFA members and RQSP, the primary purpose of sharing data with RQSP is to secure efficient and effective support to regional and national MCS efforts.
13. Data is primarily provided to RQSP to ensure adequate planning and profiling to inform efficient and effective asset deployment in support of planned regional operations, bilateral and sub-regional operations and opportunistic patrols conducted from time to time or following the spontaneous request for support of any FFA member.
14. Data is also provided to RQSP to assist them to fulfil their roles as regional Rescue Coordination Centres.

4.2 Data and information provided to RQSP

15. FFA will provide each RQSP with data and information as follows:

Data Type	Modality of Provision
Regional Surveillance Picture	Near real time Data transmitted to RQSP in OTH-G format via e-mail FFA will be seeking more secure formatting such as encrypted e-mail or Internet Transfer Protocol in the future
Vessel Monitoring System positional data	Near real time Data made available through a single log-in for each RQSP to the FFA VMS (TrackWell) system.

4.3 Storage, use, protection, destruction and sharing of data provided to RQSP

16. Data provided to RQSP as described above will be treated in accordance with the following provisions, which apply to all forms of FFA provided data:
- All usage of data and information will be compatible with the reasons for data sharing outlined in section 4.1.
 - All data and information are to be stored in a manner that is consistent with the ISMS and affords it the protection of other similarly sensitive data that the RQSP agency handles.
 - Data and information are only to be accessible to RQSP agency personnel that hold security clearances as determined necessary by that agency for access to other forms of similarly sensitive data.
 - Any FFA member that provides data to FFA is considered to be the owner of that data. No data may be further used or shared other than as contemplated in this ISMS Policy Statement without the express consent of the data owner.
 - Outside of the RQSP agency, data (either in its provided or processed form) is only to be provided directly to assets actively deployed in support of FFA Member fisheries MCS efforts or conducting SAR under the direction of a regional Rescue Coordination Centre. It is not to be shared with any entity, agency or organisation other than RQSP listed above.

- f. Until such time as broader law enforcement mandates for cooperation under the FFA framework are agreed upon, any issues or incidents that are based on FFA provided data, but not fisheries MCS related should only be actioned with the authorisation of the FFA member(s) who owns the data, as determined by FFA policy. This provision is not intended to limit law enforcement action otherwise permissible under international law.
- g. Any RQSP wishing to publish or publicise products or analysis derived through its analysis should consult with the affected individual members through the FFA Director-General. To illustrate presentations of RQSP, FFA will provide appropriately sanitised data to be used in official documents or slide shows that may be potentially shared with non-RQSP agencies.
- h. The data files described above that are forwarded from FFA to each RQSP, including any authorised copies made, are to be destroyed as soon as practical, or within three months after receipt unless it is part of an investigation or review or required to be retained in accordance with an RQSP's domestic legislation;
- i. It is acknowledged that removal or destruction of information that has been integrated into Common Operating Pictures with other RQSP data may not be possible. In such cases, RQSP will store and archive any retained information in a manner that restricts access and sharing in accordance with paragraphs 16 (a) to (g) above.
- j. RQSP personnel will promptly notify the FFA Director-General, in writing, of any unauthorised, negligent or inadvertent disclosure of data provided to them by FFA.

4.4 Data and information to be provided to FFA

17. Reciprocity is a key element to any sharing arrangement and the value of the relationship between RQSP, FFA members and FFA would be substantially enhanced through increased two-way communication. The following guidelines are set forth to encourage mutual cooperation.

Scenario	Data Type	Modality for provision
1. Supporting any of the 4 “named” FFA Regional Operations ^[3]	<p>Prior notification of assets to be provided and broad areas of operation</p> <p>Indication whether an FFA member air/sea rider may be embarked on board for the mission.</p> <p>Deployment characteristic and finer scale definition of area of operation (recognising and respecting the need for operational security, particularly of military assets)</p> <p>Actual patrol plans</p> <ul style="list-style-type: none"> • Sighting information • Boarding and inspection information including actual or potential breaches detected • Photographic or other evidence collected • Post mission reports 	<p>In accordance with the operational directives issued by FFA prior to each operation</p> <p>14 days prior to commencement of operation</p> <p>Daily during operations</p> <p>Daily during operations, with preference for real- time or worst case of 5 hours after patrol completion</p>
2. Deploying assets for MCS support to FFA members as a primary or secondary mission objective outside of named operations	<p>Deployment characteristic and definition of area of operation (recognising and respecting the need for operational security, particularly of military assets)</p> <p>Actual patrol plans</p> <ul style="list-style-type: none"> • Sighting information • Boarding and inspection information including actual or potential breaches detected • Photographic or other evidence collected • Post mission reports including operationally relevant metrics 	<p>14 days prior to commencement of operation</p> <p>Potential for diplomatic notes to be copied to FFA</p> <p>Daily during operations</p> <p>Daily during operations, with preference for real- time or worst case of 5 hours after patrol completion</p>

[3] Operations Rai Balang, Island Chief, Tui Moana, Kuru Kuru

18. The primary use of this information will be to integrate it into the RSP. Any use, dissemination or analysis of this information will be in accordance with the ISMS, and particularly ISMS Policy Statement 1A.

5. DISPUTES

19. Any disputes arising from the sharing or use of information under this ISMS policy Statement will be notified to other relevant participants as soon as possible.
20. Disputes will be resolved, as far as possible, through consultation between the individual participants (FFA member(s), FFA Secretariat and RQSP(s)) that are impacted upon by the disputed issue. Where there is a dispute relevant to a specific FFA member or members, the FFA Secretariat may play a facilitation role.
21. All participants will approach any such consultation on the basis of the mutual benefits that sharing or use of FFA member MCS data provides.
22. In the event that such consultations are unable to produce a mutually acceptable agreement or solution within 3 months of the matter will be referred to FFC (on the part of FFA Secretariat) and capitals (on the part of RQSP and FFA members) for consideration and resolution.
23. Solutions to any incident arising will pay particular attention to ISMS Policy Statement 1A, which provides data owners (individual FFA members) with the ultimate discretion over their individual data.

6. COMPLIANCE

24. If any FFA employee is found to have breached this ISMS Policy Statement, they may be subject to disciplinary action as per the FFA Staff Regulations.
25. Any violation of this ISMS Policy Statement by a temporary worker, contractor or supplier may result in the termination of their contract or assignment.
26. Any violation of this ISMS Policy Statement by a Data User may result in suspension of data access privileges to a period of time as determined by the FFC.
27. It is acknowledged that no RQSP is bound by the guidelines set out in this policy statement. However, FFA and FFA members consider mutual cooperation and reciprocity in information sharing to be of high importance and the level of adherence to the guidelines and associated increases in the level and timeliness of information provided to FFA will be used in ongoing assessments of this ISMS Policy Statement in the future.

ANNEX A: RECOGNISED QUADRILATERAL SURVEILLANCE PROVIDER CONFIDENTIALITY AND RECIPROCITY ARRANGEMENT UNDER FFA ISMS POLICY STATEMENT 8: ARRANGEMENTS FOR SHARING OF DATA AND INFORMATION BETWEEN FFA MEMBERS, FFA SECRETARIAT AND RECOGNISED QUADRILATERAL SURVEILLANCE PROVIDERS.

DATA USER(S)

Recognised Quadrilateral Surveillance Provider(s) (see section 2.1 of ISMS Policy Statement 8)

PURPOSE AND DETAILS OF THE DATA TO BE USED

Monitoring, Control and Surveillance data as described in section 4.2 of FFA ISMS Policy Statement 8.

OPERATIONAL POINT OF CONTACT(S)

Full Name	Role or Title	Contact Details

DECLARATION

The RQSP intend to act in accordance with FFA policies to the fullest extent possible in accordance with their respective domestic laws, regulations, and policies. The signing of this confidentiality and reciprocity arrangement reflects a political commitment. It does not constitute a legally binding commitment, and does not impose, nor is it intended to impose, any legal commitments.

On behalf of the Recognised Quadrilateral Surveillance Provider(s), the Primary Authorisation and Accountability Representative:

- Acknowledges that any information provided by FFA will be used for a purpose described in section 4.1 of FFA ISMS Policy Statement 8, subject to the respective domestic laws, regulations, and policies of the RQSP;

- Acknowledges that any information provided by FFA will be used and managed in accordance with the provisions in section 4.3 of FFA ISMS Policy Statement 8, subject to the respective domestic laws, regulations, and policies of the RQSP;
- Will use best efforts to provide open communications and notifications to FFA as set out in the guidelines in section 4.4 of ISMS Policy Statement 8, subject to the respective domestic laws, regulations, and policies of the RQSP. When requested by the FFA the RQSP will, when permitted to do so under its domestic laws, regulations and policies, provide an explanation of such domestic laws, regulations or policies in the event that they prevent communication of information set out in section 4.4;
- Notes the potential results of actions inconsistent with aspects of ISMS Policy Statement 8 as described in section 6 therein; and
- Will provide notification to the Director-General of FFA within 15 days of any change in the Operational Point of Contact.

DURATION

The operation of this arrangement will be reviewed by the MCS Working Group from time to time.

Signed on behalf of the Recognised Quadrilateral Surveillance Provider(s) by the Principal representing <country> in the Defence Quadrilateral Coordinating Group:

Full Name	Role or Title	Contact Details	Signature and Date

i The FFA ISMS Committee is separate from the FFA Security Committee which meets on an ad-hoc basis and has a mandate to advise on general security issues in Honiara.



FFA

PACIFIC ISLANDS FORUM FISHERIES AGENCY

EMERGING TECHNOLOGY ENGAGEMENT POLICY

ENDORSED BY FFC126

24 MAY 2023

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DEFINITIONS

In this policy, the following terms or expressions are defined here.

Term	Description
Emerging technology	refers to technology that is relatively new, new technology with potential yet to be realised or technology that continues to be developed. It can also refer to data or a tool.
Emerging technology provider	refers to an FFC approved provider of Emerging Technology.
FFA	refers to the Pacific Islands Forum Fisheries Agency established under Article I of the South Pacific Forum Fisheries Agency Convention and consisting of the Forum Fisheries Committee and the Secretariat.
FFA Member	refers to an individual member of the FFA.
Secretariat	refers to the Secretariat of the Pacific Islands Forum Fisheries Agency as described in the South Pacific Forum Fisheries Agency Convention.
Partners	refers to an FFC approved partner for the purposes of this policy.
Sanitised data	refers to a set of data that has been stripped off its parts or sensitive components to fit a specific purpose.

Illegal, unreported and unregulated (IUU) fishing is a global issue, undermining fisheries management arrangements²¹ and contributing to loss of ecological, economic, social and food security benefits²².

Pacific Islands Forum Leaders have long called for the need to continue efforts to stay at the forefront of regional tuna fisheries management, address IUU fishing, and secure sustainable benefits from tuna resources. Enhancing monitoring, control and surveillance efforts to combat IUU fishing is an action in the Boe Declaration Action Plan under the 'Environmental and Resource Security', one of the six strategic focus areas that have been prioritised by Forum Leaders through the Boe Declaration on Regional Security.

²¹ MRAG Asia Pacific (2021). The Quantification of Illegal, Unreported and Unregulated (IUU) Fishing in the Pacific Islands Region – a 2020 Update. 125 p.

²² FAO (2002). Implementation of the International Plan of Action to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing. FAO Technical Guidelines for Responsible Fisheries. No. 9. Rome, FAO. 2002. 122p.

In the Pacific tuna fisheries, it is estimated that between 2017 and 2019 IUU fishing (either harvested or transhipped) accounted for 192,186t of product and was worth an estimated \$333.49 million²³. These figures demonstrate the significant cost of IUU fishing to the region.

The Pacific Islands Forum Fisheries Agency (FFA) is at the forefront of the Pacific region's efforts to tackle IUU fishing. For over four decades, FFA Members have collectively employed a range of Monitoring, Control and Surveillance (MCS) tools in the integrated Regional MCS Framework. This includes the ongoing trialling and integration of emerging technologies as appropriate technologies develop and become available.

The Secretariat has been collaborating with several technology partners over the last twenty-five years. These collaborative engagements originate from FFA Members interest in exploring new and developing technology to enhance national and regional MCS tools, analytics and intelligence to prevent, deter and eliminate IUU fishing.

In 2021, FFC118 tasked the Secretariat to collaborate closely with Members in the development of a robust policy on emerging technology, that provides, inter alia, for the strategic use of FFA information assets, engagement with partners, commercial aspects, ownership, intellectual property, and information security.

The policy should also consider the integration of these technologies with regional and national systems, data security and ownership issues, including intellectual property rights that result from any developments, consistent assessment and monitoring of the progress of technology trials and implementation, gaps and priorities; and available and necessary resources.

The impacts of COVID-19 on important MCS tools like observer coverage, transhipment monitoring, regional MCS operations and the Aerial Surveillance Program has also given rise to an opportunity to strengthen and progress work on emerging and innovative technology that can assist FFA and its Members to assess risk and plan MCS activities. FFC118 urged the Secretariat to continue to be innovative in finding technological solutions that could strengthen MCS efforts.

PURPOSE

The purpose of this policy is to provide a framework to guide, structure and prioritise the FFA Secretariat's regional collaborative engagement with emerging technology partners.

The policy also seeks to address priority gaps identified in existing available systems and technology, however, it will not set emerging technology

²³ MRAG Asia Pacific (2021). The Quantification of Illegal, Unreported and Unregulated (IUU) Fishing in the Pacific Islands Region – a 2020 Update. 125 p.

priorities, but will be informed by priority needs identified by Members and reflected in agreed FFA policies and strategies.

Members may use the policy as a guide for their bilateral engagements with their emerging technology partners as they see fit.

OBJECTIVE

The objectives of this policy are to:

1. Support informed decision making by the Secretariat and Members in engagement with emerging technology partners;
2. Ensure that robust and consistent processes are used to support the trial, assessment, implementation, monitoring and evaluation of emerging technology and emerging technology partners;
3. Provide mechanisms through which key considerations, such as IUU risks, resourcing, data security and intellectual property can be consistently assessed and evaluated;
4. Support and inform emerging technology implementation and use at the regional, sub- regional and national levels as appropriate;
5. Ensure effective reporting to FFA Members to support informed and aligned national engagement with emerging technology partners;
6. Consider cost- effectiveness and efficiency in support of emerging technology engagements; and
7. Stay apprised of development in the emerging technology space.

SCOPE

While this policy covers the Secretariat's regional collaborative engagement with technology providers, Members may also use it as a guide for their bilateral engagements with their technology partners as they see fit.

The policy applies to all the Secretariat's regional engagement with technology partners that supply emerging technology that supports monitoring, control and surveillance planning and delivery and other important services delivered to Members.

Members will continue to maintain and inform their national priorities for regional alignment and collaboration in their use of emerging technology. However, the policy will be non-binding on Members and Members can use it as they see fit to support them in their engagement with technology partners and their use of emerging technology and technology platforms to combat IUU fishing.

POLICY ALIGNMENT

FFA and its Members have vast experience in using technology and engaging with technology partners in support of national and regional fisheries MCS. This policy draws from that experience to structure how the Secretariat can most effectively engage with emerging technology partners.

This policy aligns with key agreed FFA policies and strategies, and draws from those documents to complement and strengthen provisions to target engagement with technology partners and ensure consistent trialling, assessment, implementation, monitoring and evaluation of technology and reporting on this to Members.

The key FFA strategies, policies and agreements that inform this policy are:

- a. [Regional Monitoring Control and Surveillance Strategy \(RMCSS\) 2018- 2023;](#)
- b. [FFA Strategic Plan 2020- 2025;](#)
- c. [FFA Business Plan FY 2021- 2025;](#)
- d. [FFA Information Security Management System Policy;](#)
- e. [Niue Treaty Subsidiary Agreement Annex A Fisheries Data and Intelligence;](#) and
- f. FFA Information Governance and Intellectual Property.

Technology priorities will be informed by these FFA strategies and policies and will also consider the existing tools available in the regional integrated MCS framework and the identified priority IUU risks outlined in the IUU quantification studies.

The key regional MCS policy is the FFA Regional MCS Strategy (RMCSS) 2018- 2023. The goal of the RMCSS is ***“The reduction of IUU fishing in Pacific tuna fisheries through enhanced MCS programmes and strengthening compliance and enforcement throughout the regional MCS framework”***. Tools identified under this policy will become part of the regional integrated MCS framework to fight IUU fishing activities.

The policy will also ensure that FFA Member priorities, subsequent FFA policy development and results of any review of service provision, including the review of the services and support that the FFA Secretariat provides to FFA Members in the area of information management, will inform technology engagements.

FFA IMS DEVELOPMENT APPROACH

The FFA Information Management System (IMS) development approach includes consideration of a stable and secure environment, data security and protection, integration, transparency, and outsourcing of assistance to Members.

The FFA IMS development approach is also informed by the principles contained within the strategic plan, specifically regional cooperation and solidarity and FFA Member driven. The FFA Secretariat will prioritise improving FFA Member's accessibility to key information and data that is required to support the achievement of our vision, ***our people enjoying the greatest possible social and economic benefits from the sustainable use of offshore fisheries resources***. The FFA Secretariat will continue to balance and consider regional, sub regional and national needs in making IMS development decisions.

In recent years, the IMS development priority for the FFA Secretariat has been focussed on the consolidation and alignment of FFA systems. Work to consolidate the different systems is still ongoing alongside the following focus areas:

- maintenance and enhancement of existing FFA systems;
- data migration of legacy FFA systems;
- data exchanges with the Pacific Community (SPC), Parties to the Nauru Agreement (PNA) and Westerns and Central Pacific Fisheries Commission (WCPFC) through the use of API; and
- future proofing FFA systems by ensuring that they support the move to mobile data access and collection.

In all IMS developments, effective data security and ensuring the protection of FFA Members data will be a key priority.

FFA APPROACH TO EMERGING TECHNOLOGY

The FFA Secretariat is committed to the integration of emerging technology, recognising the value of new and emerging technologies to the work of the FFA Secretariat and FFA members. The identification, trialling and integration of emerging technology to support the continued development of the regional integrated MCS framework is vital to FFA Members work to combat emerging IUU fishing risks. Smart and targeted use and integration of emerging technology can support improved availability and accessibility of information and can contribute to empowering our people, building our capacity to achieve improved fisheries outcomes.

The FFA approach to emerging technology will promote the following principles:

- Member priority needs driven;
- collaboration;
- cost effective solutions;
- effective use of FFA information assets and data;
- effective use of data to inform IUU risk assessment, planning and decision making;
- clear recognition of, and compliance with, information and data ownership provisions;
- security of information;
- ensure adverse implications of emerging technology to Members is minimal and does not create a burden in terms of cost, risks to information etc; and
- long term sustainability of technological tools.

All Secretariat emerging technology engagements will seek through robust technology trials to identify the most effective and efficient ways to use and integrate technology and, maximise the benefits from new technology.

In all technology engagements, the Secretariat will prioritise information dissemination to Members. This provision of information relates to both the information produced through the use and integration of new and emerging technologies, and information to develop Member understanding of the technology and its potential benefits as well as adverse implications. This will support Member's use and engagement with the providers at the national level. In this regard, the Secretariat will also support direct Member engagements with technology partners, and encourage regular feedback to the Secretariat to inform regional assessment and evaluation of each technology.

TECHNOLOGY PRIORITIES

Technology priorities will be directed by Members. The FFA Secretariat will update MCSWG, and as appropriate FFC, annually on the engagement with technology partners, progress made in these collaborations and recommendations. Through these processes, FFA Members will direct and inform FFA's ongoing engagement with new technologies and technology partners.

All technology engagements should consider the data and/or information gaps, and systematic analysis capability that specific technology can address and/or target specific engagements based on identified priority information and data gaps.

FFA will prioritise engaging with and trialling technologies that add value to regional initiatives. However, FFA will also support specific FFA national and sub-regional technology interests and requests.

ENGAGING IN EMERGING TECHNOLOGY TRIALS

The policy establishes a consistent process to engage with technology partners including guiding questions to support the evaluation of new technologies so that consistent and informed decision making processes are supported when considering investment in technology.

Trialling of emerging technologies has to follow the process set out below for the 'FFA approach to engaging with emerging technology partners' and the 'guiding questions for assessing potential emerging tools'.

In addition, this policy establishes key requirements that the FFA Secretariat needs to put in place before committing to any trials of new technologies. The requirements are streamlined to ensure it does not place a large administrative burden on the Secretariat that removes the ability for the Secretariat to respond quickly to trials of new, innovative and developing technologies.

The requirements for what FFA needs to do before committing to any trials:

- follow the consistent process outlined below "Process for FFA Approach to Engaging with Emerging Technology Partners"
- use the guiding questions outlined under "Guiding Questions for assessing potential emerging tools" to assist in the process.
- define the requirements for clear letters of agreement and project documents before trials commence (possible templates);
- define processes at the conclusion of technology trials, such as closing off trials, follow up;

- clearly define focus area, trial period and data and/or information that is required including those derived or analysed;
- define a process of communication to Members on collaborations, keeping Members involved and informed on trial results and identification of interest; and
- future partnerships- transition from trial to working relationship, and impact of potential data sharing.

Guiding questions for assessing potential emerging tools

It is recognised that FFA can field a large number of emerging technologies from technology partners, but the Agency does not have limitless resources to support and maximise the value of all available technologies. It is therefore important that a consistent assessment guideline is applied to consider which emerging technologies should be considered for trials or long term investments by the Secretariat on behalf of Members and how these trials should be structured.

It is therefore important that in the process of engaging with emerging technology partners, FFA will use the following assessment questions to assess the potential emerging tool for trial or long term investment:

1. Does the tool have the potential ability to support or inform responses to an FFA priority IUU risk?
2. Does the emerging tool have the potential to add value and benefit to the broader Integrated MCS framework?
3. Is the application of the tool considered compatible in the region?
4. Is the tool sustainable, meaning does it have backup services or redundancies?
5. Are there any associated costs to the technology service?
6. Does the benefit overwrite the cost from engaging with the said partner?
7. Is the tool cost- effective?
8. Can the emerging tool be potentially integrated in the broader FFA integrated MCS framework?
9. Are there any Members or Partners utilising the technology?
10. What is the usability of the emerging tool (effectiveness, efficiency and satisfaction)?
11. Is the emerging tool fully developed, and available in the market?

12. Does the emerging tool's data security, information sharing and IP align with the FFA Information Security Management System and the FFA Policy on Information Governance and Intellectual Property?
13. Are there any existing complimentary tools (Internal and External) with similar service?
14. Are there any challenges of using the technology?

These assessment questions should be a minimum guide and intended to be simple to ensure it does not place a large administrative burden on the Secretariat that removes the ability for the Secretariat to respond quickly to assessing new, innovative and developing technologies. The guiding questions are turned into an evaluation Form in Annex 2 as a tool to evaluate emerging tools or partners.

Process for FFA Approach to Engaging with Emerging Technology Partners

The FFA Secretariat will follow a consistent process in its engagement with emerging technology partners. The process outlined below is focused on technology to prevent, deter and eliminate IUU fishing but it could also be used to guide any other engagement with technology partners:

TABLE 1: Step by Step process for to guide the Secretariat engagement with technology partners

Step-by Step Process in the approach to engaging with emerging technology partners	Remarks
STEP 1: Identify priority IUU risk areas	This step will be informed by the various policies and strategies, IUU Quantification studies and Members' needs.
STEP 2: Identify gaps in addressing IUU risks	This step entails internal assessment of the current MCS tools against the priority IUU risk areas. Once gaps are identified and defined, a decision should be made whether current tools or resources could address a specific gap or be modified to address it before proceeding to the next step. Some of the key IUU risks are in Annex 1

**Step-by Step Process
in the approach to
engaging with emerging
technology partners**

Remarks

STEP 3: Identification of potential or available tools/ technology/ data that could address the gaps

This step should include conducting research on the open market for the potential and availability of emerging tools. This includes participation in regional emerging technology forums and demonstrations.

The FFA Register of technology and technology partners should also be used as a reference document at this point.

The guiding questions above under the “Guiding questions for assessing potential emerging tools’ should be used here as well. The Evaluation Form that is based on the guiding questions is attached as **Annex 2**.

STEP 4: Identification of partners with specific area of expertise in those tools, technology and data

Identification of partners will be informed by the following factors: expertise of those partners in the identified tools, technology or data, gaps in MCS tools.

STEP 5: Inception meetings to further develop the understanding of the technology, tools and opportunities to evaluate.

Factors to consider in the inception meeting may include technology capability, technology/ capability growth paths, operational input, short term and long term cost, data access and security, data sharing, and data ownership etc.

The guiding questions above under the “Guiding questions for assessing potential emerging tools’ should be used here.

Information gathered during the inception meeting should be captured in the FFA Register of technology and technology partners

STEP 6: Ongoing discussion to identify focus areas of collaboration

Focus areas of collaboration will be based on the factors outlined in Step 1 and Step 2 above.

Here, it is also important to use the guiding questions above under the section on “Guiding questions for assessing potential emerging technology”

Step-by Step Process in the approach to engaging with emerging technology partners

Remarks

STEP 7: Agree on focus areas of collaboration engagement and trials to consider mutual arrangement

There may be situations to trial data/tool access to trial before any mutual arrangement is entered into.

STEP 8: Consider pilot trial and reporting of technology if required

Before trial of new technology, first consider defining the appropriate parameter of the trial and these may include: associated indicative costs, start and end date and the kind of data or indicators to look out for. Trials shall involve interested Members engagement and requirements for national feedback.

Here, it is also important to use the guiding questions above under the section on “Guiding questions for assessing potential emerging technology”

Progress report of the trials in the prescribed time frame shall be provided to the Members. This will assist in decision making/risk reduction/and avoid “analysis paralysis”

STEP 9: Evaluate outcomes and consider long term investment

The key elements required in the post-trial evaluation and recommendation shall include the following;

- (1) Provider:
- (2) Cost:
- (3) Resourcing (funding, capacity etc)
- (4) Details of FFA Engagements:
- (5) Complimentary Tools (Internal):
- (6) Comparable Tools (External):
- (7) Benefits of the Tool:
- (8) Challenges:
- (9) Current Member Use:
- (10) Licensing arrangements:
- (11) Intellectual property rights:
- (12) Potential:
- (13) Assessment (Regional and National):
- (14) Recommendation.

Step-by Step Process in the approach to engaging with emerging technology partners

Remarks

Here, it is also important to use the guiding questions above under the section on “Guiding questions for assessing potential emerging technology”

STEP 10: Both Parties to consider and finalise engagement arrangement

The nature of the arrangement must be aligned with FFA policies including but not limited to the FFA ISMS and the FFA Information Governance and Intellectual Property Policy.

ENGAGING IN COMMERCIAL RELATIONSHIP

Where the FFA Secretariat proposes to enter into a commercial relationship with an emerging technology partner, more stringent and detailed assessment requirements should be employed. These should include but not limited to the following minimum requirements:

- Data Security Issues;
- Ownership of Intellectual Property;
- Integration and Implementation Plan;
- Challenges in the use of the Technology;
- Benefits of the Tool and future potential;
- Cost-effectiveness;
- Member Resources Required to Support Technology Trial/Use;
- FFA Resources Required to Support Technology Trial/Use;
- Data/information requirements, both derived and primary;
- Consideration of some commercial benefits to Members to reward the collaborative partnership, for example, long term subscription fee access.
- Comparable External Tools;
- Current FFA Member Use and/or Access and Feedback;
- Complimentary Tools (Internal and External);
- Ongoing Costs of Technology;
- Scalability; and
- Technology Funding.

The commercial relationship should be done through a clear written arrangement. The arrangement should take into account the following areas but not limited to the:

- Consideration of data Security Issues;
- Ownership of Intellectual Property;
- Financial arrangements; and
- Integration and Implementation Plan

DATA SECURITY AND OWNERSHIP

Any collaborative technology engagement will adhere to the provisions of the FFA Information Security Management System (ISMS) approved at FFC110, and as amended. The ISMS provides for the framework for the protection of the organisation's information assets including but not limited to the controls required to protect information.

Ownership of data collected through the collaborative technology engagement will be subjected to the provisions set out under the FFA Policy on Information Governance and Property approved at FFC122.

INFORMATION GOVERNANCE AND INTELLECTUAL PROPERTY

The FFA Policy on Information Governance and Property that was approved at FFC122, sets out the framework for the rules relating to governance of information and intellectual property that relates to products developed by FFA.

The governance of information and intellectual property generated through the collaborative engagement between the FFA Secretariat and emerging technology service providers will be governed by this policy.

DEVELOPMENT AND MAINTENANCE OF A REGISTER OF TECHNOLOGIES AND TECHNOLOGY PROVIDERS

The FFA Secretariat has developed and maintained a regional register of technology and technology providers. The register will continue to be improved and maintained to capture information on the Secretariat's collaborative engagement with technology providers and updates will be reported to the annual MCSWG. The Register will contain information such as:

- capture details of technology providers and the technology they are developing;
- capture the timeframe and costs;

- capture and record developments and assessment of the technology trials;
- enable the monitoring of technology developments where we may not engage in specific trials at that time; and
- capture the recommendations and decisions.

MONITORING AND REPORTING

The FFA Secretariat will monitor the implementation of this policy through the Register of the emerging technology trials. The outcome will be reported to the MCSWG as per information captured in the Register, especially information captured during the engagements.

REVIEW AND AMENDMENT

This policy is intended to be a living document and will be reviewed and amended to capture changes in Member priority and inputs from Members, partners and rapid evolving technology developments.

ANNEXES

ANNEX 1

MCS AND TECHNOLOGY PRIORITIES

Priority IUU risk Areas	Remarks	Category	MCS Status / Need	Technology partners
<p>Misreporting (Unreported) - 89%</p>	<p>Misreporting covers non- reporting, under- reporting and misreporting. For example, in the PS sector, this can include reporting yellowfin and skipjack. In the LL sector, it may include failing to report discard or under reporting in both numbers and weight. Much of this volume was driven by misreporting and misidentifying target species in the purse seine sector for which challenges exist in making accurate estimates of catch at sea.</p>	<p>R</p> <p>R - Regional MCS Priority N - National MCS Priority</p>	<p>Data efficiency Data integration Data analysis and compliance risk assessment.</p>	<p>SPC ER EM CSIRO</p>

Priority IUU risk Areas		Remarks	Category	MCS Status / Need	Technology partners
			R - Regional MCS Priority N - National MCS Priority		
Unlicensed (Illegal and Unregulated) - 5%	This consisted of unlicensed/unauthorised fishing vessels. For example, unlicensed fishing by vessels on the FFA Vessel Register, unlicensed/unauthorised vessels on the WCPFC Record of Fishing Vessels (RFV) and unregulated fishing by vessels flagged to non- WCPFC CMMs or vessels not authorised on the WCPFC RFV)		R	<ul style="list-style-type: none"> Vessel registration and licence scheme SOP for VMS non reporting AIS reporting and Remote sensing use in intelligence gathering. 	<ul style="list-style-type: none"> Canada Dark Vessel Detection (DVD) KIOST UNODC and Skylight Global Fishing Watch Satellite RF data HawkesEye 360 Xerra starboard Seavision
Non-Compliance (Illegal) - 3%	This includes carrying out fishing activities in contravention to WCPFC CMMs and provisions of national laws. For example, setting on FAD when not authorised under the relevant WCPFC CMM and fishing in closed waters of coastal states.		N	<ul style="list-style-type: none"> Compliance risk assessment IUU vessel list Vessel of Interest (VOI) National Terms and Conditions. Fisheries legislation. 	<ul style="list-style-type: none"> Canada Dark Vessel Detection (DVD) KIOST UNODC and Skylight Global Fishing Watch Satellite RF data HawkesEye 360 Xerra starboard Seavision

Post-harvest offences (illegal) - 3%.

This includes activities such as transshipment at sea by foreign fishing vessels which is prohibited under the FFA HMTCs or carrying out transshipment at sea by PS vessels which is prohibited under WCPFC CMM 2009- 06.

N and R

Data integration
Transshipment
observer

- SPC and WCPFC
- GFW
- Xerra Starboard
- ER
- EM

ANNEX 2

EMERGING TECHNOLOGY TRIAL EVALUATION FORM

This form is intended as a guide for the Secretariat and/or Members to conduct evaluation and recommendation of the technology and technology partners.

Technology Provider:	
Date Evaluation:	
Trial Period:	
Background of the Technology:	

PRIORITY IUU RISK CHECK:

Regional IUU Risk	Technology Solution (Y/N)
Misreporting (Unreported)- 89%	
Unlicensed (Illegal)- 5%	
Non - Compliance (Illegal)- 3%	
Post - harvest offences (Illegal)- 3%.	Y

#	Questions	Assessment (Y/N)	Remarks
1	Does the tool have the potential ability to support or inform responses to an FFA priority IUU risk?		
2	Does the emerging tool have the potential to add value and benefit to the broader Integrated MCS framework?		
3	Is the application of the tool considered compatible in the region?		
4	Is the tool sustainable, meaning does it have backup services or redundancies?		

#	Questions	Assessment (Y/N)	Remarks
5	Are there any associated costs to the technology service?		
6	Does the benefit overwrite the cost from engaging with the said partner?		
7	Is the tool cost- effective?		
8	Can the emerging tool be potentially integrated in the broader FFA Integrated MCS framework?		
9	Are there any Members or Partners utilising the technology?		
10	What is the usability of the emerging tool (effectiveness, efficiency and satisfaction)?		
11	Is the emerging tool fully developed, and available in the market?		
12	Does the emerging tool's data security, information sharing and IP align with the FFA Information Security Management System and the FFA Policy on Information Governance and Intellectual Property?		
13	Are there any existing complimentary tools (Internal and External) with similar service?		
14	Are there any challenges with using the technology?		

The lead responsible officer shall complete the form and develop a report using the key elements in **Table 1: Step 9** and submit to the Director General and relevant Secretariat Officials for further review and approval.





FFA

PACIFIC ISLANDS FORUM FISHERIES AGENCY

FFA REGIONAL PORT STATE MEASURES FRAMEWORK (RPSMF)

FFA REGIONAL PORT STATE MEASURES FRAMEWORK (RPSMF)

The RPSMF below incorporates the all key elements as adopted at the recent FFC114 in June 2020.

Key elements	Comments
Purpose	<p>The FFA Regional PSM Framework provides the key elements, processes and responses necessary to facilitate targeted and effective PSM across the region. It provides guidance to FFA Members in developing minimum PSM standards to be applied at the national level, promoting inter-agency cooperation and coordination, and improving data and information exchange.</p>
Scope	<p>The FFA Regional PSM Framework applies to all fishing vessels. Members may apply these provisions to their national vessels at their own discretion.</p> <p>Any Port State obligations captured under the Regional PSM Framework will be triggered by a Port State's designation of its port(s), and the relevant instrument(s) under which this designation occurs (e.g. PSMA, WCPFC CMM 2017-02, or only national purposes).</p> <p>No requirements under the Regional PSM Framework shall prejudice the rights, jurisdiction and duties of FFA Members under international law, including the exercise of sovereignty over ports and waters under their territory or sovereign rights over their exclusive economic zone.</p>
Designation of ports	<p>A national process needs to be established, and if required, must meet regional and international obligations.</p> <p>The designation of ports needs to take in to account available resources to ensure PSM responses are consistent with the Regional PSM Framework and regional and international obligations.</p>

Key elements	Comments
<p>Request to enter port</p>	<p>This is a change from regional norms where only port entry notification is generally required.</p> <p>The request for port entry by the vessel needs to be made in advance of port entry within a regionally agreed minimum timeframe that allows the port State to undertake an adequate risk assessment and plan responses accordingly.</p> <p>Notification of the request for port entry should be provided by the vessel to the coastal State where fishing occurred and to the flag State of the vessel making the request. This provides the opportunity for a coastal State or a flag State to communicate with the port State.</p>
<p>Risk assessment</p>	<p>A risk assessment, incorporating agreed regional minimum assessment criteria, will provide a basis on which to make a decision to permit port entry or deny port entry.</p> <p>The risk assessment process starts when a request to enter port occurs. The process continues to support targeted port inspection activities and use of port services decision-making.</p> <p>If information required to support the risk assessment is missing, the permission to grant port entry will not be given until all required information has been received and assessed by the port State.</p> <p>If a flag State or FFA member State has requested the inspection of the vessel due to having reasonable grounds to believe that the vessel has engaged in IUU activities¹ or if any IUU fishing in an FFA Member's waters is suspected by the port State, then port entry for the purpose of inspection and any other required action will be given.</p> <p>If a WCPFC CCM (FFA member or otherwise), that has reasonable grounds to believe that a particular vessel has engaged in IUU fishing, requests a port inspection of that vessel, then port² entry for the purpose of inspection and any other required action will be given subject to the port State's assessment of information provided, availability of resources and capacity at the time of the request.</p>

¹ As assessed by the port State and considered against availability of resources and capacity at the time of the request.

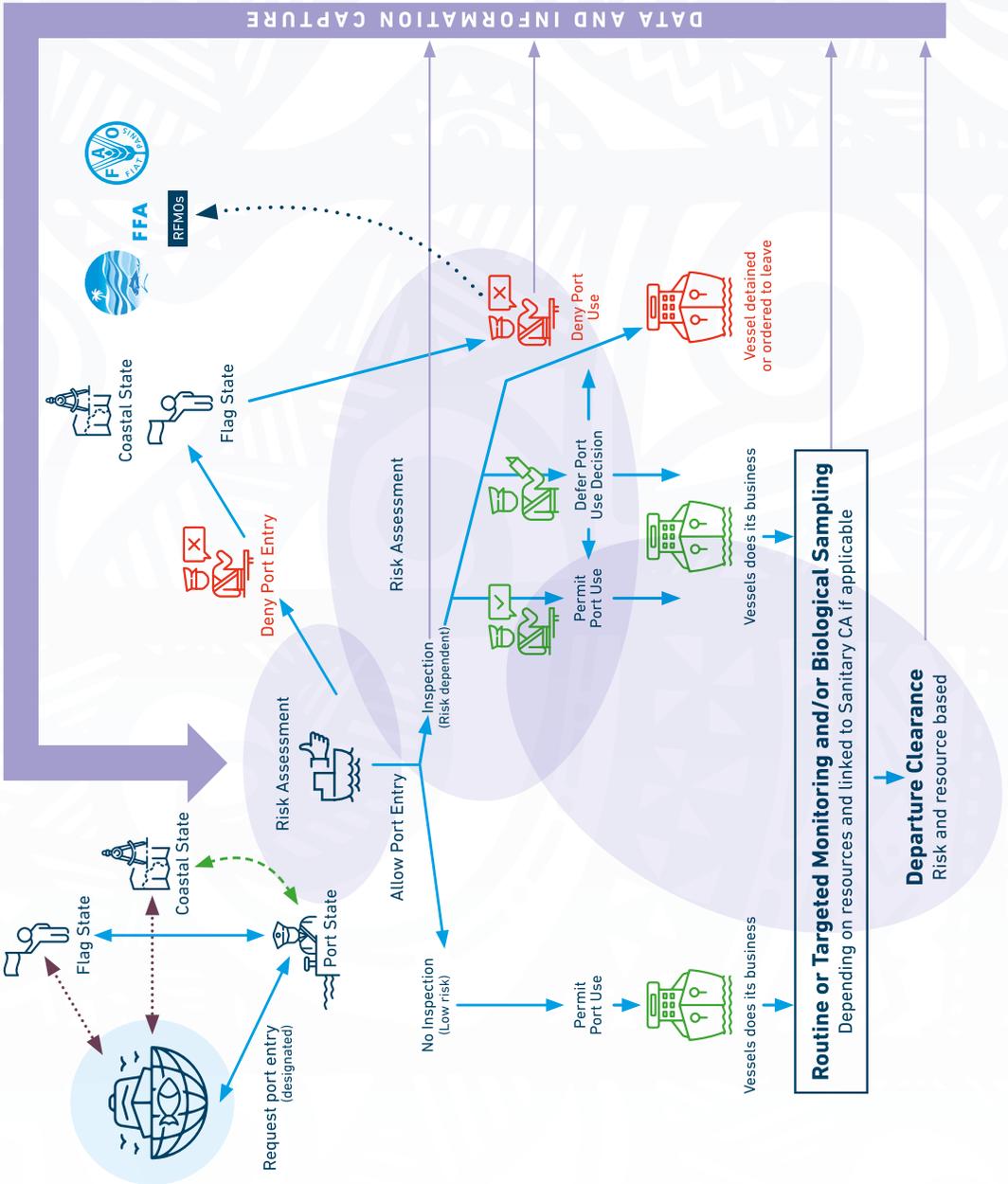
² Applies to ports designated under CMM 2017-02 only.

Key elements	Comments
<p>Deny port entry</p>	<p>The denial of port entry is not recommended within the Regional PSM Framework as port inspection offers the best opportunity for FFA Members to ensure compliance by vessels with relevant legal obligations and to combat IUU fishing.</p> <p>Port denial should ideally only be used where there are genuine resourcing concerns regarding the ability of the port State to respond to its duties under the Regional PSM Framework and other regional and international obligations. The denial of port entry should not be used in circumstances where the vessel is suspected of any IUU activity in an FFA Member's waters.</p> <p>In the case of denial of port entry, the port State must notify the flag States, FFA, coastal State and if required, regional fisheries management organisations (RFMOs) and other international organisations as appropriate.</p> <p>Port entry will not be denied in cases of force majeure or distress.</p>
<p>Permit port entry</p>	<p>Once port entry is permitted, the risk assessment process will continue and be used to decide if a vessel will be inspected. The risk assessment process will be used to support targeted port inspection activities if a vessel is to be inspected.</p>
<p>Inspection</p>	<p>Port inspections will use the risk assessment process to inform targeted port inspection activities in addition to the core inspection tasks.</p> <p>Port inspections will be undertaken by Government authorised inspectors.</p> <p>Where practical, port inspections should be carried out on any foreign longline, purse seine and carrier vessel authorised to enter their designated port that is not listed on the WCPFC Record of Fishing Vessels unless the vessel is authorized with another RFMO that the port State is a Party to³.</p>

³ WCPFC CMM 2017/02

Key elements	Comments
Inspection reports	<p>Following any inspection undertaken pursuant to paragraph 11 of CMM 2017-02 (based on, inter alia, a request from a WCPFC CCM), a port inspection report must be provided to the requesting CCM, flag State and WCPFC Executive Director. Where an inspection is undertaken in accordance with the PSMA, a copy of the inspection report must be provided to the flag State of the inspected vessel and any other appropriate entity (WCPFC, FFA or international organisation).</p> <p>For any inspection not undertaken pursuant to the PSMA or paragraph 11 of CMM 2017-02, a copy of the inspection report shall be provided to appropriate entities as determined by the port State, including the flag State, relevant coastal State(s), WCPFC or FFA.</p> <p>On completion of an inspection undertaken pursuant to paragraph 11 of CMM 2017-02, the port inspector shall provide a copy of an interim report on the vessel inspection to the vessel master prior to leaving the vessel.</p> <p>Where a request for port inspection is received from another State and accepted by the port State, then a copy of the inspection report shall be provided to the requesting State</p>
Deny port use	<p>Port use should be denied in cases where the port State has sufficient proof that a vessel has not complied with relevant legal obligations or has engaged in IUU fishing activities.</p> <p>In the case of denial of port use, the port State must notify FFA, the relevant coastal and flag States and, if required, regional fisheries RFMOs and other regional and international organisations as appropriate.</p>
Permit port use	<p>Based on the results of the risk assessment and inspection (if undertaken) the port State will decide if a vessel will be permitted to use port facilities or services.</p> <p>In cases of force majeure or distress the use of port facilities will be limited to those required to ensure the safety of persons or ships in danger or distress. The further use of port facilities shall be deferred until the port State is satisfied that the vessel has complied with relevant legal obligations and has not engaged in IUU activities.</p>

Key elements	Comments
Defer port use decision	If information required to support the risk assessment is missing, the use of port will be deferred until the port State is satisfied that the vessel has complied with relevant legal obligations and has not been engaged in IUU activities.
Port monitoring	The port State's decision on the deployment of port monitoring resources to a vessel should be informed by the risk assessment and completed inspection (targeted), in addition to national monitoring requirements and regional monitoring requirements (routine), including the WCPFC Scientific Data Requirements and SPC/FFA DCC regional targets for unloading and port sampling data.
Departure clearance	The port State shall undertake departure clearance processes as required to ensure the management of any vessel compliance risks and the safety and security of any observer to be deployed.
Authorised Officers and Inspectors	<p>The port State will have legal framework to authorise inspectors and to provide adequate powers to those inspectors to ensure they can adequately discharge their responsibilities under the Regional PSM framework and other international agreements.</p> <p>The port State will ensure that Government authorised officers and inspectors are adequately trained to discharge their responsibilities under the Regional PSM framework and other international agreements, consistent with regional training standards and regional data collection protocols.</p>
Exchange of information	<p>The port State, coastal State and flag State shall cooperate and exchange information to ensure the effective implementation of the Regional PSM Framework.</p> <p>The port State shall ensure exchange of information occurs between national agencies in the implementation of the Regional PSM Framework.</p>
Interagency cooperation and coordination	<p>The port State shall identify the responsible agency and other relevant agencies and articulate their roles and responsibilities.</p> <p>The port State shall also establish a mechanism for effective interagency cooperation and coordination.</p>



MINIMUM DATA AND INFORMATION REQUIREMENTS TO SUPPORT RISK ASSESSMENT

<p>Port Call Details:</p> <ul style="list-style-type: none"> • Purpose of port call • Estimated date and time of arrival • Estimated date and time of departure • Intended destination for any catch unloaded/transhipped 	<p>Person/Entity Details:</p> <ul style="list-style-type: none"> • Captains name • Captains nationality • Fishing master name • Fishing master nationality • Vessel agent • Vessel agent contact details • Crew list including nationality • Date and details of last crew change • Vessel owner name • Vessel owner contact details • Vessel permit/licence holder name • Vessel permit/licence holder contact details 	<p>Trip Details:</p> <ul style="list-style-type: none"> • Observer Trip ID No • Trip start date • Last port of call • Observer onboard <ul style="list-style-type: none"> - Observer program - Observer Gen3 • Previous port departure clearance • Last fishing position and zone for trip • Transhipment or bunker activity conducted during trip including location • Vessels with which transhipment or bunker activity has been conducted during trip <ul style="list-style-type: none"> ✓ Complete positional data available (VMS/AIS)
<p>Vessel Details:</p> <ul style="list-style-type: none"> • Vessel Name • Flag State • Flag State authorisation number • Vessel FFAVID • UVI/IMO • Call Sign • WCPFC VID • Other RFMO's VID • Vessel physical dimensions • Copy of the vessel stowage plan 		<ul style="list-style-type: none"> ✓ Unreported vessel interactions ✓ Observer safety Information ✓ Compliance with authorisations ✓ Fishing in any closed or prohibited areas ✓ Potential Misreporting (e-log) ✓ Comparisons with observer data ✓ Coastal State verification or non objection

Vessel Authorisations and Licences (validation required):

- Current licences held
- Flag State authorisation
- Vessel registration
 - National
 - FFA Good Standing
 - RFMO
- Transhipment and/or bunker authorisations
- Endangered or Restricted Species Permits (CITES)

Catch Onboard:

- Catch quantity (by species)
- Catch quantity (by zone – EEZ, high seas)
- Bycatch and prohibited catch (National and regional requirements)⁴

Vessel/Entity History:

- ✓ Regional and international IUU listing
- ✓ listing
- ✓ Regional or international IUU listing for vessels interacted with
- ✓ Vessel history of flag or name changes
- ✓ Vessel flag State a flag of convenience?
- ✓ Vessel compliance index
- ✓ Vessel non-compliance history
- ✓ Vessel captain history
- ✓ Vessel fishing master history
- ✓ Vessel owner history
- ✓ Vessel permit/licence holder history
- ✓ Inspection result from previous port calls
- ✓ Inspection result from previous at sea inspections
- ✓ Vessel fleet risk assessment

⁴ Requires clarification and greater specificity.





FFA

PACIFIC ISLANDS FORUM FISHERIES AGENCY

**FFA REGIONAL CATCH
DOCUMENTATION
SCHEME FRAMEWORK**

FFA REGIONAL CATCH DOCUMENTATION SCHEME FRAMEWORK

The Regional Catch Documentation Scheme (CDS) Framework Overview

Rationale

The Regional Catch Documentation Scheme (CDS) Framework is aspirational in nature and provides guidance to FFA Members in developing and implementing new CDS or harmonising or reviewing existing CDS at national, sub-regional and regional levels for Pacific caught tuna.

The Framework takes into consideration internationally accepted principles and guidance as well as regional priorities and needs.

The Framework seeks to ensure that CDS development and implementation is effective, consistent and interoperable.

This Framework has been developed in response to the Catch Documentation and Enhancing Compliance in Pacific Tuna Fisheries (CDEC) Activity. The CDEC Activity was developed to support FFA Members continued efforts to develop and implement CDS at national sub-regional and regional levels.

The CDEC Activity highlights that CDS is to be “electronically based” and it is envisaged that an electronic platform, or an e-CDS, will be developed to support the CDS. The term e-CDS refers to the platform by which CDS is delivered rather than the system itself. So, e-CDS is just a component through which a CDS is supported whereas the term CDS captures the broad meaning of the entire system that is being developed.

To this end, CDS has been used here and throughout the Framework. However, wherever CDS is referred to in the framework, it should be remembered that this is envisaged to be delivered through an electronic platform.

DEFINITIONS

CDS Term	Definition	Rationale
Catch Documentation Scheme	CDS is a system that traces fish and fishery products through the supply chain.	FFA Members have identified different regional and national fisheries management priorities to which CDS can add value. Traceability is recognised as a fundamental aspect of CDS and through which much of this value can be derived. Therefore, the definition of CDS focuses on the traceability of fish and fishery products. This Framework is kept high level due to the different purposes the Framework may serve in the development and implementation of the CDS in the FFA membership.
Catch certificate	<p>An official electronic or physical document that is validated by a certified validator and provides accurate and verifiable information regarding fish and fishery products throughout the supply chain.</p> <p>The catch certificate validates the legality of harvest activities and records the composition and quantities of certified catch entering the supply chain at the initial Critical Tracking Event.</p> <p>A catch certificate is identified by a unique identifier that is a sequence of digits and/or characters.</p>	<p>This definition is consistent with the internationally accepted understanding of CDS, the FAO Voluntary Guidelines for Catch Documentation Schemes and the Draft Standard Catch Documentation Scheme of the Western and Central Pacific Fisheries Commission developed by FFA.</p> <p>While the CDS aspires to be “electronically based” and would therefore produce an electronic catch certificate, the certification of catch through a certificate, be it electronic or otherwise, is a core element of CDS that needs to be understood and consistently applied in the Pacific.</p>

CDS Term	Definition	Rationale
Critical Tracking Event (CTE)	Events or points where fish or fishery product is moved between premises or is transformed, or which is determined to be a point where data capture is necessary to maintain traceability.	This definition is consistent with the international accepted understanding of CDS and traceability ¹ .
Electronic CDS (e CDS)	A web-based platform that supports the creation, validation, verification, storage and dissemination of catch and trade certificates and other e-CDS data and information.	The CDEC Activity highlights that the CDS is to be “electronically based” and it is envisaged that an electronic platform, or an e-CDS, will be developed to support the CDS.
Landing	The initial movement of fish from a vessel to a port or free-trade zone ² , even if subsequently transferred to another vessel. The offload or transfer in port of fish from a vessel to a container is a landing.	Consistent with the FAO Voluntary Guidelines for Catch Documentation Schemes.
Supply chain	A sequence of processes involved in the production and distribution of fish from catch to the point of import in the end market, including events such as landing, transshipments, re-export, processing, and transport.	Consistent with the FAO Voluntary Guidelines for Catch Documentation Schemes.

¹ The term Critical Tracking Event Project to Develop an Interoperable Seafood Traceability Technology Architecture: Issues Brief: Tejas Bhatt, Chris Cusack, Benjamin Dent, Martin Gooch, Dick Jones, Rosetta Newsome, Jennie Stitzinger, Gil Sylvia and Jianrong Zhang. <https://onlinelibrary.wiley.com/doi/full/10.1111/1541-4337.12187>

² The United Nations Environment Programme defines Free Trade Zones (FTZ), as specifically defined areas within a country where goods may be imported/landed, handled, processed, assembled, manufactured or reconfigured, and re-exported with the companies deriving a wide range of benefits, often through relaxed regulations, limited taxes and/or reduced oversight. http://www.unep.fr/ozonaction/information/mmcfiles/7745-e-Factsheet_FreeTradeZonesandtradeinODS_2015.pdf

CDS Term	Definition	Rationale
Traceability	The ability to identify and follow the movement of a fish or fishery products through all stages of capture, production, processing and distribution by means of recorded identifications.	This definition is adapted from the traceability definition included in the FAO Food Traceability Guidance.
Trade certificate	<p>An official electronic or physical document that is validated by a certified validator at each Critical Tracking Event and provides accurate and verifiable information regarding CTEs that occur after the completion of a catch certificate as fish and fishery products move through the supply chain.</p> <p>A trade certificate is identified by a unique identifier that is a sequence of digits and/or characters and is directly linked to a catch certificate that verifies the legality of harvest activities and records the composition and quantities of certified catch entering the supply chain.</p>	<p>This definition is consistent with the international accepted understanding of CDS and the Draft Standard Catch Documentation Scheme of the Western and Central Pacific Fisheries Commission developed by FFA</p> <p>While the CDS aspires to be “electronically based” and would therefore produce an electronic export certificate, the certification of catch through a certificate, be it electronic or otherwise, is a core element of CDS that needs to be understood and consistently applied in the Pacific.</p>
Transshipment	Means the transfer of fish that have not previously been landed, from one vessel directly to another, at sea or in port.	Consistent with FAO Voluntary Guidelines for Catch Documentation Schemes.

CDS Term	Definition	Rationale
Validation	The act of confirming the accuracy and truth of data and information recorded in a catch certificate or a trade certificate. This process is completed by the certified validator at each CTE and confirms the legality and quantity of product and any other minimum data requirements relating to fishery products included in catch certificates and trade certificates.	This definition was discussed, clarified and agreed to at the CDS workshop 9-11 March 2021
Verification	The act of examining and confirming a recorded weight and composition of fish and fishery products at any critical tracking event by an authorized government official, other authorized individual, or through any other approved means (including electronic monitoring).	

REGIONAL CDS FRAMEWORK CORE ELEMENTS

Key CDS Element	Description	Rationale
<p>Scope</p> <p>This framework applies to the development of CDS for Pacific tuna that are:</p> <ul style="list-style-type: none"> • caught in FFA Member's waters; and/or • caught by FFA Member's flagged vessels; and/or • transhipped and/or landed in FFA Members' territories or waters; and/or • traded by FFA Members. <p>FFA members may also apply CDS to:</p> <ul style="list-style-type: none"> • tuna traded and obtained from catches outside of Pacific waters; and/or • non-tuna species. <p>at their own discretion, and in line with national and international laws.</p> <p>FFA members may also pursue development of CDS in the WCPFC context that would also apply to tuna caught on the high seas and other EEZs within the WCPFC Convention Area.</p>	<p>The CDEC Activity provides funding for CDS that applies to Pacific caught tuna. To be effective in meeting its objective, CDS needs to have the broadest application within a relevant fishery as possible.</p> <p>The scope documents the fishing areas and activities over which FFA Members have direct influence.</p> <p>In preventing unnecessary barriers to trade, the Scope is not limiting but considers tuna traded by FFA members obtained from catches caught in waters outside of Western and Central Pacific Fisheries waters.</p> <p>Participants at the CDEC Workshop in March 2021 raised that FFA Members may want to apply CDS to other non Tuna species and this has been included in the scope to reflect this.</p>	

Key CDS Element

Description

Objective

CDS has the primary objectives to ensure the legality of Pacific caught tuna and supporting validity and traceability of this catch through the supply chain, from the point of harvest through to the final market.

FFA Members may define secondary objectives to meet national needs.

Rationale

By ensuring the legality of catch and providing traceability of catch, several additional benefits are achieved, including preventing market access to tuna caught by illegal, unreported and unregulated (IUU) means.

CDS can provide important data and information to strengthen fisheries management regimes, improve compliance and support market access.

CDS relies on an effective fisheries management regime and on the implementation of a range of monitoring, control and surveillance (MCS) measures, particularly vessel licencing and port State measures (PSM).

No unnecessary or unlawful barriers to trade
CDS should not create unnecessary barriers to trade and must be developed in conformity with relevant provisions under international law, including in accordance with applicable World Trade Organisation agreements.

In particular, the least trade-restrictive measures to achieve the above objective must be developed and applied on a non-discriminatory basis. The CDS needs to be designed to minimise the burden on those to which it applies.

CDS must be developed in conformity with relevant provisions under international law, including the World Trade Organization (WTO) agreements.

Data Elements

The core data elements for CDS are captured in catch certificates and trade certificates. Catch certificates are issued at, or before, the first point of unloading.

Core data elements for a catch certificate include:

- unique and secure identification of catch certificate and other CDS documentation;
- information on catch and landing including: o fishing vessel details (vessel name, flag unique identifier etc);
 - species composition; o product type; o estimated and verified landed weight of catch; o fishing trip details (start of trip and end of trip);
 - location/s where catch was taken;
 - transhipment (at sea or in port, as appropriate including donor and receiving vessel, area, date); and
 - landing details.
- details of the authority that issues the catch certificate, e.g., vessel master; and
- details of the authority/ies that validate the information included in a catch certificate.

Information relating to the fishing vessel details, species composition, estimated and verified landed weight of catch, catch area and landing details are provided by the vessel master or their representative by completing a catch certificate. Either directly into an electronic platform or through the flag State.

To ensure that the Framework has value and can provide substantive guidance to FFA Members in developing and implementing new CDS, essential data elements needed to be specified.

These data elements are consistent with the international accepted requirements of CDS, the FAO Voluntary Guidelines for Catch Documentation Schemes and the Draft Standard Catch Documentation Scheme of the Western and Central Pacific Fisheries Commission developed by FFA.

These data elements reflect CTEs identified from the point of unloading (landing or transhipment) throughout the trade cycle and are the minimum required for CDS to meet its stated objectives.

These data elements must be implemented in a manner that is consistent with existing data standards developed and agreed by the Tuna Fishery Data Collection Committee.

Key CDS Element

Description

The information relating to the fishing vessel details, species composition, estimated and verified landed weight of catch, catch area and landing details may be provided by the vessel master or their representative in the catch certificate which must be presented to be validated by the certified validator of the port State, coastal State or flag State or a combination of the three at the point of unloading.

Trade certificates are issued each time fish are moved from one state to another. Trade certificates may be issued by the port State or market State.

Trade certificates must be linked to the relevant catch certificate and systems and/or processes put in place that prohibit the exportation of fish in greater quantities to what was validated as landed in a catch certificate.

Core data elements for trade certificates include:

- description of exported product(s) (product type, weight);
- exporter details;
- importer details;
- transport details (Bill of Lading, waybill);
- direct linkage to originating catch certificate; and
- details of the authority validating the trade certificate.

Rationale

Electron-ically based

CDS should be electronically based (e-CDS) and use a web-based platform that supports the creation, validation, verification, storage and dissemination of catch and trade certificates and other CDS data and information.

e-CDS provides the mechanism by which States issue, complete, validate, verify, store and disseminate catch and trade certificates. e-CDS must provide for secure access and use for authorised users and have changed auditing functionality for all steps highlighted above.

e-CDS may be integrated with other electronic Monitoring, Control and Surveillance (MCS) platforms including records of fishing vessels and VMS.

e-CDS should be simple and user friendly and only contain verifiable information that is relevant, necessary and readily available.

Individual and unique sign on details should be assigned to all users and the e-CDS must capture the meta-data associated with any changes to data and information.

Standards and processes for the exchange of data and information are necessary to support the integration of information into e-CDS, and to enable compatibility between different CDS.

The CDEC Activity highlights that CDS is to be “electronically based” and it is envisaged that an electronic platform, or an e-CDS, will be developed to support the CDS.

This is consistent with the increased development and deployment of electronic tools to support fisheries management and MCS in the Pacific, including electronic monitoring and reporting.

CDS is only truly effective when it uses e-CDS. e-CDS provides accurate, verifiable data and information in a timely and cost effective manner. Without this, CDS becomes cumbersome and administratively burdensome and suffers significant loopholes that can be exploited to get IUU derived fish and fishery products into the market.

CDS relies on significant cooperation, coordination and information exchange between states and this can only be achieved through e-CDS. The use of e-CDS improves the security around CDS processes and reduces the risk of falsification.

Key CDS Element

Description

e-CDS should actively push data to e-CDS from e-reporting systems as soon as they are available and cleared for use, to ensure timely data provision from third party tools into e-CDS.

Data transfer between systems should be in JSON or XSD format and adhere to any regionally defined data standards.

Regional CDS

Regional tools, including a regional e-CDS, will be developed under the Catch Documentation and Enhancing Compliance in Pacific Tuna Fisheries (CDEC) Activity to support national and sub-regional implementation of CDS.

Once developed, the regional e-CDS will be available to FFA Members on a voluntary or compulsory basis depending on the scope of an agreed CDS for a particular fishery

Rationale

Data transfer is required in the JSON and XSD data formats, which are accepted industry standards and ensure compatibility with existing regional systems.

It is important that FFA and other regional agencies support FFA Members in their national CDS development aspirations. Developing a viable e-CDS is a key priority to overcome a range of barriers to national implementation where FFA Members do not have the capacity or resources to develop their own individual e-CDS.

The development of a regional e-CDS is consistent with existing and planned national and sub-regional CDS. It will be available for FFA Members on a voluntary basis and support those members who do not have access to sub-regional systems or the national capacity to develop their own systems.

It is recognised that the development of a regional e-CDS will add weight to encourage voluntary implementation by other States outside of the FFA membership through the presentation of a shared Pacific position on CDS.

REGIONAL CDS DEVELOPMENT GUIDANCE:

Key Considerations for CDS Development

Guidance

Understanding the supply-chain for fish and fishery products

The development of CDS should be based on a firm understanding of relevant supply chain events. This should include all supply-chain steps from harvest until the first export from the Pacific region or, for fish that is transhipped but not landed in the Pacific region, the point of first landing of fish or fishery product³.

This understanding should include the identification of critical tracking events (CTE) where fish or fishery product is moved, altered, processed, combined or split; the environment in which the event occurs and the data available at each of these events.

Rationale

The development of effective CDS requires the identification of the critical tracking events (CTE).

The understanding of the supply chain includes the data that is captured at these CTE. In order to identify these CTE and the data captured, it is important to have a firm understanding of the supply chain events from harvest through the domestic supply chain and to the point of export. The focus is on the point of first export from the Pacific region, as this where FFA Members have direct influence over what occurs. However, for products transhipped but not landed in FFA Member's jurisdiction, the focus for supply chain understanding needs to be extended to the point of first landing at which point accurate species composition and weights can be obtained.

³ It is currently only at the point of landing that an accurate species composition and weight can be obtained for transhipped catch in most circumstances.

**Identifying the
data required**

Following the identification of the CTE, the environment in which the events occur, and the data captured at these events, it is important to identify the data that is required to be captured at each event in order to be able to achieve the objectives of the CDS.

If this information is not currently captured at a specific event, then processes will need to be developed to allow this information to be captured to support the CDS. These processes will need to accommodate the environment in which the event takes place and the best information available at this event point.

This understanding informs the data elements and validation and verification processes of catch and trade certificates and provides the ability to trace the fish and fishery product from harvest through the supply chain.

This step involves identifying the data that is required to ensure that your CDS delivers on the established objectives. It is important to consider the environment in which the event occurs and the information available at that time as these factors will both inform the type of information that can be collected and the best time the information should be collected on the preferred platform for receiving CDS information.

It is important that there is a clear understanding of the relationship between CTE and the data elements and validation and verification processes of catch and trade certificates. This is linked to the role states and industry play in the issuance and completion of catch and trade certificates.

Role of States

The roles and responsibilities of States (including port, flag, coastal, processing, market and export), and sub-regional and regional organisations as appropriate, should be identified and described.

The notification process to enable the validation of catch or portion of catch should be aligned with port State measures (PSM) or transhipment notification processes as appropriate.

Coastal States should have the primary role in the process of validating catch certificates for catch taken or transhipped in areas under their sovereign control or over which they have sovereign rights. This validation should provide assurance that the catches have been taken legally or transhipped in compliance with their national laws and regional and international obligations.

It is intended that States cooperate to certify catch. An effective CDS relies on this principle and e-CDS should be developed in a way that facilitates this in a timely, efficient and transparent manner.

Processes should be developed that build on PSM processes (advanced request to enter port) and/or transhipment requests.

The primary role of coastal States in validating catch certificates is included in recognition that coastal States have the primary responsibility for ensuring that fishing activities undertaken in areas under their sovereign control, or over which they have sovereign rights, are sustainable and comply with relevant national, regional and international obligations, including having the primary responsibility for taking the necessary measures to prevent, deter and eliminate IUU fishing in their EEZs.

Key Considerations for CDS Development

Guidance

Flag States may validate that catches have been taken legally by their flagged vessels in compliance with flag, coastal and port State laws and regional and international obligations.

Port States should implement processes to verify all or a portion of catch landed or transhipped in their ports in compliance with their national laws and regional and international obligations.

Any State may object to the validation of the catch certificate.

Any State may authorise a regional or sub-regional organisation to confirm details included in a catch certificate on their behalf, including but not limited to authorisation status, confirmation of VMS reporting and vessel licence status. However, this does not absolve the State of any of their obligations under international law.

Rationale

The coastal State involvement in certification will need to consider the level of resourcing available. This initially may need to occur through notification to the coastal State of an intended landing and providing the coastal State with the ability to object to the legality of catches in their EEZ, rather than a certification of every catch landed. As coastal States adapt to the processes required this can potentially move to certification of catch.

FFA Members need to work collaboratively at both sub regional and regional level, to encourage voluntary application of CDS by market and processing States outside of the FFA membership.

FFA Members must cooperate with processing and market States to ensure and validate the accuracy of information in catch certificates. Where the processing or marketing State is an FFA Member this can be a required element. Where the processing or marketing State is outside of the FFA membership, cooperation will need to be encouraged and supported on a voluntary basis.

Role of industry

The roles and responsibilities of industry should be identified and described.

This includes all industry participants involved in all harvest, transshipment, processing, transport and export activities of fish and fishery products that have been identified as a CTE.

It should be mandatory for industry participants to input the required information into the CDS (preferably through electronic capture) to meet the CDS objectives.

It is important that there is an understanding of industry participants that will be contributing information to CDS.

Mandatory information will need to be provided by industry and it is important that this is facilitated and supported.

This will help to ensure that CDS is user friendly and encourages and supports ongoing industry participation.

Key Considerations for CDS Development

Guidance

The CDS should encourage industry involvement by being user friendly and allowing efficient data and information capture through electronic means. The environment in which CTE's occur should be considered and influence the type and timing of information required to be entered into e-CDS.

Rationale

Minimum MCS needs and integration with Port State Measures (PSM)

CDS is underpinned by the development and deployment of effective MCS responses to support the validation and verification of CDS data and information.

Existing MCS systems and processes need to be integrated with CDS to the greatest degree possible and opportunities for the development of automated processes should be pursued.

The types of MCS responses deployed will depend on the State roles that FFA Members perform (flag, coastal, port, processing, market and export).

It is important that existing MCS tools, such as VMS and records of fishing vessels, are integrated with the CDS and processes should be developed to ensure that this information can be automatically available for CDS certification purposes.

Robust PSM, consistent with the Regional PSM Framework, must be developed and implemented as a foundation for the development and implementation of CDS.

Processes should be developed to ensure that there is the appropriate level of national-level cooperation and coordination of e-CDS related activities.

CDS validation and verification processes should also be integrated with the PSM IUU/compliance risk assessment process.

Policy and legal frameworks

FFA Members should define key CDS policy decisions in national policy.

This national policy will inform development of appropriate national legal frameworks to support CDS.

Effective PSM processes are vital to the development of CDS.

Emphasise on the importance of the linkages and dependency of a working CDS on strengthened PSM.

Key policy decisions need to be made regarding CDS and these must be reflected in national policy, such as national tuna management and/or development plans, PSM implementation strategies and national MCS strategies.

Key Considerations for CDS Development

Guidance

The elements of this Framework provide guidance on what must be included in a national legal framework, through fisheries law, regulations, licencing conditions or other national instruments as appropriate. National law should recognise cross sectorial issues and the role of industry and relevant government agencies and provide a mechanism for formal cooperation and information exchange between relevant agencies and industry.

The policy and legal framework should support mechanisms for formal cooperation and information exchange between relevant States. This should include supporting the voluntary implementation by non-FFA Members.

Rationale

The policy and legal frameworks developed need to support and reflect the State roles (flag, port, market, export) that each FFA Member performs.

National CDS law should be consistent with legislation enabling PSM activities and processes and build on the cross sectoral developments achieved under PSM implementation.

The strong focus on cooperation and information exchange recognises the regional nature of fisheries in the Pacific and the collaborative management approach taken by FFA Members.

Sustainability of CDS

The development and implementation of CDS must take into consideration available resources including IT capacity and human resources. CDS must be sufficiently resourced to ensure its effective implementation.

A phased approach to CDS development implementation may be appropriate and support the development of sufficient resources in a stepwise manner.

Cost-recovery options should be explored to support CDS operation.

It is important that the CDS development plan considers the resources available to build and support the system. It is important that CDS is sufficiently resourced to ensure that it can achieve its objectives.

It is recognised that an effective CDS and the assurance that it can provide can be used as an effective value add for fish and fishery products. CDS can also be costly and complex to build and maintain so it is important that cost recovery mechanisms are explored to help support the CDS.

Voluntary Implementation of CDS

Mechanisms to promote and encourage the voluntary implementation of CDS, by processing and market states should be developed.

Mechanisms may include strategic plans, Standards Operating Procedures (SOPs), Memorandums of Understanding (MoUs).

CDS is most effective when it is adopted by all states that have a role in CTEs including processing and market states.

This Framework covers the fishing areas and activities over which FFA Members have direct influence and it is recognised that this influence does not extend to market or processing states.

Guidance

Rationale

Key Considerations for CDS Development

These mechanisms should be developed by FFA Members collectively to ensure the greatest influence can be exerted on processing and market states.

These mechanisms must be adequately resourced and include processes for the monitoring, review and evaluation of their effectiveness.

Improved cooperation and information exchange with market or processing states strengthens CDS and can provide increased verification/validation of CDS data and information as fish moves through the supply chain.

Governance

Formal and effective oversight must be established for CDS. The structure for this will be defined by the nature of CDS developed (national, sub-regional or regional).

It is important that there is ongoing user support, to both industry and State users, to ensure that CDS remains effective and to minimise user generated data and information issues.

Ongoing opportunities for the development of CDS should be advanced. This includes the continued integration of new technologies to ensure CDS remains fit for purpose and efficient in achieving its objectives.

The governance structures established should reflect the collaborative and cooperative approach to CDS being taken between agencies nationally and between FFA Members sub-regionally and regionally.

Governance should ensure that systems and processes continue to support CDS to meet its stated objectives.

CDS needs to develop as technology and requirements change.

Monitoring, review and evaluation

A process should be developed to monitor, review and evaluate the performance of CDS against its objectives.

This process should be iterative and develop as CDS develops.

These specific requirements for monitoring, review and evaluation will also depend on the nature of CDS developed (national, sub-regional or regional).

Key elements of review and evaluation should be monitoring the effectiveness of CDS in certifying legally taken catch, the ease of tracing fish through the supply chain, the voluntary implementation by other States (which improves traceability) and the feedback from industry on the efficiency and effectiveness of CDS processes.

The monitoring, review and evaluation will help determine the continued ability of CDS to meet its objectives and determine where and when modifications and interventions are required.

The monitoring, review and evaluation processes need to develop as CDS develops in the region and should be focussed primarily on the achievement of the objectives and the ease of use.

Training and capacity development

Recognised and consistent training should be developed and deployed to ensure that adequate levels of capacity and competency are in place to support the effective implementation and operation of CDS.

This will require the development of increased data analysis capability within fisheries administrations and this capacity should be developed early.

The training should support consistent application of validation and verification processes across the entire CDS capability.

The processes and staff that support the validation and verification of information, both within CDS and in supporting activities (such as vessel inspections), will require targeted and equivalent training on an ongoing basis.

Training should also be provided to other agencies and stakeholders to ensure appropriate awareness of CDS and supporting processes.

The development of CDS will require the development of new skills and capacity within FFA member State's fisheries administrations.

It is important that CDS is supported by sufficient capacity to ensure the achievement of the stated CDS objectives.

The training will need to be deployed across all CDS users and ensure consistent and harmonious implementation of processes supporting CDS across different agencies, industry and States.



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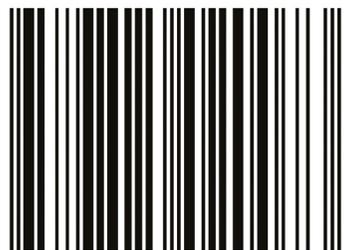


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