

# *Policies and practices against IUU fishing*

## *Questionnaire user guide*

This document is intended to guide respondents completing the OECD questionnaire *Policies and practices against IUU fishing*, which is part of the 2019 data call.

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### 1. Introduction

The OECD questionnaire *Policies and practices against IUU fishing* seeks information on the adoption and implementation of policies and practices against illegal, unreported and unregulated (IUU) fishing at the national level.

The information will be used to build a suite of policy indicators that illustrate the extent to which a country meets its responsibilities in the most important dimensions of government intervention in relation to IUU fishing:

- as a coastal state, to regulate vessels in its domestic exclusive economic zone (EEZ), both domestic and foreign;
- as a flag state, to regulate domestically-flagged vessels fishing in areas beyond their national jurisdiction (ABNJ) and in foreign EEZs;
- as a port state, to apply port controls of harvest at the landing stage;
- as a market, to economically discourage IUU fishing and to detect illegal seafood moving along the value chain; and
- as a member of the international community, to engage in co-operation and cross-country initiatives against IUU fishing.

This work builds on the questionnaire used in 2017 to produce the OECD publication [\*Closing gaps in national regulations against IUU fishing\*](#) (Hutniczak, Delpuech and Leroy, 2019<sup>[1]</sup>), to which a few questions were added to clarify some of the issues investigated, on the basis of the feedback received in 2017. New questions are noted as such in section 5.

### 2. Instructions for filling the survey

The majority of questions in the survey inquire about the legal framework in place to deter, identify and punish IUU fishing, and the degree to which it is implemented.

For each issue investigated in the questionnaire, unless otherwise stated, the **status** column will offer the following possible answers in a drop-down menu:

- **No legal framework** – indicates that there is no legal framework (laws, regulations or other legally binding acts) covering the issue at stake;

- **Legal framework, no implementation** – indicates there is a legal framework covering the issue at stake, but that it is not implemented, that is, the system or process required to enforce the legal framework in question is not in place;
- **Legal framework, partial implementation** - indicates there is a legal framework covering the issue at stake, but that its implementation is partial, that is, the system or process to enforce the legal framework in question is in place, but the objective of the legal framework is not fully met;
- **Legal framework, full implementation** - indicates there is a legal framework covering the issue at stake, and it is fully implemented, that is, the system or process to enforce the legal framework in question is in place and ensures that the objective of the legal framework is fully met;
- **Not applicable** – indicates that the issue in question is not relevant in the context of the country responding to the survey. This option is not available for all questions. Specific situations where it can be used are described in the questionnaire for specific issues.
- **Yes/No** – a number of questions only require simple *yes* or *no* answers.

In the column **Legal framework**, you are invited to provide references to relevant laws, regulations or other legally binding acts, with a mention of specific articles where possible.

In the column **Comments**, you are invited to report any additional information you may wish to provide. For a few of the issues investigated in the questionnaire, we also invite you to quote the text of specific provisions of the legal framework referred to or links to specific websites or documents in this column.

### 3. Pre-filling and focus on changes

To facilitate the task of countries who previously reported *Policies and practices against IUU fishing*, the questionnaire has been prefilled with answers provided in the last round of information collection. Respondents are thus only asked to signal changes where improvements have been made or provisions have been updated.

Respondent are also invited to retrospectively fill information gaps that remain after the previous submission or correct information provided in the previous submission, if mistakes pertaining to the situation at the date of the previous round of data collection are identified. Comments explaining any corrections or additions are not required, as long as references to the correct legal framework are included.

For prefilled questionnaires:

- **For reference year 2016:** please verify the information provided in the last data call (and correct any mistakes with respect to the situation in 2016) and complete where necessary so that the progress bar 'Progress in filling the survey (2016)' to the right reaches 100%.
- **For reference year 2018:** please revise to reflect all the changes that occurred in the legal framework and its implementation since 2016 and complete where necessary so that the progress bar 'Progress in filling the survey (2018)' to the right reaches 100%.

For countries who did not report *Policies and practices against IUU fishing* in the past, and whose questionnaires are thus not prefilled, please leave the 2016 columns blank and only fill the 2018 columns so that the progress bar 'Progress in filling the survey (2018)' to the right reaches 100%.

## 4. Definitions

**Areas beyond national jurisdiction (ABNJ)** – also called the high seas, areas beyond the limits of national jurisdiction, including the water column beyond the EEZ, or beyond the territorial sea (adjacent belt of sea with the breadth of maximum 12 nautical miles) where no EEZ has been declared.

**Beneficial owner** – in fisheries context, person who exercises ultimate effective control over fishing activity and enjoys the benefits of vessel ownership even though the property is registered in another name.

**Catch documentation scheme (CDS)** - a system with the primary purpose of helping determine throughout the supply chain whether fish originate from catches taken consistent with applicable national, regional and international conservation and management measures, established in accordance with relevant international obligations.

**Chartering arrangement** – arrangement by which a fishing vessel or vessel conducting fishing-related activities is contracted for a defined period by an enterprise from a foreign country (the charterer). The charterer obtains possession and full control of the vessel along with the legal and financial responsibility for it; however, the vessel can operate under such arrangement without changing its flag.

**Conservation and management measures (CMMs)** - measures to conserve one or more species of living marine resources that are adopted and applied consistent with the relevant rules of international law. In this context, binding decisions relating to conservation and management of marine resources introduced at regional level by RFMOs.

**Domestic fleet** - vessels fishing in country's domestic waters (i.e. country's EEZ) under the national flag

**Domestically-fishing fleet** - vessels fishing in country's domestic waters (i.e. country's EEZ), regardless whether under the national or foreign flag.

**Exclusive economic zone (EEZ)** - stretch of marine area under the jurisdiction of the coastal state. Note: for EU countries, please consider here all areas under the jurisdiction of the EU (common management).

**External fleet** - national vessels fishing or conducting fishing-related activities in the areas under the jurisdiction of foreign countries or in the ABNJ.

**Fishing-related activities** - any operation in support of, or in preparation for, fishing, including the landing, packaging, processing, transshipping or transporting of fish that have not been previously landed at a port, as well as the provision of personnel, fuel, gear and other supplies at sea to fishing vessels. Vessels involved in fishing-related activities may include, but are not limited to, refrigerated transport vessels, supply vessels, reefer vessels (vessel receiving fish for the transport as frozen products), motherships (vessels providing supplies and services to fishing vessels), factory ships (vessel receiving fish for on board processing), fish carriers etc.

**International Maritime Organization (IMO) number** - globally recognised unique fishing vessel identifier that is never re-used and remains with a vessel for its lifetime, throughout name, flag and ownership changes.

**Monitoring, control and surveillance (MCS)** – includes (i) monitoring - the continuous requirement for the measurement of fishing effort characteristics and resource yields; (ii) control - the regulatory conditions under which the exploitation of the resource may be conducted; and (iii) surveillance - the degree and types of

observations required to maintain compliance with the regulatory controls imposed on fishing activities.

**Port** - includes offshore terminals and other installations for landing, transshipping, packaging, processing, refuelling or resupplying.

**Predicate offence** – crime that is a component of another, more serious crime. In the context of IUU fishing, money laundering is the primary offence and generating profits from illegal fishing leading to the need for money laundering is the predicate offence.

**Private fishing agreement** – agreement negotiated by a private company with a foreign country that grants it access to fishing resources in its waters, i.e. in its EEZ.

**Regional fisheries management organisation (RFMO)** - intergovernmental organization or arrangement that is dedicated to the sustainable management of fishery resources in a particular region of international waters, or of highly migratory species. It has the competence to establish conservation and management measures (CMMs).

**Small-scale fleet** – nationally-defined category of vessels fishing mainly for seafood supplying local market, often subject to distinct regulations. Opposite to **large-scale fleet**.

**Transshipment** - transfer of fish that have not been previously landed, from one vessel to another, at sea or in port.

**Vessel authorisation** - process of issuing a licence or permit by a competent authority to registered vessels for a specific fishing or fishing-related activity, usually with a limited period of validity. Authorisations detail the scope of permitted activities, e.g. for fishing vessels, in terms of target species, fishing techniques or geographical location, and for vessels conducting fishing-related activities, in terms of species handled, storing conditions or geographical location.

**Vessel registration** - process by which a country documents a vessel and assigns it its flag, which allows the vessel to travel internationally and implies the vessel is subject to its domestic laws. It does not indicate what fishing or fishing-related activities are allowed.

## 5. Detailed list of issues investigated in the questionnaire, guidance and references

Questions marked with '[NEW]' have been introduced in the questionnaire after the last round of information collection for the preparation of the report [Closing gaps in national regulations against IUU fishing](#) (Hutniczak, Delpeuch and Leroy, 2019<sub>(11)</sub>).

<b>A - VESSEL REGISTRY</b>			
	<i>Item as listed in the Excel questionnaire</i>	<i>Additional description</i>	<i>References</i>
<b>FISHING VESSELS</b>			
A.1	National fishing vessels need to be registered and a registry is maintained	There is a regulation requiring registration (i.e. flag granting) of national vessels to fish. Full implementation implies also maintenance of the registry of fishing vessels and its regular updating.	(FAO, 2001 <sup>[2]</sup> ) (42); (FAO, 2015 <sup>[3]</sup> ) (25)
A.2	Please indicate which pieces of information are required when registering a fishing vessel, and specify in the 'Comments' column how each selected piece is defined in the legal framework:	> <i>Question conditional on A.1</i> <	(FAO, 2001 <sup>[2]</sup> ) (42), (FAO, 2015 <sup>[3]</sup> ) (14, 25)
A.2.a	Characteristics of the vessel	e.g. length, tonnage, engine power, fishing methods, construction year	
A.2.b	The International Maritime Organization (IMO) number		
A.2.c	Details on the natural or legal person in whose name the vessel is registered	e.g. name, address and nationality	
A.2.d	Details on the natural or legal persons responsible for managing the operations of the vessel	e.g. name, address and nationality	
A.2.e	Details on the natural or legal persons with beneficial ownership of the vessel	e.g. name, address and nationality	
A.2.f	History of the vessel (for example, renaming and reflagging)	including the history of renaming and reflagging the vessel, facilitating detection of previous non-compliance with regulations	
A.3	The registry of fishing vessels is publicly available <i>[if so, please provide a link in the 'Comments' column]</i> <i>[if no such vessels are currently registered, please select 'Not applicable']</i>	> <i>Question conditional on A.1</i> < Up-to-date registry of vessels involved in fishing and flying the national flag is easily accessible to the public. The register should contain basic information allowing vessel identification, e.g. name, IMO number, etc. If available, providing a link is requested in the 'Comments' column of the survey. Alternatively, this can include data published at supra-national level (e.g. EU's fleet registry) or data submitted to the FAO's <i>Global Record of Fishing Vessels, Refrigerated Transport Vessels and Supply Vessels</i> .	(FAO, 2015 <sup>[3]</sup> ) (22)
A.4	Registration of fishing vessels already registered by another state (that is, parallel registration) is prohibited (possibly with exceptions on a temporary basis)	> <i>Question conditional on A.1</i> <	(FAO, 2015 <sup>[3]</sup> ) (20)
A.5	Registration of vessels with a history of IUU fishing is prohibited (possibly with the exception that new owner and operator demonstrate no links to IUU fishing owner and operator)	> <i>Question conditional on A.1</i> < There is a legislation in place allowing the country to refuse registration of a vessel based on the record of non-compliance with conservation and management measures or provisions adopted at a national, regional or global level (e.g. vessel appearing on a list of IUU fishing vessels established by a country or an RFMO). Some exceptions may include registration of a vessel that changed the ownership, if the new owner has provided sufficient evidence demonstrating that the previous owner or operator has no further legal, beneficial or financial interest in, or control of, the vessel.	(FAO, 2001 <sup>[2]</sup> ) (36), (FAO, 2015 <sup>[3]</sup> ) (18)
A.6	Pending IUU fishing-related sanctions need to be settled before deregistration is possible	> <i>Question conditional on A.1</i> < There is a legislation in place indicating that a vessel needs to clear any sanction related to IUU fishing with the country it was registered in before it may be deregistered.	(FAO, 2001 <sup>[2]</sup> ) (38); (FAO, 2015 <sup>[3]</sup> ) (24)
<b>VESSELS CONDUCTING FISHING-RELATED ACTIVITIES</b>			
A.7	National vessels conducting fishing-related activities need to be registered and a registry is maintained	There is a regulation requiring registration (i.e. flag granting) of national vessels to conduct fishing-related activities. Full implementation implies also maintenance of the registry of vessels conducting fishing-related activities and its regular updating.	(FAO, 2015 <sup>[3]</sup> ) (25)
A.8	Please indicate which pieces of information are required when registering a vessel conducting fishing-related activities, and specify in the 'Comments' column how each selected piece is defined in the legal framework:	> <i>Question conditional on A.7</i> <	

A.8.a	Characteristics of the vessel	e.g. length, tonnage, engine power, fishing methods, construction year	
A.8.b	The International Maritime Organization (IMO) number		
A.8.c	Details on the natural or legal person in whose name the vessel is registered	e.g. name, address and nationality	
A.8.d	Details on the natural or legal persons responsible for managing the operations of the vessel	e.g. name, address and nationality	
A.8.e	Details on the natural or legal persons with beneficial ownership of the vessel	e.g. name, address and nationality	
A.8.f	History of the vessel (for example, renaming and reflagging)	including the history of renaming and reflagging the vessel, facilitating detection of previous non-compliance with regulations	(FAO, 2001 <sup>[2]</sup> ) (42), (FAO, 2015 <sup>[3]</sup> ) (14, 25)
A.9 [NEW]	The registry of vessels conducting fishing-related activities is publicly available <i>[if so, please provide a link in the 'Comments' column]</i> <i>[if no such vessels are currently registered, select 'Not applicable']</i>	> <i>Question conditional on A.7</i> < Up-to-date registry of vessels involved in fishing-related activities and flying the national flag is easily accessible to the public. The registry should contain basic information allowing vessel identification, e.g. name, IMO number, etc. If available, providing a link is requested in the 'Comments' column of the survey. Alternatively, this can include data published at supra-national level or data submitted to the FAO's <i>Global Record of Fishing Vessels, Refrigerated Transport Vessels and Supply Vessels</i> .	(FAO, 2015 <sup>[3]</sup> ) (22)
A.10 [NEW]	Registration of vessels conducting fishing-related activities already registered by another state (that is, parallel registration) is prohibited (possibly with temporary exceptions)	> <i>Question conditional on A.7</i> <	(FAO, 2015 <sup>[3]</sup> ) (20)

## B - AUTHORISATION TO OPERATE AND ACCESS RESOURCES IN THE DOMESTIC EEZ

	<i>Item as listed in the Excel questionnaire</i>	<i>Additional description</i>	<i>References</i>
<b>NATIONAL VESSELS IN THE DOMESTIC EEZ</b>			
B.1	Are all national vessels operating in the domestic EEZ small-scale?	> <i>Answer 'Yes' indicates non-applicability of questions B.2-B.9.</i> <	
<b>FISHING VESSELS</b>			
B.2	National vessels require an authorisation to fish in the domestic EEZ	> <i>Question conditional on B.1</i> < There is a regulation requiring authorisation of national vessels to fish in the domestic EEZ.	(FAO, 2001 <sup>[2]</sup> ) (51.3)
B.3	Obtaining and maintaining an authorisation to fish in the domestic EEZ by national vessels is conditional on:	> <i>Question conditional on B.1 and B.2</i> <	(FAO, 2001 <sup>[2]</sup> ) (51.5, 51.6)
B.3.a	Position transition through vessel monitoring system (VMS)		
B.3.b	Reporting of catch	eporting required details regarding catch, including discards	
B.4 [NEW]	The list of national vessels authorised to fish in the domestic EEZ is publicly available. <i>[if so, please provide a link in the 'Comments' column]</i> <i>[if no such vessels are currently authorised, please select 'Not applicable']</i>	> <i>Question conditional on B.1 and B.2</i> < The list is up-to-date and easily accessible. If available, providing a link is requested in the 'Comments' column of the questionnaire. Option 'Not applicable' is available if there is no such vessels authorised at this time.	
B.5	National vessels can have their authorisation to fish in the domestic EEZ withdrawn for IUU fishing.	> <i>Question conditional on B.1 and B.2</i> < There is a legislation allowing the country to withdraw authorisation from a national vessel for not complying with regulations it is subject to in the domestic EEZ.	

B.6	Legal framework provides clear rules for chartering arrangements (that is, for how foreign companies can charter national vessels to access domestic EEZ resources).	> <i>Question conditional on B.1</i> < There is a specific legal framework governing how foreign companies/enterprises can charter national vessels to access marine resources in the domestic EEZ. Policy options include bans on foreign chartering agreements in the domestic EEZ.	(FAO, 2001 <sup>[2]</sup> ) (37)
<b>VESSELS CONDUCTING FISHING RELATED ACTIVITIES</b>			
B.7 [NEW]	National vessels require an authorisation to conduct fishing-related activities in the domestic EEZ.	> <i>Question conditional on B.1</i> < There is a regulation requiring authorisation of national vessels to conduct fishing-related activities in the domestic EEZ.	(FAO, 2001 <sup>[2]</sup> ) (49)
B.8	Obtaining and maintaining an authorisation to conduct fishing-related activities in the domestic EEZ by national vessels is conditional on:	> <i>Question conditional on B.1 and B.7</i> <	
B.8.a [NEW]	Position transition through vessel monitoring system (VMS)		
B.8.b	Reporting of transshipment	When permitted	(FAO, 2001 <sup>[2]</sup> ) (49)
B.9 [NEW]	The list of national vessels authorised to conduct fishing-related activities in the domestic EEZ is publicly available <i>[if so, please provide a link in the column 'Comments']</i> <i>[if no such vessels are currently authorised, please select 'Not applicable']</i>	> <i>Question conditional on B.1 and B.7</i> < The list is up-to-date and easily accessible. If available, providing a link is requested in the 'Comments' column of the questionnaire. Option 'Not applicable' is available if there is no such vessels authorised at this time.	
<b>SMALL-SCALE FISHING VESSELS IN THE DOMESTIC EEZ</b>			
B.10	National small-scale fishing vessels need to be registered	Whether through a specific registration process or through the standard registration process	
B.11	National small-scale vessels require an authorisation to fish	Whether through a specific authorisation process or through the standard authorisation process	
B.12 [NEW]	National small-scale fishing vessels need to report their catch	Whether through a specific reporting process or through the standard reporting process	
B.13	Please provide a definition of what is considered a small-scale fishing vessel in your country in the 'Comments' column		
<b>FOREIGN VESSELS IN THE DOMESTIC EEZ</b>			
<b>FISHING VESSELS</b>			
B.14 [NEW]	Is there a ban on fishing by foreign vessels in the domestic EEZ?	> <i>Answer 'Yes' indicates non-applicability of questions B.16-B.19</i> < > <i>Answer 'No' indicates non-applicability of questions B.15</i> <	
B.15 [NEW]	How is the ban on fishing by foreign vessels implemented?	> <i>Question conditional on B.14</i> < Questions whether the ban is effectively enforced and sanction apply for non-compliance with the regulations establishing the ban.	
B.16	Foreign vessels require an authorisation to fish in the domestic EEZ	> <i>Question conditional on B.14</i> < There is a regulation requiring authorisation of foreign vessels to fish in the domestic EEZ.	
B.17 [NEW]	Obtaining and maintaining an authorisation to fish in the domestic EEZ by foreign vessels is conditional on:	> <i>Question conditional on B.14 and B.16</i> <	
B.17.a	Position transition through vessel monitoring system (VMS)		
B.17.b	Reporting of catch	Reporting required details regarding catch, including discards	

B.18	The list of foreign vessels authorised to fish in the domestic EEZ is publicly available <i>[if so, please provide a link in the 'Comments' column]</i> <i>[if no such vessels are currently authorised, please select 'Not applicable']</i>	> Question conditional on B.14 and B.16 < The list is up-to-date and easily accessible. If available, providing a link is requested in the 'Comments' column of the questionnaire. Option 'Not applicable' is available if there is no such vessels authorised at this time.
B.19 [NEW]	Foreign vessels can have their authorisation to fish in the domestic EEZ withdrawn for IUU fishing	> Question conditional on B.14 and B.16 < There is a legislation allowing the country to withdraw authorisation from a foreign vessel for not complying with regulations it is subject to in the domestic EEZ.

### VESSELS CONDUCTING FISHING RELATED ACTIVITIES

B.20 [NEW]	Is there a ban on fishing-related activities by foreign vessels in the domestic EEZ?	> Answer 'Yes' indicates non-applicability of questions B.22-B.24 < > Answer 'No' indicates non-applicability of questions B.21 <
B.21 [NEW]	How is the ban on fishing-related activities by foreign vessels implemented?	> Question conditional on B.20 < Questions whether the ban is effectively enforced and sanction apply for non-compliance with the regulations establishing the ban.
B.22 [NEW]	Foreign vessels require an authorisation to conduct fishing-related activities in the domestic EEZ	> Question conditional on B.20 < There is a regulation requiring authorisation of foreign vessels to conduct fishing-related activities in the domestic EEZ.
B.23 [NEW]	Obtaining and maintaining an authorisation to conduct fishing-related activities in the domestic EEZ by foreign vessels is conditional on:	> Question conditional on B.20 and B.22 <
B.23.a [NEW]	Position transition through vessel monitoring system (VMS)	
B.23.b [NEW]	Reporting of transshipment	When permitted
B.24 [NEW]	The list of foreign vessels authorised to conduct fishing-related activities in the domestic EEZ is publicly available <i>[if so, please provide a link in the 'Comments' column]</i> <i>[if no such vessels are currently authorised, please select 'Not applicable']</i>	> Question conditional on B.20 and B.22 < The list is up-to-date and easily accessible. If available, providing a link is requested in the 'Comments' column of the questionnaire. Option 'Not applicable' is available if there is no such vessels authorised at this time.

### C - AUTHORISATION TO OPERATE AND ACCESS TO RESOURCES OUTSIDE THE DOMESTIC EEZ

	Item as listed in the Excel questionnaire	Additional description	References
<b>NATIONAL VESSELS IN THE DOMESTIC EEZ</b>			
C.1	Are all national vessels of insufficient capacity to operate in the ABNJ?	Questions whether the country has no long-distance fleet. > Answer 'Yes' indicates non-applicability of questions C.2-C.7 and C.10-C.14 <	
<b>FISHING VESSELS</b>			
C.2	Is there a ban on fishing in the ABNJ by national vessels?	> Question conditional on C.1 < > Answer 'Yes' indicates non-applicability of questions C.4-C.7 < > Answer 'No' indicates non-applicability of questions C.3 <	
C.3	How is the ban on fishing in the ABNJ by national vessels implemented?	> Question conditional on C.1 and C.2 < Questions whether the ban is effectively enforced and sanction apply for non-compliance with the regulations establishing the ban.	
C.4	National vessels require an authorisation to fish in the ABNJ	> Question conditional on C.1 and C.2 < There is a regulation requiring authorisation of national vessels to fish in the ABNJ.	(FAO, 2001 <sup>[2]</sup> ) (44); (FAO, 2015 <sup>[3]</sup> ) (29)

C.5	Obtaining and maintaining an authorisation to fish in the ABNJ by national vessels is conditional on:	> <i>Question conditional on C.1 and C.2 and C.4</i> <	(FAO, 2001 <sup>[2]</sup> ) (47,49) ; (FAO, 2015 <sup>[3]</sup> )( 29, 31)
C.5.a	Position transition through vessel monitoring system (VMS)		
C.5.b	Reporting of catch	Reporting required details regarding catch, including discards	
C.5.c	Participation in observer programmes		
C.6	The list of national vessels authorised to fish in the ABNJ is publicly available <i>[if so, please provide a link in the 'Comments' column]</i> <i>[if no such vessels are currently authorised, please select 'Not applicable']</i>	> <i>Question conditional on C.1 and C.2 and C.4</i> < The list is up-to-date and easily accessible. If available, providing a link is requested in the 'Comments' column of the questionnaire. Sufficient implementation includes relevant data submitted to the FAO's <i>Global Record of Fishing Vessels, Refrigerated Transport Vessels and Supply Vessels</i> . Option 'Not applicable' is available if there is no such vessels authorised at this time.	(FAO, 2001 <sup>[2]</sup> ) (81.3)
C.7	National vessels can have their authorisation to fish in the ABNJ withdrawn for IUU fishing.	> <i>Question conditional on C.1 and C.2 and C.4</i> < There is a legislation allowing the country to withdraw authorisation from a national vessel for not complying with regulations it is subject to in the ABNJ.	(FAO, 2015 <sup>[3]</sup> )( (32.f)
C.8	Access to foreign EEZs through bilateral agreements is regulated and lists of vessels authorised to fish under such agreements are public <i>[if so, please provide a link in the 'Comments' column]</i> <i>[if no such agreements are currently in place, please select 'Not applicable']</i>	Bilateral agreements refer to agreements with foreign countries on fishing in the areas under their jurisdiction. Lists of vessels authorised to fish under such agreements are public implies that there is a full disclosure of capacity authorised under such agreements. Full implementation also implies full disclosure of agreements conditions (e.g. financial compensations). If relevant pieces of information are disclosed, providing a link is requested in the 'Comments' column of the questionnaire. Option 'Not applicable' is available if no such agreements are in place at this time.	
C.9	Access to foreign EEZs through private or chartering agreements is either banned or regulated and if regulated, lists of vessels authorised to fish under such agreements are public <i>[if regulated, please provide a link to the list of authorised vessels in the 'Comments' column]</i>	Lists of vessels authorised to fish under such agreements being public implies that there is a full disclosure of capacity authorised under such agreements. If available, providing a link is requested in the 'Comments' column of the questionnaire.	
<b>VESSELS CONDUCTING FISHING RELATED ACTIVITIES</b>			
C.10	Is there a ban on fishing-related activities by national vessels in the ABNJ?	> <i>Question conditional on C.1</i> < > <i>Answer 'Yes' indicates non-applicability of questions C.12-C.14</i> < > <i>Answer 'No' indicates non-applicability of questions C.11</i> <	
C.11	How is the ban on fishing-related activities by national vessels in the ABNJ implemented?	> <i>Question conditional on C.1 and C.10</i> < Questions whether the ban is effectively enforced and sanctions apply for non-compliance with the regulations establishing the ban.	
C.12	National vessels require an authorisation to conduct fishing-related activities in the ABNJ.	> <i>Question conditional on C.1 and C.10</i> < There is a regulation requiring authorisation of national vessels to conduct fishing-related activities in the ABNJ.	(FAO, 2001 <sup>[2]</sup> ) (49); (FAO, 2015 <sup>[3]</sup> )( (29)
C.13	Obtaining and maintaining an authorisation to conduct fishing-related activities in the ABNJ by national vessels is conditional on:	> <i>Question conditional on C.1 and C.10 and C.12</i> <	(FAO, 2001 <sup>[2]</sup> ) (49)
C.13.a	Position transition through vessel monitoring system (VMS)		
C.13.b	Reporting of transshipment	When permitted	
C.13.c	Participation in observer programmes		

C.14	The list of national vessels authorised to conduct fishing-related activities in the ABNJ is publicly available <i>[if so, please provide a link in the 'Comments' column]</i> <i>[if no such vessels are currently authorised, please select 'Not applicable']</i>	> <i>Question conditional on C.1 and C.10 and C.12 &lt;</i> The list of national vessels authorised to conduct fishing-related activities in the ABNJ being publicly available implies that the list is up-to-date and easily accessible. If available, providing a link is requested in the 'Comments' column of the questionnaire. Sufficient implementation include relevant data submitted to the FAO's <i>Global Record of Fishing Vessels, Refrigerated Transport Vessels and Supply Vessels</i> . Option 'Not applicable' is available if there is no such vessels authorised at this time.
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#### D - RESPONSIBILITIES AS A PORT STATE

	<i>Item as listed in the Excel questionnaire</i>	<i>Additional description</i>	<i>References</i>
D.1	Ports for use by foreign vessels are designated <i>[if so, please provide a link to the list of designated ports in the 'Comments' column]</i>	Ports with sufficient capacity to conduct inspections are designated for use by foreign-flagged vessels and the list of designated port is published. If available, providing a link is requested in the 'Comments' column of the questionnaire. Alternatively, this can include data submitted to the FAO's <i>Global Record</i> . Policy option also include a ban on landings by foreign vessels.	(FAO, 2001 <sup>[2]</sup> ) (57); (FAO, 2009 <sup>[4]</sup> ) (7)
D.2	Foreign vessels need to request port entry in advance	Regulation exists that foreign-flagged vessels (fishing vessels and vessels involved in fishing-related activities) seek permission to enter the port in advance and receive conformation from port state. Policy option also includes a ban on landings by foreign vessels.	(FAO, 2001 <sup>[2]</sup> ) (55); (FAO, 2009 <sup>[4]</sup> ) (8)
D.3	Vessels suspected of IUU fishing can be denied port entry or use	Regulation exists allowing denial of port entry or use (including landing, transshipments and access to other port services or inspection) to vessels suspected of IUU fishing. Excludes emergency situations.	(FAO, 2001 <sup>[2]</sup> ) (56); (FAO, 2009 <sup>[4]</sup> ) (9)
D.4	A risk-based approach is taken to prioritise port inspections	A system is in place to prioritise which vessels to inspect on the basis of probability of their involvement of IUU fishing and the extent of severity of potential IUU fishing activity.	(FAO, 2009 <sup>[4]</sup> ) (12.3)
D.5	Targets are set for the number of port inspections		(FAO, 2009 <sup>[4]</sup> ) (12.1)
D.6	The port state measures of relevant RFMOs are adopted and implemented <i>[if no vessel is operating in areas under the jurisdiction of RFMOs, please select 'Not applicable']</i>	Port state measures contributing to the reduction of IUU fishing mandated in the CMMs of relevant RFMOs are adopted and implemented. Option 'Not applicable' is available if the country does not have vessels operating in the areas under jurisdiction of any RFMO, i.e. it is forbidden or the country has no capacity to conduct such activities.	(FAO, 2001 <sup>[2]</sup> ) (78); (FAO, 2009 <sup>[4]</sup> ) (6.2)

#### E - RESPONSIBILITIES AS A MARKET

	<i>Item as listed in the Excel questionnaire</i>	<i>Additional description</i>	<i>References</i>
E.1	Import and export controls allow rejection of products originating from IUU fishing (for example, catch landed by IUU fishing vessels, or containing illegal species)	There is a system in place to control seafood import and export controls, that is, a specific control framework adopted for customs clearance, allowing the rejection of products identified as originating from IUU fishing.	(FAO, 2001 <sup>[2]</sup> ) (69)
E.2	Imported seafood products need to be accompanied by a certificate of origin confirming its legal sourcing	There is a regulation establishing the requirement for imported fish to be accompanied by a certificate of its origin, confirming its legal sourcing.	(FAO, 2001 <sup>[2]</sup> ) (69); (FAO, 2015 <sup>[3]</sup> ) ( )
E.3	Government can impose restrictions on imports from countries identified as insufficiently fighting IUU fishing		(FAO, 2001 <sup>[2]</sup> ) (66)
E.4	Campaigns are conducted to raise consumer awareness of the threat posed by IUU fishing <i>[if so, please provide examples of specific campaigns run since 2017 in the 'Comments' column]</i>	The country organises information campaigns directed at consumers about the threat posed by IUU fishing to the sustainability of marine resources and the health of marine ecosystem. If available, providing examples of specific campaigns run since the last iteration of the questionnaire is requested in the 'Comments' column of the questionnaire.	(FAO, 2001 <sup>[2]</sup> ) (73; 80.12)
E.5	Access to public support (such as subsidies to individual fishers or companies) can be restricted for operators convicted for IUU fishing <i>[if the country does not offer such support, please select 'Not applicable']</i>		(FAO, 2001 <sup>[2]</sup> ) (23)

E.6	IUU fishing is considered as a predicate offence to money laundering <i>[please indicate 'Legal framework, partial implementation' if IUU fishing can be considered a predicate offence in principle, but is not specifically considered as such in the legal framework]</i>	Generating proceeds from illegal fishing is considered a predicate offence for money laundering, that is, there are regulations in place allowing authorities to seize proceeds from illegal fishing and prosecute fishers under anti-money laundering law. Option 'partly implemented' is advised if IUU fishing can be considered a predicate offence in principle, but is not specifically considered as such in the legal framework.	(FATF, 2012 <sup>[5]</sup> )
E.7	The legal framework mandates tax authorities to co-operate and share information with fisheries authorities to facilitate the detection of illicit proceeds and identification of nationals who are the beneficial owners of IUU fishing vessels		

F - INTERNATIONAL CO-OPERATION			
	<i>Item as listed in the Excel questionnaire</i>	<i>Additional description</i>	<i>References</i>
F.1	Standardised processes for sharing information on IUU fishing activities with other countries are in place	For example, standardized forms or communication channels to inform other countries on detected or suspected IUU fishing activities.	(FAO, 2001 <sup>[2]</sup> ) (28.1); (FAO, 2015 <sup>[3]</sup> ) (32e, 43)
F.2	A focal point is designated for sharing information on IUU fishing activities (such as the results of controls at sea or in ports) with other countries		(FAO, 2001 <sup>[2]</sup> ) (30)
F.3	Country publishes a list of national vessels recognized as IUU fishing vessels that is available to other countries		(FAO, 2001 <sup>[2]</sup> ) (32, 81.4)
F.4	Country participates in multi-country initiatives to combat IUU fishing that facilitate joint monitoring, control, surveillance, and enforcement <i>[if so, please provide the names of initiatives in the 'Comments' column]</i>		(FAO, 2001 <sup>[2]</sup> ) (28) ; (FAO, 2015 <sup>[3]</sup> ) (34)

## References

- FAO (2015), *Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the Context of Food Security and Poverty Eradication - At a Glance*, Food and Agriculture Organization of the United Nations. [3]
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