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Intensifying the Fight Against IUU Fishing at the Regional Level

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OECD

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INTENSIFYING THE FIGHT AGAINST IUU FISHING AT THE REGIONAL LEVEL

Barbara Hutniczak, Claire Delpeuch and Antonia Leroy (OECD)

Regional fisheries management organisations (RFMOs) are the primary mechanism for co-operation between fishing countries and coastal states to ensure sustainable fishing globally. This paper aims to inspire and guide RFMO secretariats and member countries in how to focus their effort and investment to step up the contribution of RFMOs to the fight against illegal, unreported and unregulated (IUU) fishing. It does so by measuring the extent to which RFMOs apply best practices against IUU fishing and pointing to the remaining gaps. Information gathered from RFMOs' resolutions and recommendations introducing conservation and management measures (CMMs), other publicly available sources and direct communication with RFMOs' secretariats was analysed and summarised into five indicators reflecting the most important management tools targeting IUU fishing at the disposal of RFMOs. Indicators show overall progress among RFMOs, but discrepancies remain, suggesting scope for improvement by learning from best performers.

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The companion paper, *Closing gaps in national regulations against IUU fishing* (OECD Food, Agriculture and Food Paper N°120), tracks implementation of best policies and practices by individual countries. It guides governments and stakeholders in the fisheries sector in how to focus and step up their efforts against IUU fishing.

Key words: Fisheries management, IUU fishing, regional fisheries management organisation, RFMO

JEL codes: Q22, Q27, Q28

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Abbreviations

BO	Beneficial owner
CCAMLR	Commission for the Conservation of Antarctic Marine Living Resources
CCSBT	Commission for the Conservation of Southern Bluefin Tuna
CDS	Catch documentation scheme
CMM	Conservation and management measure
CNCP	Co-operating non-contracting party
COC	Compliance committee
CP	Contracting party
FAO	Food and Agriculture Organization of the United Nations
GFCM	General Fisheries Commission for the Mediterranean
IATTC	Inter-American Tropical Tuna Commission
ICCAT	International Commission for the Conservation of Atlantic Tunas
IMO	International Maritime Organization
INTERPOL	International Criminal Police Organization
IOTC	Indian Ocean Tuna Commission
IPOA-IUU	International Plan of Action to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing
IUU	Illegal, unreported and unregulated
MCS	Monitoring, control and surveillance
NAFO	Northwest Atlantic Fisheries Organization
NEAFC	North East Atlantic Fisheries Commission
NPFC	North Pacific Fisheries Commission
RFMO	Regional fisheries management organisation
SCIC	Standing Committee on Implementation and Compliance
SCOI	Standing Committee on Observation and Inspection
SEAFO	South East Atlantic Fisheries Organisation
SIOFA	Southern Indian Ocean Fisheries Agreement
SPRFMO	South Pacific Regional Fisheries Management Organisation
TAC	Total allowable catch
UNCLOS	United Nations Convention on the Law of the Sea
UNFSA	United Nations Fish Stock Agreement
VMS	Vessel monitoring system
WCPFC	Western and Central Pacific Fisheries Commission
WTO	World Trade Organization

Executive Summary and Key Recommendations

Regional fisheries management organisations (RFMOs) play a key role in global fisheries governance. They are the primary mechanism for co-operation between fishing countries and coastal states in line with international agreements on sustainable fishing and commitments to effective oversight of fishing vessels to prevent illegal, unreported and unregulated (IUU) fishing. The role of RFMOs is particularly important for the conservation of fish stocks which migrate through or occur in multiple jurisdictions.

This paper measures the extent to which regional fisheries management organisations (RFMOs) apply best practices against illegal, unreported and unregulated (IUU) fishing and points to the remaining gaps. It aims to inspire and guide RFMOs' secretariats and member countries in how to focus their effort and investment to step up the contribution of RFMOs to the fight against IUU.

Information gathered from RFMOs' recommendations and resolutions introducing conservation and management measures (CMMs), publicly available sources and direct communication with RFMOs' secretariats is analysed and summarised into five indicators. These indicators reflect the most important management tools targeting IUU fishing at the disposal of RFMOs, and associated procedures: minimum standards for monitoring, control and surveillance (MCS); mechanisms for listing an IUU fishing vessel; decision-making procedures; exchange of information with other RFMOs; and review of members' compliance with adopted CMMs.

The results suggest the RFMOs are making progress. Recently adopted CMMs introduce more comprehensive MCS minimum standards and rigorous IUU vessel-listing mechanisms. Co-operation between RFMOs is also improving, and most RFMOs now more regularly and transparently review compliance with obligations arising from membership. However, as shown by the wide range of indicator results, discrepancies across RFMOs remain. This suggests scope for improvement by learning from best performers.

Some RFMOs still do not make public their lists of authorised vessels, making it difficult to check them against lists of IUU fishing vessels, and only few RFMOs have implemented catch documentation schemes to certify legal catches in a standardized way. IUU vessels lists are often incomplete, and the lack of comprehensive information makes the identification of IUU fishing vessels and tracking their beneficial owners difficult. Protocols for sharing IUU vessel lists currently in place are not standardised and not always followed in practice. The use of sanctions by RFMOs is also not common as only few RFMOs have provisions for imposing sanctions on member countries for not adhering to adopted CMMs and. Then, even when provisions for sanctioning are in place, these are not applied systematically. Furthermore, the review of the compliance of RFMO members with agreed CMMs and data submission requirements are not comprehensively reported on,

making it difficult to assess members' commitment to agreed measures. Improving decision-making processes is important to facilitate progress on all of these fronts.

Key recommendations for stepping up the contribution of RFMOs to the fight against IUU fishing

Based on the assessment of the adoption and implementation of best practices against IUU fishing across the surveyed RFMOs , the OECD recommends to:

1. Adopt minimum standards on monitoring, control and surveillance tools and practices. In particular:
    - Make mandatory the publication of comprehensive lists of authorised vessels that can be easily checked against existing lists of IUU fishing vessels,
    - Adopt catch documentation schemes certifying legal catches in a standardized way, in line with the *Voluntary Guidelines on Catch Documentation Schemes of the Food and Agriculture Organization of the United Nations.*
    - Co-operation between RFMOs could help identify and define the most appropriate standards.
2. Build information-rich IUU vessels lists by investing in gathering the necessary information from various stakeholders. In particular, step up efforts to include:
    - The identification numbers of the International Maritime Organization (IMO), as flags and names can be easily changed;
    - Information on vessels' beneficial owners to verify that authorised operators have no legal, personal, financial or other ties to those sanctioned for illegal fishing.
3. Tighten co-operation between RFMOs over the mutual recognition of IUU vessel lists.
4. Create strict and transparent sanctioning mechanisms for countries that fail to fulfil their obligations as RFMO members.
5. Regularly review the compliance of RFMO members with agreed CMMs and data submission requirements. Publicly and transparently report on this process.
6. Establish voting protocols that are more efficient than consensus-based decision making at allowing adoption of measures against IUU fishing and sanctioning non-compliant parties. When objection procedures are in place, their format should be well defined so that the objectives of the proposed CMMs are not compromised;
7. The OECD also encourages countries with vested interests in resources in the areas of competence of RFMOs, but which are not members, to join and actively contribute to the enforcement of adopted CMMs.

1. The key role of RFMOs in global fisheries management

Regional fisheries management organisation (RFMOs) play a key role in global fisheries management. Bringing together countries with a common interest in managing a particular fish stock or the fish resources of a particular region and agreeing to adoption of binding conservation and management measures (CMMs), they are the primary mechanism for co-operation between fishing countries and coastal states in line with the requirements and responsibilities under the United Nations Convention on the Law of the Sea (UNCLOS) (UNCLOS, 1982[1]) and the United Nations Fish Stock Agreement (UNFSA) (UNFSA, 1995[2]). The role of RFMOs is particularly important for the conservation of straddling and highly migratory fish stocks, which migrate through or occur in multiple jurisdictions (Allen, Joseph and Squires, 2010[3]).

The 2005 OECD report on fish piracy (OECD, 2005[4]) identified a number of measures that RFMOs could take to prevent illegal, unreported and unregulated (IUU) fishing. These included the use of catch and trade documentation schemes, which seek to keep track of legal catches, trade embargoes on seafood products from non-compliant countries, the use of lists of vessels permitted to fish within the RFMO area, expanded scope of on-board observer programmes, and minimum standards for port state controls stipulating the closure of ports and associated services to identified IUU vessels. The report noted that such measures contributed effectively to the global fight against IUU fishing, but found that only a limited number of organisations used them, and encouraged RFMOs to adopt and implement them more widely. The report further suggested that RFMOs could also consider reducing the benefits of membership of the RFMO for the flag state of any vessel involved in illegal activity, or even excluding such countries (OECD, 2005[4]).

To measure the progress in the recent years and identify areas for improvement, this section reviews key RFMO practices directly aimed at preventing and eliminating IUU fishing, namely the development of monitoring, control and surveillance (MCS) minimum standards (Section 2), IUU vessel-listing mechanisms (Section 3), decision-making procedures (Section 4), co-operation between RFMOs (Section 5), and processes for reviewing compliance with obligations arising from membership (Section 6). The analysis focuses on the provisions available in adopted CMMs, as well as transparency of reporting on compliance and follow-up procedures. A few elements which RFMOs noted to be important for reduction of IUU fishing at regional level were not evaluated as they were outside the OECD's mandate. In particular, the analysis did not cover the effectiveness of MCS tool in use or the joint MCS and enforcement capacity of RFMOs and their members.

The analysis is restricted to the RFMOs with the capacity to adopt management measures with respect to marine fisheries. These were:

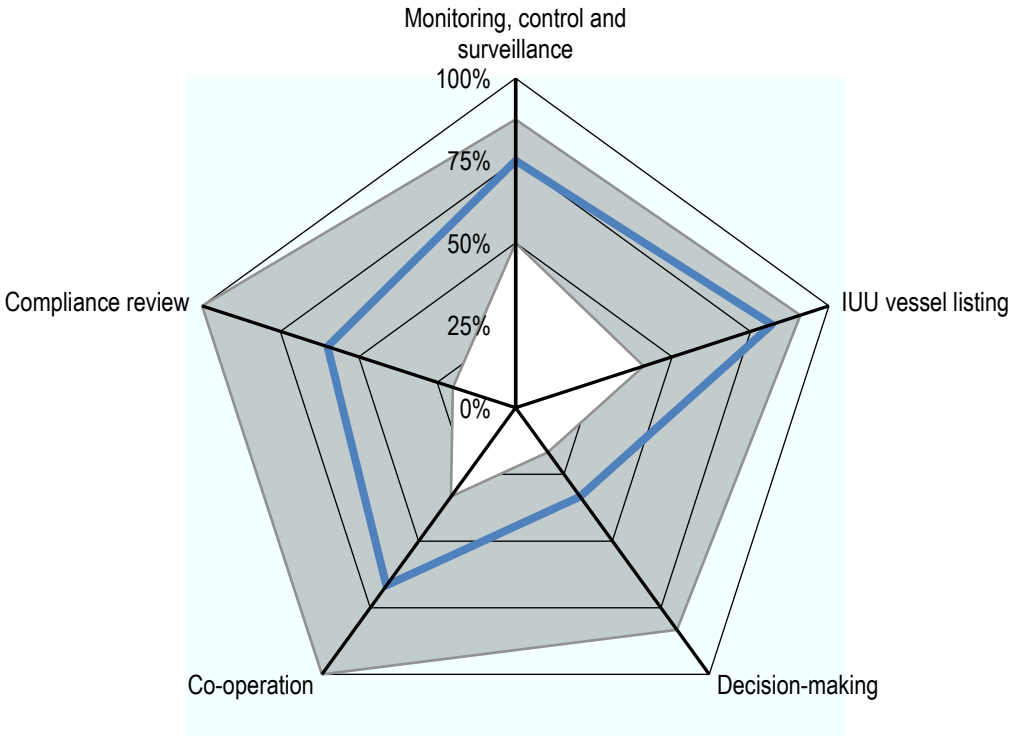
- The Commission for the Conservation of Southern Bluefin Tuna (CCSBT)
- The General Fisheries Commission for the Mediterranean (GFCM)
- The Inter-American Tropical Tuna Commission (IATTC)
- The International Commission for the Conservation of Atlantic Tunas (ICCAT)
- The Indian Ocean Tuna Commission (IOTC)
- The Northwest Atlantic Fisheries Organization (NAFO)
- The North East Atlantic Fisheries Commission (NEAFC)

- The North Pacific Fisheries Commission (NPFC)
- The South East Atlantic Fisheries Organisation (SEAFO)
- The Southern Indian Ocean Fisheries Agreement (SIOFA)
- The South Pacific Regional Fisheries Management Organisation (SPRFMO)
- The Western and Central Pacific Fisheries Commission (WCPFC)

The Commission for the Conservation of Antarctic Marine Living Resources (CCAMLR) is also included, as an organisation that has a mandate to monitor fisheries in the area of its competence.

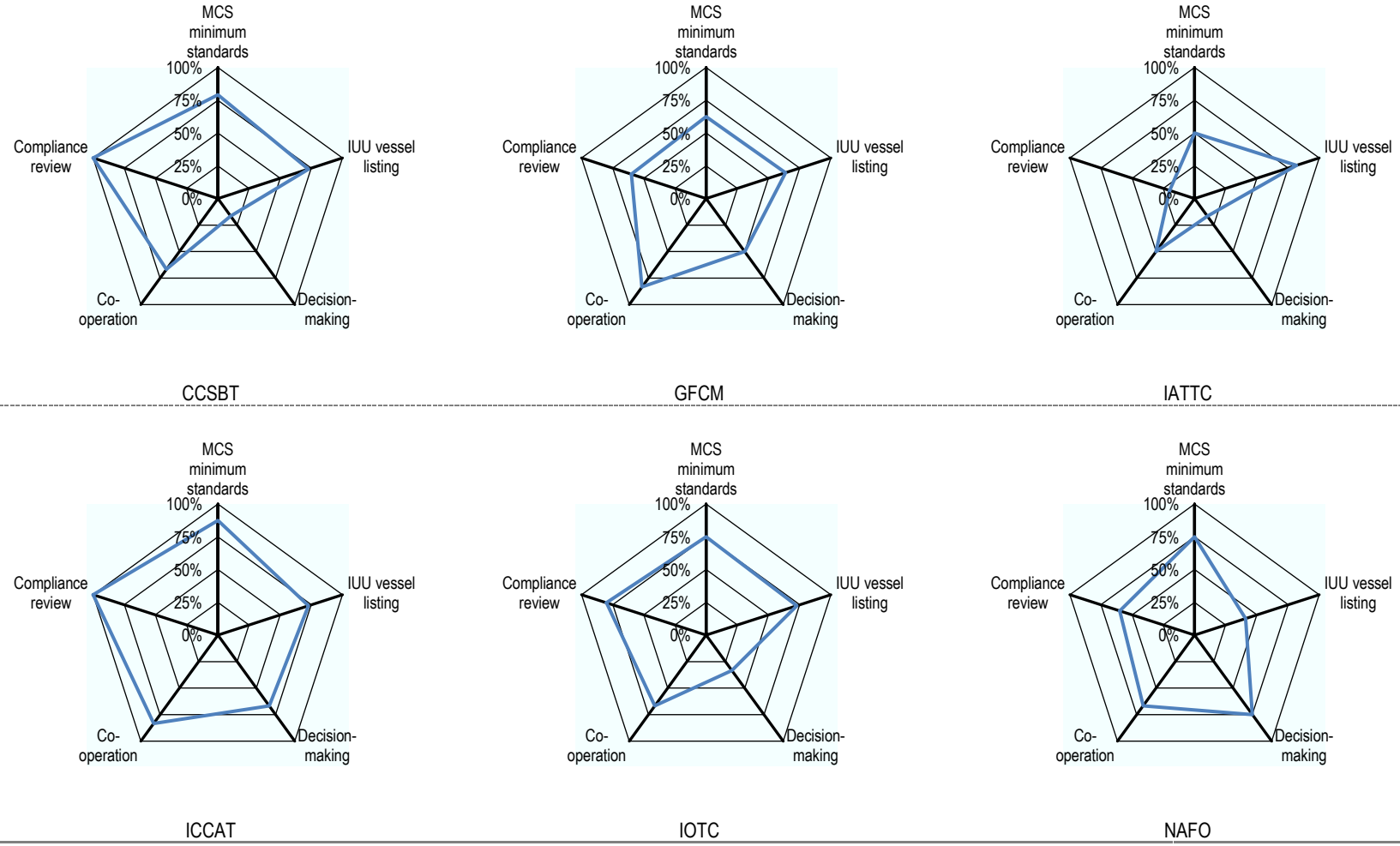
The results, summarised in five indicators, suggest there has been progress across RFMOs. Recently adopted CMMs introduce more comprehensive MCS minimum standards and rigorous IUU vessel-listing mechanisms. Co-operation between RFMOs is also improving, and most now review more regularly and with greater transparency the compliance with obligations arising from membership. However, as shown by the wide range of indicator results (Figure 1.1), discrepancies remain, suggesting scope for improvement by learning from best performers identified in Figure 1.2. Details on the evaluation method used are found in Annex A.

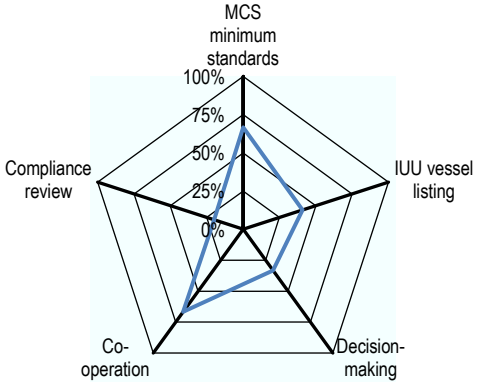
Figure 1.1. Best practices against IUU fishing: Median and range of results for reviewed RFMOs



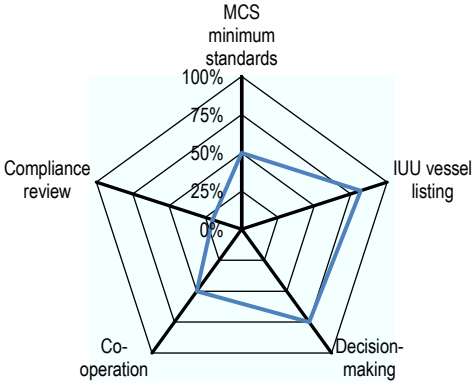
Note: Percentage represents the share of implemented best practices identified in sections 2 to 6. The shaded area represents range of individual results.

Figure 1.2. Best practices against IUU Fishing: Evaluation of individual RFMOs

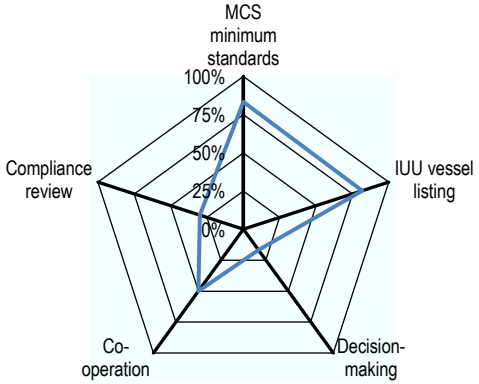




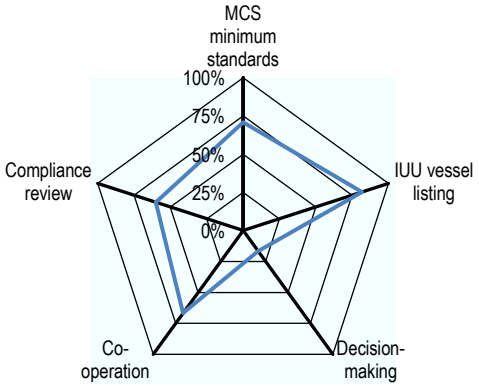
NEAFC



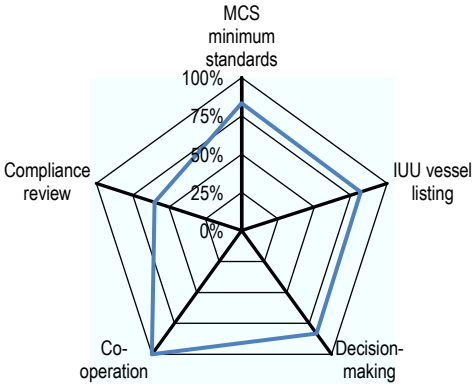
NPFC



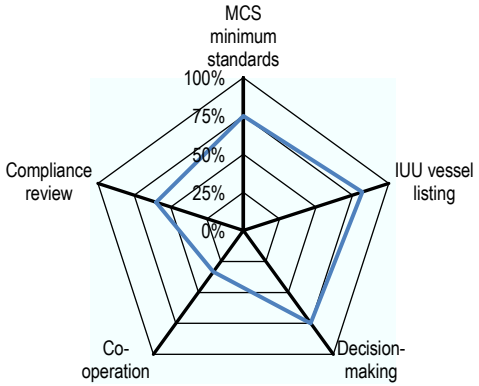
SEAFO



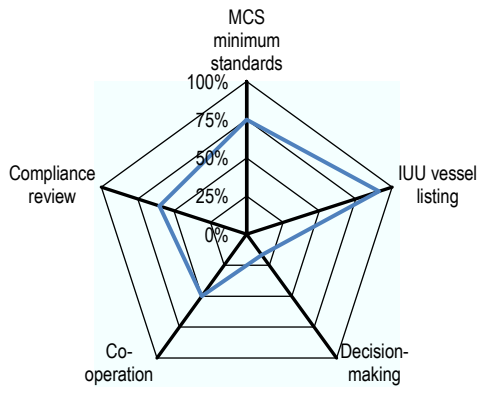
SIOFA



SPRFMO



WCPFC



CCAMLR

Note: Percentage represent the share of implemented best practices identified in the sections 2 to 6.

2. MCS minimum standards established by RFMOs

MCS systems are vital for achieving compliance with RFMOs' CMMs. However, MCS procedures are often applied unequally by member countries. This is related to countries' capacity and capital available for investment, as well as, in some cases, to varying general levels of government dedication to eliminating non-compliance (Cabral et al., 2018[5]). RFMOs are uniquely positioned to develop international standards for MCS which can help countries develop efficient MCS systems and facilitate co-ordinated efforts to ensure effective implementation of CMMs (Table 2.1).

Table 2.1. MCS standards established by RFMOs

RFMO	Lists of authorised vessels	Catch reporting/CDS	VMS	Inspections at sea	Observer programmes for fishing	Transhipment monitoring	Inspections in ports	Designation of landing ports
CCSBT	✓	✓	✓		*	✓	✓	✓
GFCM	✓	#	✓	✓**		✓	✓	✓
IATTC	✓	✓2	✓		*	✓		
ICCAT	✓	✓3	✓	✓	✓	✓	✓	✓
IOTC	✓	✓4	✓		*	✓	✓	✓
NAFO	✓1	#	✓	✓	✓	✓	✓	✓
NEAFC	✓1	#	✓	✓		✓	✓	✓
NPFC	✓		✓	***	✓	✓		
SEAFO	✓	#	✓	✓	✓	✓	✓	✓
SIOFA	✓	#	✓	***	*	✓	✓	✓
SPRFMO	✓	#	✓	✓		✓	✓	✓
WCPFC	✓	#	✓	✓	✓	✓	✓	
CCAMLR	✓	✓	✓	✓	✓	✓	✓	

Note: * Observer programme limited to scientific purpose; ** spatially limited; *** measure implementation in progress (proposal or implementation plan available); # limited to standards on catch reporting. 1. List of authorised vessels not publicly available; 2. limited to bigeye statistical documentation programme with some elements of CDS (Res. C-03-01); 3. limited to Atlantic bluefin tuna, for bigeye tuna and swordfish, there are statistical document programmes in place (ICCAT, 2016[7]); 4. limited to statistical document programme for bigeye tuna with some elements of a CDS (communication with the IOTC Secretariat).
Source: Based on the review of relevant documents and communication with relevant RFMOs.

The most common MCS tool to improve control over fishing operations under an RFMO's management is the use of an authorised vessel list. Such lists serve as transparent records of vessels which are recognised by their flag states as operating in compliance with the rules. They ease logistical issues in tracking the activities of eligible vessels at sea. They can be also used to restrict access to RFMO-managed resources by vessels and their beneficiaries that have been recognised as engaged in IUU fishing in other regions, or tied to them legally, personally or financially (more details on IUU vessel lists in Section 3). Today, all the surveyed RFMOs require their members to provide such lists in accordance with adopted guidelines. To effectively enforce the participation of only authorised vessels, RFMOs are also increasingly adopting mandatory use of unique vessel identifiers through the International Maritime Organization (IMO). GFCM is the last of the surveyed RFMOs not yet mandating the use of IMO numbers, although it has already approved a new

resolution and such a requirement will be in place as of 2019.[1] Moreover, all but two RFMOs (NAFO and NEAFC) have opted for transparency on fishing capacity and make their list of authorised vessels publicly available.

Catch documentation schemes (CDSs) certify reported legal catches and, by requiring verification by an authorised official, reduce the risk of IUU fish entering the market. To date, only few RFMOs implemented CDSs for species under their management in line with the *Voluntary Guidelines on Catch Documentation Schemes* of the Food and Agriculture Organization of the United Nations (FAO) (FAO, 2017[6]). ICCAT has a CDS for Atlantic bluefin tuna, but its latest performance review notes the need to replace its current statistical programme for bigeye tuna with CDSs harmonised with other tuna RFMOs[2] (ICCAT, 2016[7]). CCSBT has a comprehensive CDS for southern bluefin tuna in place since 2010.[3] CCALMR has a CDS for toothfish, which SIOFA is exploring potential co-operation in (SIOFA, 2018[8]). The only scheme IATTC has adopted and implemented is the IATTC Bigeye Statistical Documentation Program (Resolution C-03-01), which fails to meet the definition of a CDS (ISSF, 2016[9]). WCPFC, despite working on the development of a CDS for bigeye tuna since 2005, has no such measure for any of the species falling under its management mandate (ISSF, 2016[9]). NPFC, despite developing four CMMs specifically for species under its management (chub mackerel and Pacific saury, as all bottom fisheries in the western and eastern Pacific Ocean), does not have provisions for standardised catch documenting.

Real-time monitoring and well-functioning at-sea control schemes are necessary to prevent some of the most common IUU fishing activities: over-catching of quotas, violations of spatial and temporal closures, non-compliance with CMMs regulating harvest methods and gear restrictions, or disobeying established transhipment procedures. RFMOs use a variety of methods and tools for at-sea MCS. The most common is the requirement to transmit vessel position data round the clock using vessel monitoring systems (VMSs). All the RFMOs reviewed require members to use such monitoring systems.[4] All the surveyed RFMOs also recognise the risks of operators circumventing the law and disguising fish originating from IUU operations through transhipment, and have adopted transhipment monitoring standards.[5]

[1] Mandatory use of IMO number from 2019 was mandated through the Resolution GFCM/41/2017/6; under the Resolution GFCM/33/2009/5 establishing the GFCM regional fleet register, the IMO number was optional.

[2] Tuna RFMOs include CCSBT, IATTC, ICCAT, IOTC and WCPFC.

[3] The CDS is used for tracking and validating legitimate southern bluefin tuna product flow from catch to the point of first sale on domestic or export markets. The system requires the unique tagging, measurement and reporting of each whole southern bluefin tuna.

[4] However, only some of these RFMOs have a centralised VMS (i.e. directly feeding data to the RFMO), whereas others only require VMSs monitored by flag states, meaning these RFMOs have no ability to independently verify vessel positions. Centrally managed VMS has been practised by SPRFMO and WCPFC. NPFC plans to develop such scheme in 2020 (communicated by the NPFC Secretariat).

[5] However, RFMOs differ on the details of transhipments that need to be provided to the Secretariats. For example, WCPFC require all reports between vessels and member countries for each transhipment to be forwarded to its Secretariat for compliance purposes, while NPFC only requires a summary of transhipments to be included in members' annual reports.

Among less commonly used at-sea measures are directives regarding inspections schemes and observer programmes. Nevertheless, changes in this domain are also envisioned. For example, NPFC and SIOFA plan to launch a high seas boarding and inspection scheme. In 2016, an IATTC member proposed a resolution on boarding and inspection procedures, but it was withdrawn and not submitted again (Proposal IATTC-90 H-1 Rev.1).

Port inspections provide an additional opportunity to verify whether catches comply with the CMMs applicable in the given region when IUU operators circumvent inadequacies of at-sea enforcement. Among the RFMOs reviewed, all but IATTC and NPFC have established standards for port inspections. Most RFMOs also mandate their member countries to designate a limited number of ports for landing of species under the RFMO's management. CCAMLR recommends that states designate ports to which fishing vessels may seek entry, but in practice, none of the member states provide such notification to its Secretariat.

3. IUU vessel-listing mechanisms

Most RFMOs use lists of IUU fishing vessels as a form of sanction for non-compliance with regional CMMs.[6] Such lists have been compiled since 2002, following the endorsement by the FAO of the voluntary measures under the International Plan of Action to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing (IPOA-IUU) in 2001 (FAO, 2001[11]). Well-managed and easily accessible lists of IUU vessels not only serve as a simple tool to publicly discredit vessels involved in illegal fishing operations, but are also a powerful instrument for prioritising inspections, facilitating arrests and condemning vessels involved in IUU fishing activities.[7] For instance, the lists help inspectors in ports to identify which vessels need to be examined or denied port entry and services. These lists thus contribute to preventing IUU fish products from entering markets and reduce the profitability of IUU fishing. In the World Trade Organization (WTO) negotiations on fisheries subsidies, IUU vessel lists are considered as a potential tool for identifying vessels or operators to which subsidies discipline could apply (Schmidt, 2017[12]).

Setting up and administrating IUU vessel lists is however challenging. To date, the RFMOs all have their own listing process. The nature of the listing process and discrepancies in RFMOs' processes affect their potential efficacy. This section reviews the key characteristics of the RFMOs' listing procedures with a view to informing future improvements and harmonisation. The analysis focuses on the evidence reporting process, the information contained in IUU lists and any follow-up obligations for flag states after a vessel flagged to them is listed (all criteria are summarised in Table 3.1).

[6] In addition to RFMOs, International Criminal Police Organization (INTERPOL) communicates information regarding vessels wanted for illegal activities by issuing Purple Notices. In 2013, the first Purple Notice was given to a vessel involved in illegal fishing (INTERPOL, 2013[25]). However, the organisation is mainly concerned with fighting human trafficking and modern slavery in the fisheries sector, and as such will not be analysed along RFMOs listed in this section.

[7] In particular, when such lists include the IMO number. This identification number, which is assigned to the vessels once over its lifetime, improves functionality of lists which are rendered otherwise ineffective when a vessel changes its name or flag.

3.1. Evidence production

The process of listing a vessel on an IUU vessel list starts with the transmission to the secretariat of the relevant RFMO of the evidence documenting the activities of a vessel that is suspected of being in contravention of the CMMs by which it is bound in the given region. The RFMOs have different rules regarding which entities are allowed to submit such information. The wider the range of parties allowed to submit evidence, the greater the chance of an infraction being documented and, consequently, the greater practical use of the IUU vessel list.

All RFMOs allow evidence transmission by contracting parties (CPs), that is authorities from member countries or economies bound by adopted CMMs. Most also extend this to co-operating non-contracting parties (CNCPs), that is, the authorities of invited countries or economies showing willingness to co-operate in the region and adhere to CMMs but not formally bound by adopted CMMs through a membership agreement.[8] Most tuna RFMOs (CCSBT, IATTC, IOTC and WCPFC), SEAFO and CCAMLR, as well as the three most recently created multispecies RFMOs (NPFC, SIOFA and SPRFMO), allow evidence transmission by all relevant stakeholders, including those from non-affiliated countries.[9]

3.2. Information content of the IUU lists

Understanding who in practice benefits from IUU activity is key to the efficient investigation of organised IUU fishing operations and related crimes. Including information about the beneficial owner (BO)[10] in IUU lists can allow flag states with appropriate legislation to sentence nationals and raise the stakes for potential violators.

Most of the RFMOs surveyed except for NAFO and NEAFC have provisions for including the names of owners and BOs in IUU vessel lists.[11] However, in practice, such information is rarely supplied as a part of the evidence collection and thus rarely published. Moreover, across RFMOs, there is currently no formal definition available on what is considered a BO, making it problematic to use the information for investigating related tax frauds (Lövin, 2012[13]).

[8] Definitions of status vary by RFMO.

[9] For example, IATTC's Convention states the possibility of using "any other suitably documented information at his [the Director of the RFMO] disposal".

[10] Beneficial owner refers to the natural person(s) who ultimately* owns or controls a customer** and/or the natural person on whose behalf a transaction is being conducted. It also includes those persons who exercise ultimate effective control over a legal person or arrangement. *Reference to "ultimately owns or controls" and "ultimate effective control" refer to situations in which ownership/control is exercised through a chain of ownership or by means of control other than direct control. **This definition should also apply to beneficial owner or a beneficiary under a life or other investment linked insurance policy (FATF/OECD, 2014[28]).

[11] However, the Resolution 17/03 on Establishing a List of Vessels Presumed to Have Carried Out Illegal, Unreported and Unregulated Fishing in the IOTC Area Of Competence does not include provisions for inclusion of the name of BO.

Sharing information on the IUU activities identified, on the basis of the evidence received in the context of IUU vessel listing, can help countries improve their control over vessels in the region under management and identify which MCS measures need to be strengthened.

All the RFMOs studied in this paper, except for the GFCM, NAFO and NEAFC, report details of the IUU fishing activities of listed vessels in a transparent manner. The GFCM requires the inclusion of a "summary of activities which justify inclusion of the vessel on the IUU vessel list, together with references to all relevant evidence" in its IUU vessel list. In practice, however, this was not available to date.

3.3. Follow-up on identified non-compliance

Listing a vessel in an IUU vessel list implies a clear obligation for its flag state to institute legal proceedings, impose adequate sanctions and report to the RFMO on the steps taken to investigate and eliminate the relevant IUU activities. Evaluation of actions taken by flag state against listed vessels should allow RFMO secretariats to investigate whether their policing duties and imposed sanctions are sufficient to deter reoccurrence of similar violations in the future. However, to this date, only NEAFC has provisions for sanctioning flag states for lack of follow-up on non-compliance of vessels flying their flags.[12] Most of the acts establishing lists of IUU vessels limit the follow-up process to requesting (or "encouraging", e.g. CCAMLR) the flag state to take adequate and non-discriminatory action. None of the RFMOs list the sanctions applied to vessels by their flag states, so it is not possible to compare the actions taken by responsible countries. Only NAFO's and CCAMLR's annual reviews include information on follow-up for each identified infringement by vessel.

[12] Article 46(3) of NEAFC 2018 Scheme of Control and Enforcement notes a possibility for adopting "multilaterally agreed non-discriminatory trade related measures, consistent with the World Trade Organisation (WTO)."

Table 3.1. IUU vessel-listing practices in RFMOs

RFMO (effective date)	Adoption and implementation of IUU lists	Number of vessels currently listed*	Evidence production	Information on the BO	Information on the IUU activities	Follow-up after vessel listing
CCSBT (1994)	Provisions for IUU vessel list since 2013 (CCSBT Res from 17 October 2013); no list to date	-	CP, CNCP, external	Provisions	Provisions	Flag state is asked to take measures in accordance with the CCSBT Res from 12 October 2017
GFCM (1952)	Provisions for IUU vessel list since 2006 (GFCM 30/2006/4); first own listing from 2016*	66	CP, CNCP	Provisions	Provisions, not practised	Flag state is asked to take measures in accordance with the GFCM 33/2009/8
IATTC (1949)	Provisions for IUU vessel list since 2004 (Res C-04-04); latest new listing from 2014	14	CP, CNCP, external	Provisions	Provisions, practised	Flag state is asked to take measures in accordance with the Res C-15-01
ICCAT (1969)	Provisions for IUU vessel list since 1999 (ICCAT, 2000[14]), formal procedures since 2003 (Rec 02-23), latest new listing from 2016	102	CP, CNCP	Provisions	Provisions, practised	Flag state is asked to take measures in accordance with Rec 11-18
IOTC (1996)	Provisions for IUU vessel list since 2005 (Res 11-03), latest new listing from 2018	74	CP, CNCP, external	Limited to provisions for including owner	Provisions, scant description of IUU activities in the public record	Flag state is asked to take measures in accordance with Res 17/03
NAFO (1979)	Provisions for IUU vessel list since 2005 (GC Doc 05/03), latest listing from 2011; no own listing to date*	7	CP; only against non-cooperating parties	No provisions	No provisions for listing IUU activities	Flag state is asked to take measures in accordance with NAFO CEM 2018; follow-up on detected infringements listed case by case in compliance report (but vessels were not included on the IUU vessel list)
NEAFC (1982)	Provisions for IUU vessel list since 2004 (Rec 8:2004), latest new listing from 2012	9	CP; only against non-cooperating parties	No provisions	No provisions for listing IUU activities	Flag state is asked to take measures in accordance with NEAFC Scheme of Control and Enforcement; provisions for trade sanctions for lack of follow-up by flag states whose vessels appear on the IUU vessel list
NPFC (2015)	Provisions for IUU vessel list since 2017 (CMM 2017-02); latest new listing from 2018	27#	CP, CNCP, external	Provisions	Provisions, practised	Flag state is asked to take measures in accordance with CMM 2017-02
SEAFO (2003)	Provisions for IUU vessel list since 2006 (CM 08/06); latest new listing from 2017	25	CP, external	Provisions	Provisions, practised	Flag state is asked to take measures in accordance with CM 08/06
SIOFA (2012)	Provisions for IUU vessel list since 2016 (CMM 06-2016); latest new listing from 2018	2	CP, CNCP, external	Provisions	Provisions, practised	Flag State is asked to take measures in accordance with CMM 06-2018 (binding from 8 October 2018)
SPRFMO (2012)	Provisions for IUU vessel list since 2013 (CMM 1.04); latest new listing from 2016	3	CP, CNCP, external	Provisions	Provisions, practised	Flag state is asked to take measures in accordance with CMM 04-2017
WCPFC (2004)	Provisions for IUU vessel list since 2006 (CMM 2006-09); latest new listing from 2010	3	CP, CNCP, external	Provisions	Provisions, practised	Flag state is asked to take measures in accordance with CMM 2010-06
CCAMLR (1982)	Provisions for IUU vessel list since 2002 (10-06 2002); latest new listing from 2016	16	CP, external	Provisions	Provisions, practised	Flag state is asked to take measures in accordance with CM 10-06 2016; includes provisions for evaluating CP follow-up

Note: *State for September 3, 2018; includes cross-listed vessels if practised, more details in Section 5; #effective 17 November 2018.
Source: Based on communication with relevant RFMOs.

4. Decision-making processes in RFMOs

The validation of IUU vessel lists and other decisions related to the implementation of measures against IUU fishing lie in the hands of the RFMO members. Decision-making procedures at RFMOs are thus key to the implementation of effective measures deterring IUU fishing on a global scale. In this light, this section assesses their decision-making processes against recognised best practices (Table 4.1), particularly against the risks identified in the literature as inherent to decision processes based on consensus, and of voting systems with provisions for vetoing or opting out of conservation measures (Lodge et al., 2007[15]; Ceo et al., 2012[16]; Koehler, 2016[17]).

The advantages of consensus-based decision-making include the protection of the interests of minority views within the RFMO and the creation of a sense of ownership over the managed resource, which in principle should improve compliance (CCSBT, 2008[18]).[13] Although it is the most co-operative decision-making model, it has its limitations as, if there is misalignment of interests and competing positions, it tends to support the status quo by impeding the decision-making process (Moss Adams LPP, 2016[19]).[14] As a consequence, final recommendations tend to be toned down and not fully aligned with the original scientific advice (Allen, Joseph and Squires, 2010[3]).

Majority voting, on the other hand, treats all members equally and allows a balance to be found between conflicting objectives. However, in practice, even when procedures allow for voting, RFMOs commonly seek to reach a consensus (Morrin, 2014[20]; McDorman, 2005[21]). For example, ICCAT has not used the voting option with respect to IUU list validation to date (ICCAT Secretariat, personal communication, 28 February 2018).

Objection procedures embedded in the voting process allow states to opt-out of RFMO decisions and consequently pose a risk of undermining the adopted decision, particularly those related to allocation of fishing opportunities, and complicate the task of achieving the overarching goal of regulating harvest for sustainable use in the area of competence. In certain cases, however, objection procedures can facilitate the adoption of a CMM where only a limited number of members have signalled a difficulty with a proposed measure (McDorman, 2005[21]). They protect objecting states from being bound by decisions they do not agree with and are provided by all the RFMOs with established voting protocols.

[13] However, CCSBT notes that consensus-based management did not prevent significant overfishing and under-reporting of Southern bluefin tuna (CCSBT, 2008[18]).

[14] For example, IATTC performance review notes: “The consensus model of governance has limitations that impact the Commission’s decision-making ability.” (Moss Adams LPP, 2016[19]).

Table 4.1. Decision-making processes in RFMOs

RFMO	Procedure	Objection	Justification of the objection	Specific framework for the objection	Objection review process	Comments
CCSBT	Consensus	-	-	-	-	Rules of procedure updated in 2017.
GFCM	**Majority vote**	Allowed	**Required**	Not specified	Not specified	Agreement amended in 2014.
IATTC	Consensus	-	-	-	-	Performance Review from 2016 highlights the limitations of the IATTC's model of governance (Moss Adams LPP, 2016[19]).
ICCAT	**Majority vote**	Allowed	**Required**	**Specified**	Not specified	However, decisions are normally reached by consensus (e.g. to date voting has not been required for IUU list).
IOTC	**Majority vote**	Allowed	Not specified	Not specified	Not specified	
NAFO	**Majority vote**	Allowed	**Required**	**Specified**	**Established** (at the request of a CP)	However, decisions are normally reached by consensus. The NAFO Convention was amended in 2017.
NEAFC	**Majority vote**	Allowed	Not specified	Not specified	Not specified	Amendment on required justification of objection proposed in 2003 but not adopted to date.
NPFC	**Majority vote**	Allowed	**Required**	**Specified**	**Established** (at the request of a CP)	Some decisions require consensus, e.g. on terms and conditions for any new fisheries in the Convention Area (including allocation of fishing opportunities). Commission invites minimum two non-member experts for a requested review.
SEAFO	Consensus	-	-	-	-	Decisions on matters of substance are taken by consensus and default to consensus in case of lack of agreement on the importance of the decision.
SIOFA	Consensus	-	-	-	-	Decisions on matters of substance are taken by consensus and default to consensus in case of lack of agreement on the importance of the decision.
SPRFMO	**Majority vote**	Allowed	**Required**	**Specified**	**Established (automatic)**	However, decisions are normally reached by consensus.
WCPFC	**Majority vote**	Allowed	**Required**	**Specified**	**Established** (at the request of a CP)	However, decisions are normally reached by consensus.
CCAMLR	Consensus	-	-	-	-	

Note: Text in bold indicates best practice.
Source: Based on the review of relevant documents and communication with relevant RFMOs.

Consensus-based decision making model is adopted by CCSBT, IATTC, SEAFO, SIOFA and CCAMLR. When voting is permitted, the objection procedures take various forms. In IOTC and NEAFC,[15] the objection process is unconditional and there is no formal obligation to justify why a measure is contested. Such frameworks neither facilitate common understanding within RFMOs, nor build the trust needed to regulate jointly harvested stocks. On the other hand, the need to justify an objection promotes transparency and is required by the rules of procedure of the GFCM, ICCAT, NAFO, NPFC, SPRFMO and WCPFC.

Limiting the scope of the objection by defining a specific objection framework further eases the decision-making process. ICCAT, NAFO, NPFC, SPRFMO and WCPFC consider inconsistency with the convention or unjustified discrimination against the objecting party as the only admissible grounds for an objection. Moreover, ICCAT, NAFO, NPFC and SPRFMO require objectors to present alternative measures consistent with the objective of the debated CMM. Provisions for objection review processes are available in NAFO, NPFC SPRFMO and WCPFC, with most of these RFMOs only establishing a review panel at the request of a CP. Currently, only SPRFMO has an automatic objection review procedure in place and thus is considered to have an exemplary decision-making model in use.

5. Co-operation and sharing of information

Exchange of information between RFMOs is important to prevent vessels listed as engaged in IUU fishing in one RFMO from operating in others. The development of a centralised list of IUU vessels, or the mutual recognition of the IUU vessel lists established by each RFMO, is a cost-efficient way to exchange information and co-operate on excluding the catches of these vessels from the global seafood supply chain.[16] However, protocols for sharing IUU vessel lists currently in place are not standardised and practices vary (Table 5.1). SPRFMO is the only RFMO automatically recognising the IUU vessel lists of all other RFMOs.[17] A number of other RFMOs have provisions for cross-listing, but limited to a few RFMOs[18] or subject to conditions. In the conditional cross-listing model, vessels

[15] In 2003, the European Commission proposed amendment to the NEAFC Convention (D(2003)-11384) to require a statement of the reason for the objection (*Proposal to a NEAFC Recommendation concerning the procedures of Articles 12 and 13 of the NEAFC*). This change was not included in the amendments to the Convention that were adopted in 2006 and entered into force in 2013.

[16] For example, the latest performance review of IOTC (IOTC, 2009[26]) noted that IOTC Secretariat staff did not attend many of the meetings held by other RFMOs due to limitation of available resources.

[17] Regulation CMM 04-17 Establishing a List of Vessels Presumed to Have Carried Out Illegal, Unreported and Unregulated Fishing Activities in the SPRFMO Convention Area states "measures [against IUU fishing vessels] referred to in paragraph 14 shall apply mutatis mutandis to fishing vessels included in the final IUU list established by another RFMO and operating in the SPRFMO Convention Area."

[18] NEAFC and SEAFO have provisions for cross-listing, but these are limited to recognising each other's list and those of two other RFMOs (CCAMLR and NAFO), and not always applied in practice (e.g. CCAMLR IUU listed vessels are not on NEAFC's list; as the NEAFC Secretariat explained, CCAMLR parties were unable to agree reciprocal arrangements with NEAFC to date). NAFO recognises the IUU list of NEAFC and, because it has not listed any vessels itself, its list is based solely on vessels listed by this RFMO. In addition, NAFO has a separate list sourced from

listed by other RFMOs are cross-listed only if there is no objection raised by their member countries. Such a model is used by CCSBT, GFCM, ICCAT, IOTC,[19] NAFO, SEAFO and SIOFA.[20] In practice, however, the IUU vessel list of the CCSBT been empty since it was established in 2013. A number of RFMOs which do not practise cross-listing (CCAMLR, CCSBT, IATTC, IOTC, NPFC and SIOFA), instead reference a selection of links to other RFMOs' IUU vessel lists on their websites. WCPFC have no provisions for cross-listing nor do they communicate about other RFMOs' lists.

Table 5.1. Cross-listing of IUU vessel lists practices across RFMOs

Cross-listed ↓	CCSBT	GFCM	IATTC	ICCAT	IOTC	NAFO	NEAFC	NPFC	SEAFO	SIOFA	SPRFMO	WCPFC	CCAMLR
GFCM													
IATTC													
ICCAT													
IOTC													
NEAFC													
NPFC													
SEAFO													
SIOFA													
SPRFMO													
WCPFC													
CCAMLR													

Note: CCSBT (currently no vessels on its IUU vessel list) and NAFO (currently only vessels cross-listed from NEAFC on its IUU vessel list) have been removed from the list of cross-listed RFMOs. Light blue (■) indicates cross-listing is practised or the lists of other RFMOs are recognised. Medium blue (■) indicates reference to the list of other RFMOs (i.e. links on the website). Dark blue (■) indicates none of these.

6. Review of compliance with CMMs

The need for regular reviews of compliance with CMMs and data submission requirements is well recognised by RFMOs.[21] Compliance review processes create incentives for adherence by member countries to adopted measures by building an objective base for sanctioning. The application of sanctions when infractions are found through compliance reviews, is key to increasing the incentive to comply (Gilman and Kingma, 2013[22]). Moreover, obligations for the transparent reporting of identified non-compliance and

NEAFC, SEAFO and CCAMLR, and links to all other IUU vessel lists (with the exception of the GFCM).

[19] Provision for cross-listing has been included in the recently adopted CMM (Resolution 18/03 on establishing a list of vessels presumed to have carried out illegal, unreported and unregulated fishing in the IOTC Area of Competence). As these provisions came into force only on 4 October 2018, the practice could not be assessed.

[20] SIOFA's provisions for cross-listing came into force in October 2018 (CMM 2018-06). Thus, this report was unable to assess its practice.

[21] For example, the latest performance review of the IOTC recommends "a structured, integrated approach to evaluate the compliance of each of the Members against the IOTC Resolutions in force" (IOTC, 2009[26]). Development of a compliance monitoring system is also listed as a priority for the period 2017-20 for the Technical and Compliance Committee of the recently established NPFC.

follow-up actions, including sanctions, has a further deterrent impact on members by imposing a cost of adverse publicity. However, RFMOs vary in the extent and nature of their compliance reviews, their use of sanctions when non-compliance is identified, and their reporting to the public on detected non-compliance and follow-up actions (Table 6.1).

All of the surveyed RFMOs have established specialised compliance committees (COCs)[22] tasked with assessing how the actions of CPs and CNCPs conform to agreed CMMs. However, there is clear scope for improvement in terms of reporting the outcomes of COC meetings. Not all RFMOs publish detailed annual compliance review reports that compile data on the status of implementation of adopted CMMs by member countries.

The effectiveness and credibility of RFMOs in their fight against IUU fishing also depend on the strength of their deterrence mechanisms. Provisions allowing COCs to impose adequate sanctions embedded in the text of each CMM give RFMOs power to follow-up on identified non-compliance. Transparency on the sanctions imposed for non-compliance with CMMs and data submission requirements assures fairness of treatment between RFMO members.

However, the use of sanctions by RFMOs is not common. Only a few RFMOs have provisions for imposing sanctions on member countries for not adhering to adopted CMMs. Moreover, even when provisions are in place, the implementation and reporting does not appear systematic.[23] Among the RFMOs reviewed, there are some good practices to be recognised. ICCAT prohibits its member countries from harvesting some or all species following a lack of or incomplete reporting (Rec 11-15).[24] CCSBT can ask a member to repay its excess catch in the following year at a 1:1 ratio and it publishes summaries of corrective actions. However, to date, it has reported repayment of excess catch only twice, both times in relation to Australia (2012 and 2014). No repayment of excess catch has occurred in relation to identified non-compliance by South Africa, Indonesia or the Philippines. Several RFMOs recognise the shortcomings of their lack of clear follow-up procedures and have stated the need for improvement.[25]

[22] Or equivalent compliance review bodies.

[23] For example, IOTC Resolution 16/06 on measures applicable in case of non-fulfilment of reporting obligations establishes provisions for prohibiting CPs and CNCPs from retaining catch in the year following a lack of or incomplete reporting. However, there is no evidence of any such actions being taken in response to listed shortcomings in data provision.

[24] However, provisions to impose trade sanctions on CPs/CNCPs which do not comply with ICCAT prohibitions (Rec 06-13) have not been used to date (communication with ICCAT Secretariat).

[25] For example, the last SEAFO performance review (SEAFO, 2016[27]) states the need for the development of "procedures for follow-up on infringements detected under a system of observation, inspection, compliance and enforcement that includes standards of investigation, reporting procedures, notification of proceedings, incentives and/or sanctions and other enforcement actions."

Table 6.1. Compliance reviews, transparent reporting and sanctions across RFMOs

RFMO	Compliance review body	Compliance review – transparent reporting of identified non-compliance	Sanctions – provisions and reporting
CCSBT	Compliance Committee gathering annually since 2006, Independent Quality Assurance Review auditor	Summary note on non-compliance with CMMs, including national allocations of total allowable catch (TAC), identified by CPs and CNCPs	Summary on corrective actions taken available (indicates whether catch taken in excess of allocation was paid back)
GFCM	Compliance Committee gathering annually since 2007	Annual COC report include status of implementation of CMMs and data transmission table	Not available
IATTC	Working Group on Compliance gathering annually since 2000	No compliance report available (only minutes of the COC meetings published)	Not available
ICCAT	Compliance Committee gathering annually since 1996; COC replaced Infractions Committee established in 1982	Annual COC report includes status of implementation of CMMs and data transmission table	Provisions for prohibiting retention of catch for non-fulfilment of RFMO reporting obligations; history of corrective actions taken publicly available
IOTC	Compliance Committee gathering annually since 2003	Annual COC report includes status of implementation of CMMs and data transmission table	Provisions for prohibiting retention of catch for non-fulfilment of RFMO reporting obligations; no report on corrective actions taken
NAFO	Standing Committee on International Control gathering annually since 1979	Annual compliance review (since 2004) lists occurrences of non-compliance with CMMs with related follow-up and imposed sanctions; no data transmission table (only summary statistics)	Provisions for corrective actions for taking catch in excess of the allocated quota
NEAFC	Permanent Committee on Monitoring and Compliance gathering annually since 2016	Compliance report with details on implementation of CMM and compliance with data submission requirements by CP/CNCPs will be published in 2019	Not available
NPFC	Technical and Compliance Committee gathering annually since 2016	Report on non-compliance to be delivered (1st issue)	Provisions for prohibiting participation in fisheries managed by NPFC for non-fulfilment of RFMO reporting obligations
SEAFO	Compliance Committee gathering annually since 2008	Annual report includes only general information on compliance with TACs; no data transmission table	Not available
SIOFA	Compliance Committee gathering annually since 2017	Provisions for compliance reporting available in CMM 2018/11; publication of compliance report planned for 2019	Provisions for corrective actions
SPRFMO	The SPRFMO Commission adopts a compliance report since 2016	Final Compliance Report identifies non-compliance with CMMs and data submission requirements by CP/CNCP (only report from 2016 available; 2017 report not published)	Not available
WCPFC	Technical and Compliance Committee gathering annually since 2005	Final Compliance Monitoring Reports identify non-compliance with CMMs and data submission requirements by CP/CNCP (since 2011)	Not available
CCAMLR	Standing Committee on Implementation and Compliance (SCIC) annually since 2003; SCIC replaced Standing Committee on Observation and Inspection (SCOI) established in 1988	CCAMLR Compliance Report (annex to the annual meeting report) identifies non-compliance with CMMs (including data reporting) by CP/CNCP	Not available

Source: More details available in Table A.2 of Annex A.

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Annex A. Evaluation methodology

The criteria for quantitative assessment of RFMOs are available in Table A.1. Each evaluated component was assigned a numerical score of maximum 1 according to the transparent key contained in the columns "Justification". For each category, scores were aggregated as a weighted average, with the weights provided in (Column "W"). The final score represents a measure of implementation of a selection of measures intended to deter IUU fishing in percentage terms for each RFMO.

All information gathered on RFMOs, together with evaluation results presented in column "Score", is available in Table A.2.

Table A.1. Evaluation criteria on implementation of internationally recognised measures against IUU fishing at regional level by RFMOs

Category	Criteria	W	Justification
MSC minimum standards	Registry of authorised vessels	3	(1) Provisions: Reference to a document establishing a registry of authorised vessels (2) Provisions: Authorisation of a vessel requires IMO number (3) Practice: Registry is available to the public (link to the registry)
	Catch documentation scheme	1	MSC minimum standards established – provide reference to a relevant CMM
	Vessel monitoring System	2	(1) MSC minimum standards established – provide reference to a relevant CMM (2) VMS is centrally administered, i.e. VMS data is being fed directly to the RFMO's Secretariat
	Inspections at sea	1	MSC minimum standards established – provide reference to a relevant CMM (0.5 if spatially limited)
	Observer programme	1	MSC minimum standards established – provide reference to a relevant CMM (or alternative measure with the purpose of on-board monitoring for compliance, e.g. on-board cameras) (0.5 if observer program is established only for scientific purpose)
	Transhipment monitoring programme	1	MSC minimum standards established – provide reference to a relevant CMM
	Inspections in port	1	MSC minimum standards established – provide reference to a relevant CMM
	Designation of landing ports	2	(1) Provisions: Reference to relevant CMM (2) Practice: List of designated ports is available to the public (link to the list)
IUU vessel listing	Document	1	Reference to a relevant resolution
	Link	-	Link to IUU vessel list (not scored, for information)
	Coverage	1	IUU vessel list covers both members (CPs and CNCPs) non-members
	Evidence	1	(1) Evidence of IUU activities delivered to the Secretariat by CP or CNCP (0.5 if CP only). (2) Evidence of IUU activities delivered to the Secretariat by other external sources at the disposal of the Secretariat.
	BO	1	Collection of information on beneficial ownership considered in the relevant resolution
	Listing justification	2	(1) Provisions: Provisions for publishing a description of the IUU activity available (2) Practice: Description of IUU activity available in the IUU vessel list
	Follow-up	4	(1) Information on measures to be applied by CP or CNCP to vessel listed in the relevant resolution (2) Specific mention of trade measures (e.g. prohibition of trade/import of fish from IUU vessels) in the relevant resolution (3) Information on sanctions applied to listed vessels (e.g. included in the published IUU vessel list) (4) Mandate to sanction the flag state for lack of follow-up on non-compliance of a vessel flying its flag (e.g. through fines, loss of quota or loss of voting rights, trade measures)
Decision-making	Document	1	Reference to a relevant resolution
	Voting	1	Voting is allowed (0 if decision-making process is based on consensus)
	Objection	1	If voting is allowed, there are no provisions for objection (0 if the resolution allows for an objections of a decision)

	Justification of the objection	1	If objection is allowed, it requires justification (or if no objection is allowed)
	Framework of the objection	1	The objection is allowed only within certain framework (or if no objection is allowed)
	Review panel	1	Objection is followed by an establishment of a review panel. 1 if establishment of a panel is automatic, 0.5 if panel is established at the request of a CP (or if no objection is allowed)
Co-operation	Co-operation	1	Provisions for co-operation with other RFMOs available in the relevant resolution (0.5 if limited to just few RFMOs)
	Cross-listing	2	(1) Provisions: Provisions for cross-listing with other RFMOs established in the relevant resolution (0.5 if these provisions are conditional or limited). (2) Practice: IUU vessel list includes entries from other RFMOs (0.5 if IUU lists of other RFMOs linked to the page). Alternatively, other IUU vessel lists are automatically recognised following the relevant resolution
Compliance review	Compliance review body and related documents	1	Provisions for regular review of compliance with CMMs by CP/CNCP and establishment of compliance review body (e.g. Compliance Committee in place)
	Summary (implementation of CMMs)	1	Summary of identified non-compliance with CMMs by CP/CNCP (0.5 if out-of-date or self-reported, i.e. submitted directly by CPs/CNCPs)
	Summary (data collection)	1	Summary of identified non-compliance with data submission requirements by CP/CNCP (0.5 if out-of-date or self-reported, i.e. submitted directly by CPs/CNCPs)
	Sanctions	2	(1) Provisions to impose sanctions on CP/CNCP for non-compliance with CMMs and data submission requirements (2) Transparency on imposed sanctions for non-compliance with CMMs and data submission requirements by CP/CNCP (e.g. fines, lost quota, lost voting rights, trade measures)

Table A.2. Information on implementation of internationally recognised measures against IUU fishing at regional level by RFMOs

Category	Criteria	Score	Justification
CCSBT			
MSC minimum standards	Registry of authorised vessels	3	(1) Resolution on a CCSBT Record of Vessels Authorised to Fish for Southern Bluefin Tuna (revised at the Twenty-Second Annual Meeting: 15 October 2015) (2) Paragraph 3 (from 2017) (3) Registry is available to the public (https://www.ccsbt.org/en/content/ccsbt-record-authorised-vessels)
	Catch documentation scheme	1	Resolution on the Implementation of a CCSBT Catch Documentation Scheme (revised at the Twenty-First Annual meeting: 16 October 2014)
	Vessel monitoring System	1	(1) Resolution on establishing the CCSBT Vessel Monitoring System (2017) [1] (2) Includes minimum standards, managed by countries individually [0]
	Inspections at sea	0	Not available
	Observer programme	0.5	CCSBT Scientific Observer Program Standards (revised 2015) - for scientific purpose only [0.5]
	Transhipment monitoring programme	1	Resolution on Establishing a Program for Transhipment by Large-Scale Fishing Vessels (2017)
	Inspections in port	1	Resolution for a CCSBT Scheme for Minimum Standards for Inspection in Port (effective from 2017)
	Designation of landing ports	2	(1) Resolution for a CCSBT Scheme for Minimum Standards for Inspection in Port (2) https://www.ccsbt.org/en/content/ccsbt-register-designated-ports-and-contacts
IUU vessel listing	Document	1	Resolution on Establishing a List of Vessels Presumed to have Carried Out Illegal, Unreported and Unregulated Fishing Activities For Southern Bluefin Tuna (SBT) (revised at the 24th Annual Meeting, 12 October 2017)
	Link	-	https://www.ccsbt.org/en/content/iuu-vessel-lists (but no vessels listed by CCSBT to this date)
	Coverage	1	Paragraph 1: "At each annual meeting, the Extended Commission will identify those vessels which have engaged in fishing activities for SBT in a manner which has undermined the effectiveness of the Convention and the CCSBT measures in force. […]"
	Evidence	2	(1) Paragraph 3: "For the purposes of this Resolution, the vessels are presumed to have carried out SBT IUU fishing activities, inter alia, when a Member or CNM presents suitably documented evidence […]" (2) Paragraph 5e: "Any other information obtained from port States or entities and/or gathered from the fishing grounds that is suitably documented."
	BO	1	ANNEX III: Information to be Included in all CCSBT IUU Vessel Lists, point iii: "Owner / Beneficial Owner/s (previous owner/s, if any), and owner's place of registration (if any)"
	Listing justification	1	(1) Annex III(ix): "Summary of the activities which justify inclusion of the vessel on the List, together with references to all relevant supporting documents and evidences" [1] (2) No record of listed vessels [0]
	Follow-up	2	(1) Paragraph 18: "Members and CNMs shall take all necessary non-discriminatory measures" [1]

			(2) Paragraph 18(g): "Ensure that SBT from vessels included in the CCSBT IUU Vessel List are not landed, farmed, transhipped and/or traded internationally and and/or domestically " [1] (3) Not available [0] (4) Not available [0]
Decision-making	Document	1	Text of the Convention for the Conservation of Southern Bluefin Tuna (entered into force on 20 May 1994) (Rules of Procedure of the Commission for the Conservation of Southern Bluefin Tuna; Updated October 2017)
	Voting	0	Article 7: "Each Party shall have one vote in the Commission. Decisions of the Commission shall be taken by a unanimous vote of the Parties present at the Commission meeting."
	Objection	0	NA
	Justification of the objection	0	NA
	Framework of the objection	0	NA
	Review panel	0	NA
Co-operation	Co-operation	1	CMM on IUU vessel list, par 19: "[…] the Executive Secretary will transmit the CCSBT IUU Vessel List to appropriate regional fisheries organisations for the purposes of enhanced co-operation between CCSBT and these organisations in order to prevent, deter and eliminate IUU fishing."
	Cross-listing	1	(1) CMM on IUU vessel list, par 20: "The Extended Commission may consider cross-listing IUU vessel lists with all other tuna Regional Fisheries Management Organisations and relevant organisations on a case by case basis as agreed by the Extended Commission" [0.5] (2) Other RFMOs linked to the page (https://www.ccsbt.org/en/content/iuu-vessel-lists) [0.5]
Compliance review	Compliance review body and related documents	1	Compliance Committee gathers annually since 2006 (https://www.ccsbt.org/en/content/reports-past-meetings); The Corrective Action Policy (2016) regulates publicizing non-compliance data and sanctions; CCSBT publishes summary document "Non-compliance with National Allocations of the global TAC for Southern Bluefin Tuna" ; Quality Assurance Review of 1-2 Members each year by independent auditor to assess how well Members' management systems function with respect to their CCSBT obligations and to provide recommendations on where improvement is needed; Annual report by Secretariat on Compliance with CCSBT Measures (available on request).
	Summary (implementation of CMMs)	1	Non-compliance with national allocations of TAC identified by CPs and CNCPs
	Summary (data collection)	1	Compliance with submission of monthly catch reports available in compliance with CCSBT Management Measures document (CCSBT-CC/1710/04), which is available upon request
	Sanctions	2	(1) The Corrective Action Policy (last updated in 2018) gives guidelines for corrective actions (2) Summary of corrective actions available

GFCM			
MSC minimum standards	Registry of authorised vessels	2	(1) Recommendation GFCM/33/2009/5 on the establishment of the GFCM regional fleet register [1] (2) Resolution GFCM/41/2017/6 on the application of an International Maritime Organization number (from 2019); optional under GFCM/33/2009/5 [0] (3) http://www.fao.org/gfcm/data/fleet-avl/en/ [1]
	Catch documentation scheme	0	Limited to catch reporting standards- Recommendation GFCM/35/2011/1 concerning the establishment of a GFCM logbook, amending Recommendation GFCM/34/2010/1
	Vessel monitoring System	1	(1) Resolution GFCM/38/2014/1 on Guidelines on VMS and related control systems in the GFCM area of competence [1] (2) Res GFCM/38/2014/1, par 6: "[…] the GFCM Secretariat will establish a central VMS that will play a multi-faceted role […]" This has been explained by the GFCM Secretariat in the following way: (a) Countries with a FMC in place shall be in the position to receive VMS data from relevant transponder providers' gateways, thus being the first party to process such information through national monitoring IT platforms. These will be able to relay either real-time or deferred data to the regional VMS in line with regional standards in place; (b) Countries still devoid of a FMC will be able to install transponder units on respective fleets: in this case, the regional VMS will retrieve transponder data in their native formats, process relevant information and provide such CP/CNCPs with online consultation means. This implies that data can be still processed by CP/CNCP [0]
	Inspections at sea	0.5	Recommendation GFCM/41/2017/8 on an international joint inspection and surveillance scheme outside the waters under national jurisdiction in the Strait of Sicily (geographical subareas 12 to 16; following the communication with the GFCM Secretariat, more schemes could be adopted in the future (both regional and sub-regional schemes) – limited area [0.5]
	Observer programme	0	Art 9 of the draft GFCM Recommendation on a regional plan of action to combat illegal, unreported and unregulated fishing in the GFCM area of application mentions observers, but no measures in place
	Transhipment monitoring programme	1	Recommendation [05-06] establishing a programme for transhipment by large-scale longline fishing vessels (GFCM/2006/8 (C))
	Inspections in port	1	Rec. GFCM/40/2016/1 on a regional scheme on port State measures to combat illegal, unreported and unregulated fishing activities in the GFCM area of application
	Designation of landing ports	2	(1) Rec. GFCM/40/2016/1 on a regional scheme on port State measures to combat illegal, unreported and unregulated fishing activities in the GFCM area of application (2) http://www.fao.org/gfcm/data/ports

IUU vessel listing	Document	1	Recommendation GFCM/33/2009/8 on the establishment of a list of vessels presumed to have carried out IUU fishing in the GFCM area of application repealing Recommendation GFCM/30/2006/4
	Link	-	http://www.fao.org/gfcm/data/fleet-iuu-vessel-list/en/
	Coverage	1	Par 1: "For the purpose of this recommendation, the fishing vessels flying the flag of a non-contracting party, contracting party or cooperating non-contracting party are presumed to have carried out IUU fishing activities in the GFCM area of application […]"
	Evidence	1	(1) Par 1: "[…] contracting party or cooperating non-contracting party (CPC) presents evidence […]"; Par 3: "CPCs shall transmit every year to the GFCM Executive Secretary […] information […]" [1] (2) Par 4: "On the basis of the information received pursuant to paragraph 3, the GFCM Executive Secretary shall draw up a draft IUU vessel list" [0]
	BO	1	Information to be included in all IUU vessel lists:, point 3 "Name and address of owner(s) of vessel and previous owner(s), including beneficial owner(s), and owner's place of registration"
	Listing justification	1	(1) Annex 1(9): "Summary of activities which justify inclusion of the vessel on the IUU vessel list, together with references to all relevant evidence" [1] (2) No description of IUU activity available in the IUU vessel list [0]
	Follow-up	2	(1) Paragraph 12(b): "take all necessary measures to eliminate the relevant IUU fishing activities including, as appropriate, the cancellation of the registration and/or the fishing license(s) of these vessels, and inform the GFCM Secretariat of the measures taken." [1] (2) Paragraph 14(d): "prohibit the imports, or landing and/or transhipment, of any fish from vessels included in the IUU vessel list" [1] (3) Not available [0] (4) Not available [0]
Decision-making	Document	1	Agreement for the Establishment of the General Fisheries Commission for the Mediterranean (fourth amendment 2014)
	Voting	1	Article 13(1): "The recommendations referred to in Article 8(b), shall be adopted by a two-thirds majority of the Contracting Parties of the Commission present and voting. […]"
	Objection	0	Article 13(3): "Any Contracting Party of the Commission may, within one hundred and twenty days from the date of notification of a recommendation, object to it and, in that event, shall not be under obligation to give effect to that recommendation. […]"
	Justification of the objection	1	Article 13(3): "[…] The objection should include a written explanation of reasons for objecting, and where appropriate, proposals for alternative measures. […]"
	Framework of the objection	0	Not specified
	Review panel	0	Not specified
Co-operation	Co-operation	1	GFCM/33/2009/8, par 15 "[…]The GFCM Executive Secretary shall transmit the IUU vessel list to other regional fishery bodies as appropriate for the purpose of enhanced cooperation between the GFCM and these organizations in order to prevent, deter and eliminate IUU fishing."
	Cross-listing	1.5	(1) GFCM/33/2009/8, par 16: "Upon receipt of an IUU vessel list adopted by another regional fisheries management organization (RFMO) and any information regarding such list, the GFCM Executive Secretary shall circulate this information to the contracting parties and ensure it appears on the GFCM website. Vessels that have been added or deleted from such lists shall be incorporated into or deleted from the GFCM IUU vessel list as appropriate, unless any CPC objects […]" [0.5] (2) IUU vessel list includes entries from other RFMOs [1]

Compliance review	Compliance review body and related documents	1	Compliance Committee gathers annually since 2007 (http://www.fao.org/gfcm/meetings/en/); latest annual report available: Report of the eleventh session of the Compliance Committee Rome, Italy, 29–30 June 2017
	Summary (implementation of CMMs)	1	Status of implementation of GFCM decisions in the annual compliance report
	Summary (data collection)	1	Data transmission table in the annual compliance report
	Sanctions	0	(1) Not available (2) Not available
IATTC			
MSC minimum standards	Registry of authorised vessels	3	(1) Resolution C-14-01 (Amended) on a Regional Vessel Register (2) Paragraph 2(p) (from 2016) (3) Registry is available to the public (https://www.iattc.org/VesselRegister/VesselList.aspx?List=RegVessels&Lang=ENG)
	Catch documentation scheme	0.5	The IATTC Bigeye Statistical Documentation Program (Resolution C-03-01) is the only related measure (ISSF, 2016[9]) [0.5]
	Vessel monitoring System	1	(1) Resolution C-14-02 (Amended) on the Establishment of a Vessel Monitoring System (VMS) (since 2016) [1] (2) Res C-14-02, par 2(b): "The information in paragraph 2.a) above shall be collected at least every four hours for longliners and two hours for other vessels by the land-based Fisheries Monitoring Centre (FMC) of the flag CPC." [0]
	Inspections at sea	0	Measure proposed in 2016 (Proposal IATTC-90 H-1 Rev.1 on Resolution on Boarding and Inspection Procedures), but withdrawn
	Observer programme	0.5	Resolution C-11-08 on Scientific Observers for Longline Vessels – for scientific purpose only [0.5]
	Transhipment monitoring programme	1	Resolution C-12-07 Amendment to Resolution C-11-09 on Establishing a Program for Transhipment by Large-scale Fishing Vessels
	Inspections in port	0	Not in place (Fabra et al., 2011[23]); no new measures on port inspections found to this date
	Designation of landing ports	0	(1) IATTC has not include any obligation for port States to designate ports for entry of vessels (Fabra et al., 2011[23]); no new measures on designation of landing ports found (2) List not available

IUU vessel listing	Document	1	Resolution C-15-01: Amendment to Resolution C-05-07 on Establishing a List of Vessels Presumed to Have Carried Out Illegal, Unreported and Unregulated Fishing Activities in the Eastern Pacific Ocean
	Link	-	https://www.iattc.org//VesselRegister/IUU.aspx?Lang=en
	Coverage	1	Paragraph 1: "At each Annual Meeting, the Commission shall identify those vessels that have participated in fishing activities for species covered by the IATTC Convention in the Convention Area in a manner that undermines the effectiveness of the Convention and the IATTC Conservation measures in force […]"
	Evidence	2	(1) Paragraph 3: "[…] vessels fishing for species covered by the IATTC Convention within the IATTC Convention Area are presumed to have carried out IUU fishing activities when an IATTC Member or cooperating non-Member (collectively "CPCs") presents suitably document information […]" (2) Paragraph 6: "On the basis of the information received pursuant to paragraph 4, and any other suitably documented information at his disposal, the Director shall draw up a draft IATTC IUU Vessel List […]"
	BO	1	Paragraph 7(iii): "Name and address of owner of vessel and previous owners, including beneficial owners, if any, and owner's place of registration;"
	Listing justification	2	(1) Annex A; B. Details of Alleged IUU Activity (2) Description of IUU activity available in the IUU vessel list
	Follow-up	2	(1) Paragraph 15: "Once the IATTC IUU Vessel List is adopted by the Commission, the Commission shall ask non-Members with vessels on the IATTC IUU Vessel List to take all the necessary measures to eliminate these IUU fishing activities, including, if necessary, the withdrawal of the registration or the fishing licenses of these vessels, and to inform the Commission of the measures taken in this respect. The Director shall ask each CPC and non-CPC with vessels on the Final IUU List to notify the owners of the vessels of their inclusion in the list and of the consequences of the vessels being included in the IATTC IUU list." [1] (2) Paragraph 16(f): "prohibit commercial transactions1, imports, landings and/or transhipment of species covered by the IATTC Convention from vessels on the IATTC IUU Vessel List; " [1] (3) Not available [0] (4) Not available [0]
Decision-making	Document	1	Inter-American Tropical Tuna Commission Convention for the Strengthening of the Inter-American Tropical Tuna Commission Established by the 1949 Convention between the United States of America and the Republic of Costa Rica ("Antigua Convention")
	Voting	0	Article IX(1): "Unless provided otherwise, all decisions made by the Commission at meetings convened pursuant to Article VIII of this Convention shall be by consensus of members of the Commission present at the meeting in question." "The consensus model of governance has limitations that impact the Commission's decision-making ability." (Moss Adams LPP, 2016[19])
	Objection	0	NA
	Justification of the objection	0	NA
	Framework of the objection	0	NA
	Review panel	0	NA
Co-operation	Co-operation	1	Res C-15-01, par 17: "Furthermore, the Director shall transmit the IATTC IUU Vessel List as soon as possible to other regional fisheries management organizations (RFMOs) for the purposes of enhancing co-operation between the IATTC and these organizations aimed at preventing, deterring and eliminating IUU fishing."

	Cross-listing	0.5	(1) Res C-15-01, par 18: "Upon receipt of the final IUU vessel list established by another RFMO managing tuna or tuna-like species and supporting information considered by that RFMO, and any other information regarding the listing determination, the Director shall circulate this information to the CPCs." (no provisions for cross-listing) [0] (2) Other RFMOs linked to the page (https://www.iattc.org/Otras-INN-listas-Other-IUU-list.htm) [0.5]
Compliance review	Compliance review body and related documents	1	Working Group on Compliance gathers annually since 2000 (https://www.iattc.org/Minutes/IATTC-AIDCP-Minutes-ReportsENG.htm); it publishes only minutes of the meetings; Note: the IATTC has established a Compliance Committee, but it is unclear what action the Commission has directed based on information provided by the Committee (Moss Adams LPP, 2016[19]).
	Summary (implementation of CMMs)	0	No compliance report available
	Summary (data collection)	0	No compliance report available
	Sanctions	0	(1) Not available (2) Not available
ICCAT			
MCS minimum standards	Registry of authorised vessels	3	(1) Rec 13-13 Concerning the Establishment of an ICCAT Record of Vessels 20 Meters in Length Overall or Greater Authorised to Operate in the Convention Area (Additional provisions in Rec. 13-14, Rec. 14-04, Rec 14-10, Rec 16-01, Rec 16-03, Rec 16-04, Rec. 16-05, Rec 16-06, Rec 16-07, Rec 16-15) (2) Rec 13-13, Par 5bis (from 2016) (3) Registry is available to the public (https://www.iccat.int/en/vesselsrecord.asp)
	Catch documentation scheme	0.5	Recommendation by ICCAT amending Recommendation 09-11 on an ICCAT Bluefin Tuna Catch Documentation Program (Rec 11-20); The Panel recommends that ICCAT works towards replacing all statistical documentation programmes with electronic catch documentation programmes that are harmonized among tuna RFMOs where appropriate - in particular for bigeye tuna - while taking account of the envisaged FAO Voluntary Guidelines on Catch Documentation Schemes (ICCAT, 2016[7]) [0.5]
	Vessel monitoring System	1	(1) Rec 14-09 Concerning Minimum Standards for the Establishment of a Vessel Monitoring System in the ICCAT Convention Area (2) Rec 14-09, par 1(b): "require its fishing vessels to be equipped with an autonomous system able to automatically transmit a message to the Fisheries Monitoring Center (hereinafter referred to as FMC) of the flag CPC allowing continuous tracking of the position of a fishing vessel by the CPC of that vessel." [0]
	Inspections at sea	1	Rec 14-04, Rec 16-05 "Inspections shall be carried out by inspectors designated by the Contracting Governments." There also a list of designated inspection vessels, but need access.
	Observer programme	1	Multiple documents: Rec 04-10, Rec 10-07, Rec 11-08, Rec 13-14, Rec 14-04, Rec 15-01, Rec 15-05
	Transhipment monitoring programme	1	Rec 16-15 on Transhipment
	Inspections in port	1	Rec 12-07 by ICCAT for an ICCAT Scheme for Minimum Standards for Inspection in Port
	Designation of landing ports	2	(1) Rec 12-07 for an ICCAT Scheme for Minimum Standards for Inspection in Port (2) https://www.iccat.int/en/Ports.asp
IUU vessel listing	Document	1	Recommendation 11-18 by ICCAT Further Amending Recommendation 09-10 Establishing a List of Vessels Presumed to Have Carried Out Illegal, Unreported and Unregulated Fishing Activities in the ICCAT Convention Area
	Link	-	http://www.iccat.int/en/IUU.asp

	Coverage	1	Paragraph 22: "This Recommendation shall apply *mutatis mutandis* to vessels referred to in paragraph 12 flying the flag of CPCs." Note: The recommendation is somewhat confusing, as paragraph 2 states "CPCs shall transmit every year to the Executive Secretary at least 120 days before the annual meeting, the list of vessels flying the flag of a non-Contracting Party presumed to be carrying out IUU fishing activities in the Convention Area during the current and previous year, accompanied by the supporting evidence concerning the presumption of IUU fishing activity." This follows from the fact, that the original measure adopted in 2002 (Rec 02-23) was exempting contracting parties. This was amended in 2006 (Rec 06-12).
	Evidence	1	(1) Paragraph 2: "CPCs shall transmit every year to the Executive Secretary at least 120 days before the annual meeting, the list of vessels flying the flag of a non-Contracting Party presumed to be carrying out IUU fishing activities in the Convention Area during the current and previous year, accompanied by the supporting evidence concerning the presumption of IUU fishing activity. […]" [1] (2) Paragraph 3: "On the basis of the information received pursuant to paragraph 2, the ICCAT Executive Secretary shall draw up a Draft IUU List. […]" [0]
	BO	1	Annex 1, point iii: "Name and address of owner of vessel and previous owners, including beneficial owners, and owner's place of registration"
	Listing justification	2	(1) Annex 1, point ix: "Summary of activities which justify inclusion of the vessel on the List, together with references to all relevant documents informing of and evidencing those activities" (2) Description of IUU activity available in the IUU vessel list
	Follow-up	2	(1) Paragraph 9: "CPCs shall take all necessary measures, under their applicable legislation: […]" [1] (2) Paragraph 9(7): "To prohibit the imports, or landing and/or transhipment, of tuna and tuna-like species from vessels included in the IUU list;" [1] (3) Not available [0] (4) Not available [0]
Decision-making	Document	1	International Commission for the Conservation of Atlantic Tunas Basic Text, 6th revision, 2017 Resolution 12-11 Regarding the Presentation of Objections in the Context of Promoting Effective Conservation and Management Measures Adopted by ICCAT
	Voting	1	Article III.3: "Except as may otherwise be provided in this Convention, decisions of the Commission shall be taken by a majority of the Contracting Parties, each Contracting Party having one vote. […]" Rule 9.1: "Each member shall be entitled to one vote."
	Objection	0	Article VIII, paragraph 3(a): "(a) If any Contracting Party in the case of a recommendation made under paragraph 1(b)(i) above, or any Contracting Party member of a Panel concerned in the case of a recommendation made under paragraph 1(b)(ii) or (iii) above, presents to the Commission an objection to such recommendation"
	Justification of the objection	1	Res 12-11, par 2: "Each Contracting Party that presents an objection pursuant to Article VIII of the Convention should provide to the Commission, at the time of presenting its objection, the reasons for its objection […]
	Framework of the objection	1	Res 12-11, par 2: "[objection] based on, *inter alia*, the following grounds: • The recommendation is inconsistent, with UNCLOS, the UN Fish Stocks Agreement, the ICCAT Convention or another ICCAT recommendation still in effect; • The recommendation unjustifiably discriminates in fact or law against the objecting Contracting Party; • The recommendation is inconsistent with a domestic measure that pursues compatible conservation and management objectives and that is at least as effective as the recommendation." Res 12-11, par 3: "Each Contracting Party that presents an objection pursuant to Article VIII of the Convention should, at the same time, to the extent applicable, specify to the Commission the alternative management and conservation measures consistent with the objectives of the Convention it proposes to adopt and implement."
	Review panel	0	Not specified

Co-operation	Co-operation	1	Rec 11-18, par 10: "[…] Furthermore, the ICCAT Executive Secretary will transmit the IUU Vessels List to other regional fisheries organizations for the purposes of enhanced co-operation between ICCAT and these organizations in order to prevent, deter and eliminate illegal, unreported and unregulated fishing."
	Cross-listing	1.5	(1) Rec 11-18, par 11: "[…] Vessels that have been included on or deleted from the respective lists shall be included on or deleted from the ICCAT IUU Vessel List as appropriate, unless any Contracting Party objects to the inclusion on the final ICCAT IUU list […]" [0.5] More details in separate Res 14-11 Establishing Guidelines for the Cross-listing of Vessels Contained on IUU Vessel Lists of Other Tuna RFMOs on the ICCAT IUU Vessel List in Accordance with Recommendation 11-18 [0.5] (2) IUU vessel list includes entries from other RFMOs; other RFMOs lists linked to the page [1]
Compliance review	Compliance review body and related documents	1	Conservation and Management Measures Compliance Committee holds annual meetings (https://www.iccat.int/en/Meetings.asp); Note: "In its annual process the COC is now examining each CPC to assess how its actions conform to ICCAT measures. In that respect, the COC is following-up on the issue of "infringements" that the 2008 review identifies. The COC, through its Chair, addresses a letter of compliance where warranted to those CPCs in breach of ICCAT measures." (ICCAT, 2016[7])
	Summary (implementation of CMMs)	1	Reports from Compliance Committee meetings (e.g. Doc. No. COC-303 / 2017) summarize occurrences of non-compliance, e.g. overharvest.
	Summary (data collection)	1	Reports from Compliance Committee meetings include partial data on timeliness of required data submissions
	Sanctions	2	(1) Provisions in Rec 11-15 on penalties applicable in case of non-fulfilment of reporting obligations ("CPCs that do not report Task I data, including zero catches, for one or more species for a given year, in accordance with SCRS data reporting requirements, shall be prohibited from retaining such species as of the year following the lack or incomplete reporting until such data have been received by the ICCAT Secretariat."). Moreover, under Rec 06-13, ICCAT has the ability to impose trade sanctions on CPCs which do not comply with its measures. (2) History of prohibitions applied under Rec 11-15 available in Annex 7 of Doc. No. COC-303 / 2017. No trade sanctions have been imposed to date (communication with the ICCAT Secretariat).
IOTC			
MCS minimum standards	Registry of authorised vessels	3	(1) Resolution 15/04 Concerning the IOTC Record of Vessels Authorised to Operate in the IOTC Area of Competence (2) Resolution 15/04, paragraph 2(b) – since 2016 (3) Registry is available to the public (http://www.iotc.org/vessels/current)
	Catch documentation scheme	0.5	IOTC does not have a CDS, but there is a statistcal document programme for bigeye tuna (Resolution 01/06 on the Bigeye Tuna Statisical Document Programme) which has some controling elements of a CDS [0.5] Other relevant documents include: Resolution 15/01 On the Recording of Catch and Effort by Fishing Vessels in the IOTC Area of Competence and Resolution 15/02 Mandatory Statistical Requirements for IOTC Members
	Vessel monitoring System	1	(1) Resolution 15/03 On the Vessel Monitoring System (VMS) Programme [1] (2) Res 15/03, par 6: "Each CPC shall take the necessary measures to ensure that their land-based national Fisheries Monitoring Center (FMC) receives through the VMS" [0]
	Inspections at sea	0	Not available
	Observer programme	0.5	Resolution 11/04 On a Regional Observer Scheme - only a scientific mandate; additionally, there is an observer programme for transhipment (Resolution 17/06 On establishing a Programme for Transhipment by Large-scale Fishing Vessels) [0.5]
	Transhipment monitoring programme	1	Resolution 17/06 On Establishing a Programme for Transhipment by Large-scale Fishing Vessels
	Inspections in port	1	Resolution 10/11 on Port State Measures to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated fishing

	Designation of landing ports	2	(1) Resolution 10/11 on Port State Measures to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated fishing (2) http://www.iotc.org/compliance/port-state-measures
IUU vessel listing	Document	1	Resolution 17/03 on Establishing a List of Vessels Presumed to Have Carried Out Illegal, Unreported and Unregulated Fishing in the IOTC Area Of Competence
	Link	-	http://www.iotc.org/vessels#iuu
	Coverage	1	Paragraph 2: "This Resolution applies to vessels, together with their Owners, Operators and Masters that undertake fishing and fishing related activities, for species covered by the IOTC Agreement, or by IOTC Conservation and Management Measures, within the IOTC area of competence (IOTC Area)."
	Evidence	2	(1) Paragraph 4: "For the purposes of this Resolution a vessel is presumed to have engaged in IUU fishing activities when a Contracting Party or Cooperating Non-Contracting Party (hereinafter referred to as "CPCs") has provided information […]" (2) Paragraph 7: "When the IOTC Executive Secretary receives information and intelligence from third parties indicating alleged IUU fishing activities, the IOTC Executive Secretary shall transmit the information to the flag State of the vessel and each CPC. […]"
	BO	0.5	Not included in Annex II: Information to be included in all IOTC IUU vessels lists; only included "Owner (previous Owner/s, if any)" [0.5]
	Listing justification	1.5	(1) Annex 1, point ix: "Summary of activities which justify inclusion of the vessel on the List, together with references to all relevant documents informing of and evidencing those activities" [1] (2) IUU activities often listed as "Contravention of IOTC Resolution 11/03", without providing further details on infraction [0.5]
	Follow-up	2	(1) Paragraph 21: "A CPC shall take all necessary measures, in accordance with its legislation […]" [1] (2) Paragraph 21(f): "to prohibit the import, landing or transhipment, of tuna and tuna-like species from vessels included in the IUU Vessel List" [1] (3) Not available [0] (4) Not available [0]
Decision-making	Document	1	Agreement for the Establishment of the Indian Ocean Tuna Commission (1996)
	Voting	1	Article VI(2): "Each Member of the Commission shall have one vote. Unless otherwise provided in this Agreement, decisions and recommendations of the Commission shall be taken by a majority of the votes cast. A majority of the Members of the Commission shall constitute a quorum."
	Objection	0	Article IX(5): "Any Member of the Commission may, within 120 days from the date specified or within such other period as may be specified by the Commission under paragraph 4, object to a conservation and management measure adopted under paragraph 1. […]"
	Justification of the objection	0	Not specified
	Framework of the objection	0	Not specified
	Review panel	0	Not specified

Co-operation	Co-operation	1	Paragraph 29: "[…] Furthermore, the IOTC Executive Secretary shall transmit the IUU Vessel List as soon as possible to the FAO and to other regional fisheries management organisations for the purposes of enhanced co-operation between IOTC and these organisations in order to prevent, deter and eliminate IUU fishing"
	Cross-listing	1	(1) Cross-listing not mentioned in the resolution 17/03. However, provision for cross-listing has been included in the recently adopted CMM (Resolution 18/03), which came into force on 4 October 2018: "Vessels that have been included in the IUU vessel lists of the organisations set out in paragraph 31 shall be included in the IOTC IUU Vessel List, unless any CPC objects to the inclusion […]". [0.5] (2) IUU lists of other RFMOs linked to the page: http://www.iotc.org/vessels#iuu [0.5]
Compliance review	Compliance review body and related documents	1	Compliance Committee gathers annually since 2003 (http://www.iotc.org/meetings/search?s=&field_meeting_tid_i18n=110);latest report; latest annual report available: Report of the 15th Session of the Compliance Committee. Bangkok, Thailand 13–15 and 17 May 2018 Resolution 07/01 to Promote Compliance by Nationals of Contracting Parties and Cooperating Non-contracting Parties with IOTC Conservation and Management Measures Resolution 15/02 Mandatory Statistical Reporting Requirements for IOTC Contracting Parties and Cooperating Non-contracting Parties (CPC's)
	Summary (implementation of CMMs)	1	IOTC compliance reports include review of implementation of CMMs by CP/CNCP
	Summary (data collection)	1	IOTC compliance reports include assessment of compliance with data submission requirements by CP/CNCP; list of available documents of the Compliance Committee includes: Implementation of reporting obligations of nominal catch data (IOTC Resolution 16/06)
	Sanctions	1	(1) Resolution 16/06 on measures applicable in case of non-fulfilment of reporting obligations in the IOTC: "[…] the Commission […] may consider to prohibit CPCs that did not report nominal catch data (exclusively), including zero catches, for one or more species for a given year, in accordance with the Resolution 15/02, paragraph 2 (or any subsequent revision), from retaining such species as of the year following the lack or incomplete reporting until such data have been received by the IOTC Secretariat." [1] (2) No review of applied sanctions to date available. [0]
NAFO			
MCS minimum standards	Registry of authorised vessels	2	(1) Annex II.C Vessel Notification and Authorization of the Northwest Atlantic Fisheries Organization Conservation and Enforcement Measures 2018 describes authorisation regime [1] (2) Annex II.C Vessel Notification and Authorization; 1) Format for register of vessel; NAFO/FC.Doc.14/09 (since 2016) [1] (3) No list of authorised vessels publicly available [0]
	Catch documentation scheme	0	Limited to catch reporting standards - Northwest Atlantic Fisheries Organization Conservation and Enforcement Measures 2018, Article 28
	Vessel monitoring System	1	(1) Northwest Atlantic Fisheries Organization Conservation and Enforcement Measures 2018, Article 29 [1] (2) Par 1: "Every fishing vessel operating in the Regulatory Area shall be equipped with a satellite monitoring device capable of continuous automatic transmission of position to its land-based Fisheries Monitoring Centre (FMC)" [0]
	Inspections at sea	1	Northwest Atlantic Fisheries Organization Conservation and Enforcement Measures 2018, CHAPTER VI At-Sea Inspection and Surveillance Scheme)
	Observer programme	1	Northwest Atlantic Fisheries Organization Conservation and Enforcement Measures 2018, Article 30 (currently under review, substantial revision to be introduced in 2019)
	Transhipment monitoring programme	1	Northwest Atlantic Fisheries Organization Conservation and Enforcement Measures 2018, Annex II.C Vessel Notification and Authorization; 3) Format for authorization to conduct fishing activities
	Inspections in port	1	Northwest Atlantic Fisheries Organization Conservation and Enforcement Measures 2018, Article 43(10-17); Article XII – Port State Duties of 2017 Convention on Cooperation in the Northwest Atlantic Fisheries

	Designation of landing ports	2	(1) Northwest Atlantic Fisheries Organization Conservation and Enforcement Measures 2018, Article 43 (2) https://www.nafo.int/Fisheries/PSC
IUU vessel listing	Document	1	Northwest Atlantic Fisheries Organization Conservation and Enforcement Measures (NAFO CEM) 2018
	Link	-	https://www.nafo.int/Fisheries/IUU
	Coverage	0	Article 48: "The purpose of this Chapter is to promote compliance of non-Contracting Party vessels with recommendations established by NAFO and to prevent, deter and eliminate IUU fishing by non-Contracting Party vessels […]"
	Evidence	0.5	(1) Article 50(1): "Each Contracting Party with an inspection and/or surveillance presence in the Regulatory Area authorized under the Joint Inspection and Surveillance Scheme […]" [0.5] (2) No provisions in the document [0]
	BO	0	Not included in the document
	Listing justification	0	(1) Not mentioned in the document (2) No description of IUU activity available in the IUU vessel list
	Follow-up	3	(1) Article 54: "Each Contracting Parties shall take all measures necessary to deter, prevent, and eliminate IUU fishing, in relation to any vessel listed in the IUU Vessel List […]" [1] (2) Art 54(h): "prohibiting landing and importation of fish from on board or traceable to such vessel" [1] (3) The annual review includes 'Disposition/Follow-up' column for each identified infringement of vessels in NAFO area of competence (no vessels actually listed by NAFO to date) [1] (4) Not available [0]
Decision-making	Document	1	Convention on Cooperation in the Northwest Atlantic Fisheries (2017; ISBN 978-0-9959516-0-0) (NAFO Rules of Procedure & Financial Regulations 2017; ISBN 0-9698167-1-5)
	Voting	1	Article XIII: "1. As a general rule, decision-making within the Commission shall be by consensus. For the purposes of this Article, "consensus" means the absence of any formal objection made at the time the decision was taken. 2. If the Chairperson considers that all efforts to reach consensus have been exhausted, decisions of the Commission shall, except where otherwise provided, be taken by two-thirds majority of the votes of all Contracting Parties present and casting affirmative or negative votes, provided that no vote shall be taken unless there is a quorum of at least two-thirds of the Contracting Parties. Each Contracting Party shall have one vote."
	Objection	0	Article XIV (2): "Where any Contracting Party presents an objection to a measure […]"
	Justification of the objection	1	Article XIV(5): "Any Contracting Party that has presented an objection to a measure […] shall at the same time provide an explanation for its reasons for taking this action."
	Framework of the objection	1	Article XIV(5): "[…] This explanation shall specify whether it considers that the measure is inconsistent with the provisions of this Convention, or that the measure unjustifiably discriminates in form or fact against it. The explanation shall also include a declaration of the actions it intends to take following the objection or notification, including a description of the alternative measures it intends to take or has taken for conservation and management of the relevant fishery resources consistent with the objective of this Convention."
	Review panel	0.5	Article XIV(9): "[…] any Contracting Party may request a meeting of the Commission to review the measure adopted by the Commission and the explanation made pursuant to paragraph 5." [0.5]
Co-operation	Co-operation	1	NAFO CEM 2018, article 53(4)c: "transmits the IUU Vessel List and any relevant information, including the reasons for listing or de-listing each vessel, to other RFMOs, including, in particular, the NEAFC, the South East Atlantic Fisheries Organisation (SEAFO), and the Commission for the Conservation of Antarctic Marine Living Resources (CCAMLR);"

	Cross-listing	1	(1) NAGO CEM 2018, "[…] amends the IUU Vessel List consistent with amendments to the NEAFC IUU List, within 30 days of such transmittal; unless within the 30 days the Executive Secretary receives from a Contracting Party a written submission […]" - limited[0.5] (2) https://www.nafo.int/Fisheries/IUU, vessels cross-listed from NEAFC [0.5]
Compliance review	Compliance review body and related documents	1	NAFO Rules of Procedure & Financial Regulations 2017, Rule 5: "There shall be a Standing Committee on International Control (STACTIC) consisting of one representative from each Contracting Party, who may be assisted by experts and advisers, and which shall: […] b. review and evaluate the compliance by Contracting Parties with the Conservation and Enforcement Measures established by the Commission" ; STACTIC is gathers annually since 2007
	Summary (implementation of CMMs)	1	Annual Compliance Review – identifies detected infringements by CP/CNCP
	Summary (data collection)	0	Annual Compliance Review reports only summary statistics on non-compliance with data submission requirements; NAFO performance review (NAFO, 2018[24]) recommends that NAFO "agrees on a means to respond to instances of non-compliance by a Contracting Party with its reporting requirements, including logbook data." In response, a mechanism to address the issue of logbook data submission was established during the last NAFO Annual Meeting in September 2018 (NAFO COM Doc 18-27 and 18-28).
	Sanctions	1	(1) NAFO CEM 2018, Article 5(7): "Catch in excess of a quota allocated to a Contracting Party may result in a deduction of allocations of that stock during a future quota period, if so decided by the Commission. […]" [1] (2) Not available [0]
NEAFC			
MCS minimum standards	Registry of authorised vessels	2	(1) NEAFC Scheme of Control and Enforcement. Article 4 - Authorisation to Fish: Responsibility of CP [1] (2) NEAFC Scheme of Control and Enforcement, Annex II b) Authorisation for Regulated Resources 1) Authorisation to Fish for Regulated Resources; Resolution A.1078(28) – since 2017 [1] (3) No record of authorised vessels [0]
	Catch documentation scheme	0	Limited to catch reporting standards - NEAFC Scheme of Control and Enforcement, Article 9 - Recording of Catch and Fishing Effort
	Vessel monitoring System	1	(1) NEAFC Scheme of Control and Enforcement, Article 11 - Vessel Monitoring System [1] (2) Par 1(a): "transmit messages to a land-based fisheries monitoring centre (FMC) allowing a continuous tracking of the position of a fishing vessel by the Contracting Party of that fishing vessel" [0]
	Inspections at sea	1	NEAFC Scheme of Control and Enforcement, Chapter IV - Inspections at Sea
	Observer programme	0	Not available in NEAFC Scheme of Control and Enforcement
	Transhipment monitoring programme	1	NEAFC Scheme of Control and Enforcement, Article 13 - Communication of Transhipments and of Port of Landing
	Inspections in port	1	NEAFC Scheme of Control and Enforcement, Chapter V - Port State Control of Foreign Fishing Vessels; Article 25 – Inspections
	Designation of landing ports	2	(1) NEAFC Scheme of Control and Enforcement, Article 21: "Contracting Parties shall designate ports where landings or transhipment operations and provisions of port services are permitted. Each Contracting Party shall send to the Secretary the list of such ports. […]" (2) https://psc.neafc.org/designated-contacts
IUU vessel listing	Document	1	NEAFC Scheme of Control and Enforcement 2018
	Link	-	http://www.neafc.org/mcs/iuu

	Coverage	0	Article 44(1): "Unless its flag State has been accorded the status of co-operating non-Contracting Party provided for under Article 34, a vessel which has been sighted or by other means identified according to information received pursuant to Articles 37, 38 and 40 as engaging in fishing activities in the Convention Area is presumed to be undermining the effectiveness of Recommendations established under the Convention. The same shall apply in the case of information required under Article 41 not being provided by its flag State. The Secretary shall place such a vessel on a provisional list of IUU vessels ('A' list) and promptly inform its flag State accordingly."
	Evidence	0.5	(1) Article 37 (1): "Contracting Parties shall transmit to the Secretary without delay any information regarding non-Contracting Party vessels sighted or by other means identified as engaging in fishing activities in the Convention Area. […]" [0.5] (2) No provisions in the document [0]
	BO	0	Not included in the document
	Listing justification	0	(1) Provisions for publishing a description of the IUU activity not available in the document (2) Description of IUU activity not available in the IUU vessel list (Although vessel description includes 'IUU Events Log', but it is not filled)
	Follow-up	3	(1) Article 45(1): "Contracting Parties shall take all the necessary measures, under their applicable legislation, in order that vessels appearing on the IUU lists" [1] (2) Article 45(2)e: "prohibit the imports of fish coming from such vessels;" [1] (3) Not available [0] (4) Article 46(3): "The Commission shall decide appropriate measures to be taken in respect of non-Contracting Parties identified under paragraph 1 [that is non-Contracting Parties whose vessels appear on the IUU lists]. In this respect, Contracting parties may co-operate to adopt appropriate multilaterally agreed non-discriminatory trade related measures, consistent with the World Trade Organisation (WTO), that may be necessary to prevent, deter, and eliminate the IUU fishing activities identified by the Commission." [1]
Decision-making	Document	1	Convention on Future Multilateral Cooperation in North-East Atlantic Fisheries (1980) (includes amendments to the Convention that were adopted by the Commission in 2006 and which entered into force in 2013, some amendments adopted in 2004 not yet in force)
	Voting	1	Article 5(1): "The Commission shall, as appropriate, make recommendations concerning fisheries conducted beyond the areas under jurisdiction of Contracting Parties. Such recommendations shall be adopted by a qualified majority
	Objection	0	Article 12(2)a: "Any Contracting Party may, within 50 days of the date of notification of a recommendation adopted under paragraph 1 of Article 5, under paragraph 1 of Article 8 or under paragraph 1 of Article 9, object thereto. […]
	Justification of the objection	0	Not specified
	Framework of the objection	0	Not specified
	Review panel	0	Not specified
Co-operation	Co-operation	1	NEAFC Scheme of Control and Enforcement 2017, Article 44(5): "The Secretariat shall transmit the IUU B-List and any amendments thereto as well as any relevant information regarding the list, to the Secretariats of the Commission for the Conservation of Antarctic Marine Living Resources (CCAMLR), the Northwest Atlantic Fisheries Organization (NAFO) and the South East Atlantic Fisheries Organisation (SEAFO). The Secretary shall also circulate the IUU B-List to other Regional Fisheries Management Organisations."
	Cross-listing	1	(1) NEAFC Scheme of Control and Enforcement 2017, Article 44(6): "After having been notified by CCAMLR, NAFO and SEAFO of vessels that have been confirmed as having been engaged in IUU fisheries, the Secretary shall without delay place the NCP vessels on the NEAFC IUU B-List. Vessels placed on the IUU B-List in accordance with this paragraph may only be removed if the RFMO which originally identified the vessels as having engaged in IUU fishing activity has notified the NEAFC Secretary of their removal from the list." – indicates the process is limited [0.5] (2) IUU vessel list includes entries from SEAFO - limited coverage [0.5]

Compliance review	Compliance review body and related documents	1	Permanent Committee on Monitoring and Compliance (PECMAC; provisions in Article 3(8) of the Convention) gathers annually since 2015 (https://www.neafc.org/past_meetings); NEAFC has recently agreed a more transparent process for publication of reports arising in its key committees throughout the year, this will mean from 2019 reports such as the NEAFC compliance report (redacted for any individual vessel information etc.) will become available on via the website.
	Summary (implementation of CMMs)	0	Details on implementation of CMMs by CP/CNCP will be available in the NEAFC compliance report (to be published in February 2019)
	Summary (data collection)	0	Details on compliance with data submission requirements will be available in the NEAFC compliance report (to be published in February 2019)
	Sanctions	0	(1) Not available (2) Not available
NPFC			
MCS minimum standards	Registry of authorised vessels	3	(1) CMM 2018-01 On Information Requirements for Vessel Registration (2) CMM 2016-01, Annex Vessel Information Requirements (3) Registry is available to the public (https://www.npfc.int/compliance/vessels)
	Catch documentation scheme	0	Not available (to be addressed based on the communication with the NPFC Secretariat)
	Vessel monitoring System	1	VMS required for participation in fisheries managed by NPFC (CMM 2018-05 For Bottom Fisheries and Protection of VMEs in the NW Pacific Ocean; CMM 2017-06 For Bottom Fisheries and Protection of VMEs in the NE Pacific Ocean; CMM 2018-07 For Chub Mackerel; CMM 2018-08 For Pacific Saury) [1] (2) NPFC plans to develop such scheme in 2020 (communicated by the NPFC Secretariat) [0]
	Inspections at sea	0	CMM 2017-09 Conservation and Management Measure for High Seas Boarding and Inspection Procedures for the North Pacific Fisheries Commission (NPFC); HSBI implementation plan adopted in 2018 for full implementation by early 2019
	Observer programme	1	CMM 2017-05 for Bottom Fisheries and Protection of Vulnerable Marine Ecosystems in the Northwestern Pacific Ocean, par 8: "All vessels authorized to bottom fishing in the western part of the Convention Area shall carry an observer on board" – the program is for scientific purpose, but the compliance components may be considered by member countries (adopted in July 2018)
	Transhipment monitoring programme	1	CMM 2016-03 On the Interim Transhipment Procedures for NPFC
	Inspections in port	0	Not available
	Designation of landing ports	0	(1) Not available (2) Not available
IUU vessel listing	Document	1	CMM 2017-02 Conservation and Management Measure to Establish a List of Vessels Presumed to Have Carried Out Illegal, Unreported and Unregulated Fishing Activities in the Convention Area of the North Pacific Fisheries Commission
	Link	-	https://www.npfc.int/npfc-iuu-vessel-list
	Coverage	1	Article 1: "At each meeting, the Commission will identify those vessels which have engaged in fishing activities for species covered by the Convention within the Convention Area […]"
	Evidence	2	(1) Article 2: "This identification shall be suitably documented, inter alia, on reports from Members/CNCPs […]" (2) Article 8: "[…] and any other suitably documented information at his disposal […]"
	BO	1	Article 21(c): "owner and previous owners, including beneficial owners, if any"

	Listing justification	2	(1) Article 21(i): "summary of activities which justify inclusion of the vessel on the list, together with references to all relevant documents informing of and evidencing those activities" (2) 'Summary of activities' column in the IUU vessel list
	Follow-up	2	(1) Article 24: "Members/CNCPs shall take all necessary non-discriminatory measures under their applicable legislation, international law and each Members/CNCPs' international obligations […]" [1] (2) Article 24(f): "prohibit commercial transactions, imports, landings and/or transhipment of species covered by the Convention from vessels on the IUU Vessel List" [1] (3) Not available [0] (4) Not available [0]
Decision-making	Document	1	Convention on the Conservation and Management of High Seas Fisheries Resources in the North Pacific Ocean (2012)
	Voting	1	Article 8(1-2): "As a general rule, the Commission shall make its decisions by consensus. Except where this Convention expressly provides that a decision shall be taken by consensus, if the Chairperson considers that all efforts to reach consensus have been exhausted: (a) decisions of the Commission on questions of procedure shall be taken by a majority of members of the Commission casting affirmative or negative votes; and (b) decisions on questions of substance shall be taken by a three-quarters majority of members of the Commission casting affirmative or negative votes.
	Objection	0	Article 9(1)c : "A member of the Commission may object to a decision […]"
	Justification of the objection	1	Article 9(1)e: "Any member of the Commission that makes a notification […] at the same time, provide a written explanation of the grounds for its position. […]"
	Framework of the objection	1	Article 9(1)c : "A member of the Commission may object to a decision solely on the grounds that the decision is inconsistent with the provisions of this Convention, the 1982 Convention or the 1995 Agreement, or that the decision unjustifiably discriminates in form or in fact against the objecting member;" Article 9(1)e: "any member of the Commission that makes a notification […] must also adopt and implement alternative measures that are equivalent in effect to the decision to which it has objected and have the same date of application"
	Review panel	0.5	Article 9(1)g: "[…] a Commission meeting shall take place at the request of any other member to review the decision to which the objection has been presented. The Commission shall, at its expense, invite to that meeting two or more experts who are nationals of non-members of the Commission and who have sufficient knowledge of international law related to fisheries and of the operation of regional fisheries management organizations to provide advice to the Commission on the matter in question. […]"
Co-operation	Co-operation	1	CMM 2017-02, article 26: "[…] the Executive Secretary shall transmit the NPFC IUU Vessel List to the FAO and to other regional fisheries organizations for the purposes of enhancing cooperation between the NPFC and these organizations aimed at preventing, deterring and eliminating IUU fishing."
	Cross-listing	0.5	(1) CMM 2017-02, article 27: "Upon receipt of the final IUU vessel list established by another Regional Fisheries Management Organization (RFMO) and any other information regarding the list including its modification, the Executive Secretary shall circulate it to Members/CNCPs and shall place it on the NPFC website." (no cross-listing indicating the same treatment, just for information) [0] (2) IUU vessel list from other RFMOs linked to the page [0.5]
Compliance review	Compliance review body and related documents	0	Developing a Compliance Monitoring System (CMS) is listed as a priority for the NPFC Technical and Compliance Committee for the period 2017-2020; report on non-compliance to be delivered in the near future (1st issue)

	Summary (implementation of CMMs)	0	Not available
	Summary (data collection)	0	Not available
	Sanctions	1	(1) Convention on the Conservation and Management of High Seas Fisheries Resources in the North Pacific Ocean, art. 13, par. 11: "Any Contracting Party that do that does not submit the data and information required under Article 16, paragraph 3 in respect of any year in which fishing occurred in the Convention Area by fishing vessels entitled to fly its flag shall not participate in the relevant fisheries until that data and information has been provided. […]" [1] (2) Not available [0]
SEAFO			
MCS minimum standards	Registry of authorised vessels	3	(1) SEAFO System of Observation, Inspection, Compliance and Enforcement (2017), Article 4 (2) SEAFO System of Observation, Inspection, Compliance and Enforcement (2017), Article 4(d) (3) Registry is available to the public (http://www.seafo.org/Management/Authorized-Vessel-List)
	Catch documentation scheme	0	Limited to catch reporting standards - SEAFO System of Observation, Inspection, Compliance and Enforcement (2017), Article 10
	Vessel monitoring System	1	(1) SEAFO System of Observation, Inspection, Compliance and Enforcement (2017), Article 13 [1] (2) par1(a): "[…] automatically transmit VMS data to the land based Fisheries Monitoring Centre (FMC) of its flag State […]" [0]
	Inspections at sea	1	SEAFO System of Observation, Inspection, Compliance and Enforcement (2017), Article 17
	Observer programme	1	SEAFO System of Observation, Inspection, Compliance and Enforcement (2017), Article 18
	Transhipment monitoring programme	1	SEAFO System of Observation, Inspection, Compliance and Enforcement (2017), Article 14
	Inspections in port	1	SEAFO System of Observation, Inspection, Compliance and Enforcement (2017), Article 24
	Designation of landing ports	2	(1) SEAFO System of Observation, Inspection, Compliance and Enforcement (2017), Article 20 (2) http://www.seafo.org/Management/Authorized-Ports
IUU vessel listing	Document	1	SEAFO System 2017: Article 27 – Listing of IUU Vessels
	Link	-	http://www.seafo.org/Management/IUU
	Coverage	1	Par 2: "At each Annual Meeting, the Commission shall identify those vessels which have engaged in fishing and fishing related activities for fishery resources covered by the Convention in a manner which is inconsistent with SEAFO conservation and management measures, and shall establish a list of such vessels (the IUU Vessel List), in accordance with the procedures and criteria set out below."
	Evidence	2	(1) Par 3: "This identification shall be documented, inter alia, on reports from a Contracting Party relating to SEAFO conservation and management measures […]" (2) Par 3: "This identification shall be documented, inter alia, on […] trade information obtained on the basis of relevant trade statistics such as Food and Agriculture Organization of the United Nations (FAO) data, statistical documents and other national or international verifiable statistics, as well as any other information obtained from port States and/or gathered from the fishing grounds which is suitably documented." (that including CNCP)
	BO	1	Par 15(c): "owner and previous owners, including beneficial owners, if any"

	Listing justification	2	(1) Par 15(i): "summary of activities which justify inclusion of the vessel on the List, together with references to all relevant documents informing of and evidencing those activities" (2) Description of IUU activity available in the IUU vessel list
	Follow-up	2	(1) Par 16(b): "take all the necessary measures to eliminate these IUU fishing, including, if necessary, the withdrawal of the registration or the fishing licenses of these vessels, and to inform the Commission of the measures taken in this respect" [1]SEAFO System of Observation, Inspection, Compliance and Enforcement (2017); Article 17.4: "[…] In the case where an alleged infringement is detected, all supplementary reports or information provided, and any comments received from the flag State of the vessel, if any, shall be forwarded to all Contracting Parties, by the Executive Secretary, without delay." [1] (2) Par 17(e): "prohibit commercial transactions, imports, landings and/or transhipment of fisheries resourced covered by the SEAFO Convention caught by vessels on the IUU Vessel List" [1] (3) Not available [0] (4) Not available [0]
Decision-making	Document	1	Convention on the Conservation and Management of Fishery Resources in the South East Atlantic Ocean (2001)
	Voting	0	Article 17(1): "Decisions of the Commission on matters of substance shall be taken by consensus of the Contracting Parties present. The question of whether a matter is one of substance shall be treated as a matter of substance." Article 17(2): "Decisions on matters other than those referred to in paragraph 1 shall be taken by a simple majority of the Contracting Parties present and voting." (Article 17 suggests that on important matters, the decision-making process would default to consensus)
	Objection	0	NA
	Justification of the objection	0	NA
	Framework of the objection	0	NA
	Review panel	0	NA
Co-operation	Co-operation	0.5	SEAFO System 2017, article 27, par 18: "The Executive Secretary shall transmit the IUU Vessel List and any relevant information regarding the list to the secretariats of the Commission for the Conservation of Antarctic Marine Resources (CCAMLR), the Northwest Atlantic Fisheries Organization (NAFO) and the North East Atlantic Fisheries Commission (NEAFC)." - limited to few RFMOs [0.5]
	Cross-listing	1	(1) SEAFO System 2017, article 27, par 19: "Upon receipt of the Final IUU Vessel Lists established by the following RFMOs: CCAMLR, NAFO and NEAFC, any information regarding the lists, the Executive Secretary shall circulate this information to the Contracting Parties. Vessels that have been added to or deleted from the respective lists that are flagged to non-contracting parties shall be incorporated into or deleted from the SEAFO IUU Vessel List as appropriate, unless any Contracting Party objects within 30 days of the date of transmittal by the Executive Secretary […]" - limited, conditional [0.5] (2) SEAFO cross-lists IUU vessels lists from CCAMLR and NEAFC. SPRFMO'IUU vessel list is linked to page. SEAFO 2016 Performance Review also states: "SEAFO should consider amending the article 28 of the System in order to recognise IUU vessel lists of all relevant RFMOs, notably SIOFA." This has not been added to SEAFO System 2017 - process is limited [0.5]
Compliance review	Compliance review body and related documents	1	Compliance Committee gathers annually since 2008 (http://www.seafo.org/SEAFO-Bodies/Compliance-Committee/Compliance-Committee-Documents); latest annual report available: Report of the 10th Annual Meeting of the Compliance Committee (CC) – 2017

	Summary (implementation of CMMs)	0.5	General information on compliance, e.g. related to TACs: "Total Allowable Catches set by the Commission have been respected" [0.5]
	Summary (data collection)	0	No details on compliance with data submission requirements: SEAFO 2016 Performance Review states: "the Compliance Committee highlighted that inspection reports concerning vessels landing catches from the SEAFO Convention Area should always be made available, in due time, to the Committee in accordance to the System's obligations."
	Sanctions	0	(1) SEAFO 2016 Performance Review: "Procedures for follow-up on infringements detected under a system of observation, inspection, compliance and enforcement that includes standards of investigation, reporting procedures, notification of proceedings, incentives and/or sanctions and other enforcement actions, pursuant to Article 16 (3)(d) of the Convention have yet to be developed." (2) Not available
SIOFA			
MCS minimum standards	Registry of authorised vessels	3	(1) CMM2017/07 Conservation and Management Measure for Vessel Authorisation and Notification to Fish (Vessel Authorisation) (2) CMM2017/07, Article 2(d) (3) Registry is available to the public (http://www.apsoi.org/authorised-vessels)
	Catch documentation scheme	0	No CDS in place, but SIOFA is exploring potential for co-operation with CCAMLR's toothfish CDS (SIOFA, 2018[8]) – par 124-125; provisions for reporting on fishing activities included in CMM 2018/10 Conservation and Management Measure for the Monitoring of Fisheries in the Agreement Area (Monitoring), Article 1-3
	Vessel monitoring System	1	(1) CMM 2017/10 Conservation and Management Measure for the Monitoring of Fisheries in the Agreement Area (Monitoring), par 4-10 [1] (2) Par 4: "Each Contracting Party, CNCP and PFE shall ensure that all fishing vessels flying its flag that are operating in the Agreement Area are fitted with an operational automatic location communicator (ALC) unit reporting back to its competent authority." [0]
	Inspections at sea	0	SIOFA is in process of developing a High Seas Boarding Inspection Regime (SIOFA, 2018[8]) – Annex X
	Observer programme	0.5	CMM 2017/09, Conservation and Management Measure for Control of fishing activities in the Agreement Area (Control), par 8 (Scientific observer programme) [0.5]
	Transhipment monitoring programme	1	CMM 2017/10 Conservation and Management Measure for the Monitoring of Fisheries in the Agreement Area (Monitoring), par 11-13
	Inspections in port	1	CMM 2017/08 Conservation and Management Measure establishing a Port Inspection Scheme (Port Inspection)
	Designation of landing ports	2	(1) CMM 2017/08 Conservation and Management Measure establishing a Port Inspection Scheme (Port Inspection) (2) http://www.apsoi.org/compliance/port-inspection-scheme
IUU vessel listing	Document	1	CMM 2018/06 Conservation and Management Measure on the Listing of IUU Vessels (IUU List) [binding from 8 October 2018]
	Link	-	http://www.apsoi.org/node/89
	Coverage	1	Par 1: "[…] the Meeting of the Parties shall identify those vessels which have engaged in fishing in the Agreement Area in contravention of SIOFA CMMs and shall establish a list of such vessels […]"
	Evidence	2	(1) Par 2: "Each Contracting Party, cooperating non-Contracting Party (CNCP) and participating fishing entity (PFE) shall every year, and at least 90 days before each ordinary Meeting of the Parties, transmit to the Secretariat, using the Reporting Form in Annex I, information on vessels presumed to have engaged in IUU fishing activities in the Agreement Area, accompanied by all available supporting evidence concerning the presumption of the IUU fishing activities." (2) Par 6: "On the basis of the information received pursuant to paragraphs 2 or26, and any other information at its disposal, the Secretariat shall draw up a Draft SIOFA IUU Vessel List […]"

	BO	1	Par 17(c): "owner and previous owners, including beneficial owners, if any"
	Listing justification	2	(1) Par 17(i) "summary of activities which justify inclusion of the vessel on the IUU Vessel List, together with references to all relevant documents informing of and evidencing those activities." (2) Description of IUU activity available in the IUU vessel list
	Follow-up	2	(1) Par 19: "Contracting Parties, CNCPs and PFEs shall take all necessary measures under their applicable legislation […]" (2) Par 19(g): "prohibit commercial transactions, such as imports, exports or re-exports, landings and transhipment of fisheries resources covered by the Agreement, as well as other operations involving such fisheries resources, from vessels on the IUU Vessel List" (3) Not available (4) Not available
Decision-making	Document	1	Southern Indian Ocean Fisheries Agreement (2006)
	Voting	0	Article 8(1): "Unless otherwise provided in this Agreement, decisions of the Meeting of the Parties and its subsidiary bodies on matters of substance shall be taken by the consensus of the Contracting Parties present, where consensus means the absence of any formal objection made at the time a decision is taken. The question of whether a matter is one of substance shall be treated as a matter of substance"
	Objection	0	NA
	Justification of the objection	0	NA
	Framework of the objection	0	NA
	Review panel	0	NA
Co-operation	Co-operation	1	CMM 2018/06, part 24: "[…] the Secretariat shall transmit said [IUU Vessel] List and any relevant information regarding the IUU Vessel List to the FAO and to the secretariats of the following organisations for the purposes of enhancing co-operation between SIOFA and these organizations aimed at preventing, deterring and eliminating IUU fishing: […]"
	Cross-listing	1	(1) CMM 2018/06, par 25: "upon receipt of the Final IUU Vessel Lists established by CCAMLR, CCSBT, ICCAT, IOTC, IATTC, GFCM, NAFO, NEAFC, NPFC, SEAFO, SPRFMO and WCPFC, and any information regarding the Lists, the Secretariat shall circulate this information to Contracting Parties, CNCPs and PFEs for the purpose of amending the SIOFA IUU Vessel List during the intersessional period in accordance with Rule 13 of the Rules of Procedures of the Meeting of the Parties. Vessels that have been added to or deleted from the respective organisations' Final IUU Vessel Lists shall be incorporated into or deleted, as appropriate, from the IUU Vessel List, unless any Contracting Party objects in writing within 30 days of the date of transmittal by the Secretariat." - conditional [0.5] (2) IUU vessel list from other RFMOs linked to the page [0.5]
Compliance review	Compliance review body and related documents	1	Compliance Committee gathers annually since 2017 (reports from meetings available at https://www.apsoi.org/node/54); current provisions available in CMM 2018/11 Conservation and Management Measure for the Establishment of a Southern Indian Ocean Fisheries Agreement (SIOFA) Compliance Monitoring Scheme; provisions for data submission requirements available in CMM 2018/02 Conservation and Management Measure for the Collection, Reporting, Verification and Exchange of Data relating to fishing activities in the Agreement Area (Data Standards)
	Summary (implementation of CMMs)	0.5	Self-assessment reports submitted by CPs/CNCPs available on SIOFA's web page; publication of compliance report planned for 2019 (communication with SIOFA Secretariat) [0.5]
	Summary (data collection)	0.5	Self-assessment reports submitted by CPs/CNCPs available on SIOFA's web page [0.5]

	Sanctions	1	(1) CMM 2018/11, par 7: "The Meeting of the Parties will apply Annex I to assign a compliance status and determine any follow-up actions to non-compliance, including any remedial or corrective actions needed." [1] (2) No available [0]
SPRFMO			
MCS minimum standards	Registry of authorised vessels	3	(1) CMM 05-2016 Establishment of the Commission Record of Vessels Authorised to Fish in the SPRFMO Convention Area (binding 29-04-2016) (2) CMM 05-2016, Annex 1, pt. 2e (since 2016) (3) Registry is available to the public: https://www.sprfmo.int/measures/record-of-vessels/
	Catch documentation scheme	0	Only data collection programme in place: CMM 02-2018 Standards for the Collection, Reporting, Verification and Exchange of Data (from 2018)
	Vessel monitoring System	2	(1) CMM 06-2018 Establishment of the Vessel Monitoring System in the SPRFMO Convention Area (from 2018) (2) CMM 06-2018, par 7: "The Commission VMS shall be administered by the Secretariat under the guidance of the Commission."
	Inspections at sea	1	CMM 11-2015 Boarding and Inspection Procedures in the SPRFMO Convention Area
	Observer programme	0	CMM 16-2018 The SPRFMO Observer Programme (from 2019)
	Transhipment monitoring programme	1	CMM 12-2018 Regulation of Transhipment and Other Transfer Activities (from 2018)
	Inspections in port	1	CMM 07-2017 Minimum Standards of Inspection in Port
	Designation of landing ports	2	(1) CMM 07-2017 Minimum Standards of Inspection in Port (2) https://www.sprfmo.int/measures/points-of-contact/
IUU vessel listing	Document	1	CMM 04-2017 Establishing a List of Vessels Presumed to Have Carried Out Illegal, Unreported and Unregulated Fishing activities in the SPRFMO Convention Area (binding 23-04-2017)
	Link	-	https://www.sprfmo.int/measures/iuu-lists/
	Coverage	1	Par 1: "For the purposes of this CMM, the fishing vessels flying the flag of a non-Member, or a Member or a Cooperating non-Contracting Party (hereafter CNCP), are presumed to have carried out IUU activities in the Convention Area […]"
	Evidence	2	(1) Par 1: "[…] presumed to have carried out IUU activities in the Convention Area, inter alia, when a Member or a CNCP presents evidence […]" (2) Par 4: "On the basis of the information received pursuant to paragraph 2 and/or any other suitably documented information at his/her disposal […]"
	BO	1	Annex I.1(c): "Name and address of owner of vessel and previous owners, including beneficial owners, if any, and owner's place of registration"
	Listing justification	2	(1) Par 1(l): "Summary of any actions known to have been taken in respect of the alleged IUU fishing activities " (2) IUU vessel list includes a line: 'Summary of activities that justify the inclusion of the vessel on the List'
	Follow-up	2	(1) Par 14: "Members and CNCPs shall take all necessary non-discriminatory measures, under their applicable legislation and international law […]" [1] (2) A Par 14(7): "to prohibit the imports, or landing and/or transhipment, of species covered by the Convention from vessels included in the IUU List" [1] (3) Not available [0] (4) Not available [0]

Decision-making	Document	1	SPRFMO Convention on the Conservation and Management of High Seas Fishery Resources in the South Pacific Ocean 2015
	Voting	1	Article 16: "1. As a general rule, decisions by the Commission shall be taken by consensus. For the purpose of this Article, "consensus" means the absence of any formal objection made at the time the decision was taken. 2. Except where this Convention expressly provides that a decision shall be taken by consensus, if the Chairperson considers that all efforts to reach a decision by consensus have been exhausted: (a) decisions of the Commission on questions of procedure shall be taken by a majority of the members of the Commission casting affirmative or negative votes; and (b) decisions on questions of substance shall be taken by a three-fourths majority of the members of the Commission casting affirmative or negative votes"
	Objection	0	Article 17(2)a: "Any member of the Commission may present to the Executive Secretary an objection to a decision 60 days of the date of notification "the objection period"."
	Justification of the objection	1	Article 17(2)b: "A member of the Commission that presents an objection shall at the same time: (i) specify in detail the grounds for its objection; (ii) adopt alternative measures that are equivalent in effect to the decision to which it has objected and have the same date of application; and (iii) advise the Executive Secretary of the terms of such alternative measures."
	Framework of the objection	1	Article 17(2)c: The only admissible grounds for an objection are that the decision unjustifiably discriminates in form or in fact against the member of the Commission, or is inconsistent with the provisions of this Convention or other relevant international law as reflected in the 1982 Convention or the 1995 Agreement. Article 17(2)b: A member of the Commission that presents an objection shall at the same time: […] (ii) adopt alternative measures that are equivalent in effect to the decision to which it has objected and have the same date of application […]"
	Review panel	1	Article 17(5)a: "When an objection is presented by a member of the Commission pursuant to paragraph 2, a Review Panel shall be established within 30 days after the end of the objection period. The Review Panel shall be established in accordance with the procedures in Annex II."
Co-operation	Co-operation	1	CMM 04-2017, par 15: "[…] the Executive Secretary will transmit the IUU List to the FAO and to appropriate regional fisheries organisations for the purposes of enhanced co-operation between SPRFMO and these organisations in order to prevent, deter and eliminate IUU fishing."
	Cross-listing	2	(1) CMM 04-2017, par 16: "Upon receipt of the final IUU vessel list established by another Regional Fisheries Management Organisation (RFMO), and any other information regarding the list, including its modification, the Executive Secretary shall circulate it to the Members and CNCPs and shall place it on the SPRFMO web site." (2) CMM 04-2017, par 17: "Measures referred to in paragraph 14 shall apply mutatis mutandis to fishing vessels included in the final IUU list established by another RFMO and operating in the SPRFMO Convention Area." (IUU lists of other RFMOs are automatically recognised according to CMM 04-2017) Links to other RFMOs IUU lists available on the SPRFMO page.
Compliance review	Compliance review body and related documents	1	The Commission adopts a Compliance Report in accordance with CMM 10 (Establishment of a Compliance and Monitoring Scheme in the SPRFMO Convention Area, most recently revised in 2018, superseding measure 3.03 from 2015 and measure 4.10 from 2016) annually since 2016 (https://www.sprfmo.int/measures/compliance-reports/); only 2016 final compliance report is available online (SPRFMO COMM-04 (2016) Annex I) Article 24 of the SPRFMO Convention details the Obligations of Members of the Commission and its paragraph 2 states: "Each member of the Commission shall report to the Commission on an annual basis indicating how it has implemented the conservation and management measures and compliance and enforcement procedures adopted by the Commission. In the case of coastal State Contracting Parties, the report shall include information regarding the conservation and management measures they have taken for straddling fishery resources occurring in waters under their jurisdiction adjacent to the Convention Area in accordance with Article 20 paragraph 4 and Article 4. Such reports shall be made publicly available"
	Summary (implementation of CMMs)	1	Latest compliance report (2018) includes assessment of compliance with CMMs by CP/CNCP; individual self-assessment implementation reports available for each CP/CNCP countries

	Summary (data collection)	1	Latest compliance report (2016) includes assessment of compliance with data submission requirements by CP/CNCP; individual self-assessment implementation reports include answers to questions such as 'Were you able to meet the data collection requirements described in CMM 02-2017 (Data Standards) paragraphs 1(b) (c) and (d)? (Being information on fishing activity, non-target species impacts and transhipments/landings)'
	Sanctions	0	(1) CMM 10-2018: "The Commission should develop, as a matter of priority, a process to complement the CMS that identifies a range of specific responses to noncompliance events that may be applied by the Commission through the implementation of the CMS. This shall include penalties and any other actions as may be necessary to promote compliance with the Convention, CMMs and other obligations included in the CMS." (2) No information on sanctions available in the compliance report
WCPFC			
MCS minimum standards	Registry of authorised vessels	3	(1) Conservation and Management Measure for WCPFC Record of Fishing Vessels and Authorizations to Fish (CMM 2017-05) (2) CMM 2017-05, Article 6(s); Resolution 2013-10 (since 2016) (3) Registry is available to the public (https://www.wcpfc.int/record-fishing-vessel-database)
	Catch documentation scheme	0	"WCPFC has not yet implemented a CDS for any species under its mandate, despite work commencing as early as 2005 to develop a CDS for bigeye tuna" (ISSF, 2016[9]); Catch reporting - Conservation and Management Measure on daily catch and effort reporting (CMM 2013-05)
	Vessel monitoring System	2	(1) CMM 2014-02 (Commission Vessel Monitoring System) (2) Par 7(a): "The Commission VMS shall be a stand-alone system: -developed in and administered by the Secretariat of WCPFC under the guidance of the Commission, which receives data directly from fishing vessels operating on the high seas in the Convention Area […]"
	Inspections at sea	1	CMM 2006-08 (Western Central Pacific Fisheries Commission Boarding and Inspection Procedures
	Observer programme	1	CMM 2007-01
	Transhipment monitoring programme	1	CMM 2009-06
	Inspections in port	1	CMM 2017-02 (Conservation and Management Measure on Minimum Standards for Port State Measures
	Designation of landing ports	0	(1) Paragraph 6 of CMM 2017-02 encourages each CP/CNCP to designate ports for the purpose of inspection of fishing vessels suspected of engaging in IUU fishing or fishing related activities in support of IUU fishing, but does not designate landing ports. (2) List not available
IUU vessel listing	Document	1	Conservation and Management Measure 2010-06 to Establish a List of Vessels Presumed to Have Carried Out Illegal, Unreported and Unregulated Fishing Activities in the WCPO
	Link	-	http://www.wcpfc.int/wcpfc-iuu-vessel-list
	Coverage	1	Par 1: "At each annual meeting, the Commission will identify those vessels which have engaged in fishing activities for species covered by the Convention within the Convention Area in a manner which has undermined the effectiveness of the WCPF Convention and the WCPFC measures in force […]" Par 7: "The Executive Director shall request each CCM and non-CCM with vessels on the draft IUU Vessel List to notify the owner of the vessels of their inclusion in that list, and of the consequences of their inclusion being confirmed in the IUU Vessel List."
	Evidence	2	(1) Par 2: "This identification shall be suitably documented, inter alia, on reports from Members, Cooperating Non-Members and Participating Territories (collectively CCMs) […]" (2) Par 6: "The Executive Director shall draw up a draft IUU Vessel List incorporating the lists of vessels and suitably documented information received pursuant to para 4, and any other suitably documented information at his disposal"
	BO	1	Par 19(iii): "owner and previous owners, including beneficial owners, if any"

	Listing justification	2	(1) Par 19(ix): "summary of activities which justify inclusion of the vessel on the list, together with references to all relevant documents informing of and evidencing those activities" (2) Description of IUU activity available in the IUU vessel list
	Follow-up	2	(1) Par 22: "CCMs shall take all necessary non-discriminatory measures under their applicable legislation, international law and each CCMs' international obligations, and pursuant to paras 56 and 66 of the IPOA-IUU […]" [1] (2) Par 22(e): "prohibit commercial transactions, imports, landings and/or transhipment of species covered by the WCPFC Convention from vessels on the WCPFC IUU Vessel List;" [1] (3) Not available [0] (4) Not available [0]
Decision making	Document	1	Convention on the Conservation and Management of Highly Migratory Fish Stocks in the Western and Central Pacific Ocean (2000)
	Voting	1	Article 20(1-2): "As a general rule, decision-making in the Commission shall be by consensus. For the purposes of these rules, "consensus" means the absence of any formal objection made at the time the decision was taken. If all efforts to reach a decision by consensus have been exhausted, decisions by voting in the Commission on questions of procedure shall be taken by a majority of those present and voting.[…]"
	Objection	0	Article 20(1): "For the purposes of these rules, "consensus" means the absence of any formal objection made at the time the decision was taken."
	Justification of the objection	1	Although not mentioned directly, implied by the objection framework
	Framework of the objection	1	Article 20(6): "[…] (a) the decision is inconsistent with the provisions of this Convention, the Agreement or the 1982 Convention; or (b) the decision unjustifiably discriminates in form or in fact against the member concerned."
	Review panel	0.5	Article 20(6) : "A member which has voted against a decision or which was absent during the meeting at which the decision was made may, within 30 days of the adoption of the decision by the Commission, seek a review of the decision by a review panel constituted in accordance with the procedures set out in Annex II to this Convention" [0.5]
Co-operation	Co-operation	1	CMM 2010-06, par 23: "[…] the Executive Director shall transmit the WCPFC IUU Vessel List to the FAO and to other regional fisheries organizations for the purposes of enhancing cooperation between the WCPFC and these organizations aimed at preventing, deterring and eliminating IUU fishing."
	Cross-listing	0	(1) No provisions for cross-listing with other RFMOs established in the relevant resolution. (2) No mention of IUU vessel list from other RFMOs
Compliance review	Compliance review body and related documents	1	Technical and Compliance Committee gathering annually since 2005; Compliance Monitoring Scheme was established by CMM 2010-03 and extended with CMM 2017-07; Compliance Monitoring Reports published annually since 2011 (https://www.wcpfc.int/compliance-monitoring); latest annual report available: 2017 Final Compliance Monitoring Report (Covering 2016 Activities)
	Summary (implementation of CMMs)	1	Final Compliance Monitoring Reports list compliance with CMMs by CP/CNCP
	Summary (data collection)	1	Final Compliance Monitoring Reports list compliance with data provision requirements by CP/CNCP
	Sanctions	0	(1) CMM 2017-07, par 38: "The Commission hereby establishes an intersessional working group to develop a process to complement the CMS that shall identify a range of responses to non-compliance that can be applied by the Commission through the implementation of the CMS, including cooperative capacity-building initiatives and, as appropriate, such penalties and other actions as may be necessary to promote compliance with Commission CMMs. […]" – establishment of provisions in progress

			(2) "TCC13 recommends that WCPFC14 agree that the information that should be reported generally includes […] if charged, how was it charged (e.g. verbal warning, written warning, penalty/fine, permit sanction, etc.)"
CCAMLR			
MCS minimum standards	Registry of authorised vessels	3	(1) Conservation Measure 10-02 Licensing and inspection obligations of Contracting Parties with regard to their flag vessels operating in the Convention Area (2CM 10-02, Article 2 (3) Registry is available to the public (https://www.ccamlr.org/en/compliance/list-authorised-vessels)
	Catch documentation scheme	1	CMM 10—05 Catch Documentation Scheme for Dissostichus spp.
	Vessel monitoring System	1	(1) CMM 10-04 Automated satellite-linked Vessel Monitoring Systems (VMS) [1] (2) CMM 10-04, par 6: "[…] transmits VMS data in accordance with paragraph 2, to the Flag State while the vessel is in the Convention Area […]"; from CCAMLR web page: All vessels authorised by Members to fish in the Convention Area are required to report VMS data to their Flag State which must then forward this data to the CCAMLR Secretariat. Many vessels also report VMS data directly to the CCAMLR Secretariat in near real-time. [0]
	Inspections at sea	1	CCAMLR System of Inspection
	Observer programme	1	Scheme of International Scientific Observation (CCAMLR) - CCAMLR requires observers on vessel in all fisheries, and while they are there for scientific purposes, they do record other elements of compliance, such as the presence/absence of bands on bait boxes (prohibited in CCAMLR), and these observations can be used in the compliance evaluation (communication with CCAMLR Secretariat)
	Transhipment monitoring programme	1	CM 10-09 Notification system for transhipments within the Convention Area
	Inspections in port	1	CM 10-03 Port inspections of fishing vessels carrying Antarctic marine living resources
	Designation of landing ports	0	(1) "Contracting Parties may designate ports to which fishing vessels may seek entry." (CM 10-03) (2) No list available
IUU vessel listing	Document	1	Conservation Measure 10-06 (2016) Scheme to promote compliance by Contracting Party vessels with CCAMLR conservation measures Conservation Measure 10-07 (2016) Scheme to promote compliance by non-Contracting Party vessels with CCAMLR conservation measures
	Link	-	https://www.ccamlr.org/en/compliance/contracting-party-iuu-vessel-list https://www.ccamlr.org/en/compliance/non-contracting-party-iuu-vessel-list
	Coverage	1	Provisions for two separate lists
	Evidence	2	(1) Paragraph 3: "Where a Contracting Party obtains information that vessels flying the flag of another Contracting Party have engaged in activities set out in paragraph 5, it shall submit a report containing this information to the Executive Secretary and the Contracting Party concerned in a timely manner." (2) Paragraph 6: "[…] on the basis of the information gathered in accordance with paragraphs 2 and 3, and any other information that the Executive Secretary might have obtained […]"
	BO	1	Paragraph 16(iii): "owner of vessel and previous owners, including beneficial owners, if any"
	Listing justification	2	(1) Paragraph 16(x): "date and location of subsequent sightings of the vessel in the Convention Area, if any, and of any other related activities performed by the vessel contrary to CCAMLR conservation measures." (2) Description of IUU activity available in the IUU vessel list
	Follow-up	3	(1) Paragraph 18: "Contracting Parties shall take all necessary measures, subject to and in accordance with their applicable laws and regulations and international law […]"

			Paragraph 20: "The Executive Secretary shall circulate to non-Contracting Parties cooperating with the Commission by participating in the CDS the CP-IUU Vessel List, together with the request that, to the extent possible in accordance with their applicable laws and regulations, they do not register vessels that have been placed on the List unless they are removed from the List by the Commission." [1] (2) Paragraph 18(viii): "imports, exports and re-exports of Dissostichus spp. from vessels on the CP-IUU Vessel List are prohibited;" [1] (3) Actions take in relation to vessels suspected of IUU fishing noted in the Compliance report (vessels not included on the IUU vessel list) [1] (4) Not available, however there are provisions available in paragraph 25: "The Commission shall review, at subsequent CCAMLR annual meetings, as appropriate, action taken by those Contracting Parties to which requests have been made pursuant to paragraph 24, and identify those which have not rectified their activities." [0]
Decision-making	Document	1	Convention on the Conservation of Antarctic Marine Living Resources (1980)
	Voting	0	Article XII(1): "Decisions of the Commission on matters of substance shall be taken by consensus. The question of whether a matter is one of substance shall be treated as a matter of substance." (Article XII suggests that on important matters, the decision-making process would default to consensus)
	Objection	0	NA
	Justification of the objection	0	NA
	Framework of the objection	0	NA
	Review panel	0	NA
Co-operation	Co-operation	1	Paragraph 19: "[…] the Executive Secretary shall communicate the CP-IUU Vessel List to the FAO and appropriate regional fisheries organisations to enhance cooperation between CCAMLR and these organisations for the purposes of preventing, deterring and eliminating IUU fishing."
	Cross-listing	0.5	(1) No provisions for cross-listing with other RFMOs established in the relevant resolution [0] (2) IUU vessel list from other RFMOs linked to the page [0.5] [0.5
Compliance review	Compliance review body and related documents	1	CCAMLR Compliance Evaluation Procedure (CCEP) evaluates CPs' compliance with CMMs; responsible body is Standing Committee on Implementation and Compliance (SCIC), gathering annually since 2003; SCIC has replaced Standing Committee on Observation and Inspection (SCOI) established in 1988
	Summary (implementation of CMMs)	1	CCAMLR Compliance Report (latest - Annex 8 of the Commission meeting CCAMLR XXXVI) identifies non-compliance with CMMs by CP/CNCP
	Summary (data collection)	1	Compliance with CMMs on data reporting (CMMs marked 23-0X, where X ranges from 1 to 7) available by CP/CNCP
	Sanctions	0	(1) Not available (2) Not available