



# TERMINAL REPORT

THE JTF6 PROJECT: COMBATING IUU FISHING IN  
SOUTHEAST ASIA THROUGH APPLICATION OF CATCH  
CERTIFICATION FOR INTERNATIONAL TRADE IN FISH  
AND FISHERY PRODUCTS



SOUTHEAST ASIAN FISHERIES DEVELOPMENT CENTER  
MARINE FISHERY RESOURCES DEVELOPMENT AND  
MANAGEMENT DEPARTMENT

2019



## **THE TERMINAL REPORT OF**

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# **The JTF6 Project: Combating IUU Fishing in Southeast Asia Through Application of Catch Certification for International Trade in Fish and Fishery Products**

**Prepared by:**

Abdul Razak Latun  
Mazalina Ali  
Raja Bidin Raja Hassan  
Masaya Katoh  
Adam Luke Pugas  
Ahmad Firdaus Siregar Abdullah

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## ABBREVIATIONS AND ACRONYMS

ACDS	ASEAN Catch Documentation Schemes
AEC	ASEAN Economic Community
AFCF	ASEAN Fisheries Consultative Forum
AMAF	ASEAN Ministers of Agriculture and Forestry
AMS	ASEAN Member States
APFIC	Asia-Pacific Fishery Commission
ASEAN	Association of Southeast Asian Nations
ASEAN-WEN	ASEAN Wildlife Enforcement Network
ASWGF	ASEAN Sectoral Working Group on Fisheries
CA	Competent Authority
CC	Catch Certificate
CCRF	Code of Conduct for Responsible Fisheries
CCSBT	Commission for the Conservation of Southern Bluefin Tuna
CD	Catch Declaration
CDS	Catch Documentation Scheme
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
CTI-CFF	Coral Triangle Initiative on Coral Reefs, Fisheries and Food Security
eACDS	Electronic ASEAN Catch Documentation Schemes
eBCD	Electronic Bluefin Catch Documentation System
DOF	Department of Fisheries
EC	European Commission
EEZ	Exclusive Economic Zone
EU	European Union
FAO	Food and Agriculture Organization of the United Nations
FCG/ASSP	Fisheries Consultative Group of the ASEAN-SEAFDEC Strategic Partnership
ICCAT	International Commission for the Conservation of Atlantic Tunas
IGO	Inter-governmental Organization
IOTC	Indian Ocean Tuna Commission
IPOA	International Plan of Action
IPOA-IUU	International Plan of Action to Prevent, Deter and Eliminate IUU Fishing
IUU	Illegal, Unreported and Unregulated

JTF	Japanese Trust Fund
LRFF	Live Reef Food Fish
LRFFT	Live Reef Food Fish Trade
MALSINDO	Malaysia, Singapore and Indonesia
MCPD	Marine Catch Purchasing Document
MCPD-FM	Marine Catch Purchasing Document for Fish Meal
MCS	Monitoring, Control and Surveillance
MD	Movement Document
MFRDMD	Marine Fishery Resources Development and Management Department
MRC	Mekong River Commission
MRC-FP	MRC Fisheries Programme
NGO	Non-governmental Organization
NPOA-IUU	National Plan of Action to Prevent, Deter and Eliminate IUU Fishing
PSM	Port State Measures
RAC	Regional Advisory Committee on Fisheries Management in Southeast Asia (2009-2012)
RCCRF	Regional Code of Conduct for Responsible Fisheries for Southeast Asia
RFMO	Regional Fisheries Management Organization
RFVR	Regional Fishing Vessels Record
RPOA	Regional Plan of Action
RPOA-IUU	Regional Plan of Action to Promote Responsible Fishing Practices including Combating Illegal, Unreported and Unregulated Fishing in Southeast Asia
RSAP	Regional Strategic Action Program
RTC	Regional Technical Consultation
SEAFDEC	Southeast Asian Fisheries Development Center
Sec	Secretariat
SIDA	Swedish International Development Cooperation Agency
SOM-AMAF	Senior Officials Meeting of the AMAF
SOP	Standard of Procedure
SSF	Small Scale Fishery
SSME	Sulu-Sulawesi Marine Ecoregion
SSME-CAP	Sulu-Sulawesi Marine Ecoregion Comprehensive Action Plan
TD	Training Department
VMS	Vessel Monitoring System

WCPFC	Western and Central Pacific Fisheries Commission
WPP-NRI	Wilayah Pengelolaan Perikanan Negara Republik Indonesia (Fisheries Management Area Indonesia)
WWF	World Wide Fund for Nature

## **FOREWORD**

### **SEAFDEC/MFRDMD**

Illegal, Unreported and Unregulated (IUU) fishing remain one of the greatest threats to marine ecosystem due to its potent ability to undermine national and regional efforts to manage fisheries sustainably as well as endeavours to conserve marine biodiversity. IUU fishing is found in all types and dimension of fisheries; it occurs both on the high seas and in areas within national jurisdiction, it concerns all aspects and stages of the capture and utilisation of fish, and it may sometimes be associated with organized crime. Fisheries resources available to bona fide fishers are removed by IUU fishing, which can lead to the collapse of local fisheries, with small-scale fisheries in developing countries proving particularly vulnerable. Products derived from IUU fishing can find their way into overseas trade markets thus throttling local food supply. IUU fishing therefore threatens livelihoods, exacerbates poverty and augments food security.

In view of these circumstances, SEAFDEC/MFRDMD with funding support from Japanese Trust Fund has implemented from 2013 to 2019 an IUU project, aimed to combat IUU fishing through application of catch certification for regional and international trade in fish and fishery products. The ASEAN Guidelines to Prevent Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain was developed after series of Core Expert Meetings and Regional Technical Consultations with ASEAN Member States (AMSs). A guideline was prepared and served as a basis for AMSs to formulate relevant policies and provide enabling environment for clear direction and planning of activities to combat IUU fishing in the region. The ASEAN Catch Documentation Scheme or catch certification will be another output from this project to regulate the trade of fish and fishery products in the region, jointly developed with collaboration from SEAFDEC/SEC and SEAFDEC/TD and to implemented in AMSs. SEAFDEC/MFRDMD expressed sincere thanks to the Government of Japan for funding this project through the Japanese Trust Funds II and Japanese Trust Funds VI. I hope this publication is useful for our reference in future.

**Raja Bidin Raja Hassan**  
Chief of SEAFDEC/MFRDMD  
(rbidin@seafdec.org.my)

## **FOREWORD**

### **JAPANESE TRUST FUND**

Illegal, unreported and unregulated (IUU) fishing was identified as the biggest threat to the sustainable development of fisheries and aquaculture in the Asia-Pacific region (29th Session of APFIC in 2008). SEAFDEC/MFRDMD in collaboration with Secretariat started the new project “Combating IUU Fishing in the Southeast Asian Region through Application of Catch Certification for International Trade in Fish and Fishery Products” in 2013 responding the European Council Regulation (EC) No. 1005/2008. Most countries in the Southeast Asian region which were directly affected by the EC Regulation have developed their respective regulations. In line with EU initiatives, this project sought possible way to combat IUU fishing in the capture fisheries by developing a new catch documentation scheme for international trade in fish and fishery products within the Southeast Asian region.

Although we could not have a core expert meeting every year due to budget constrain, there were two major outputs from the project. The first one was the establishment of the ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain. The second one was the development of ASEAN Catch Documentation Scheme (ACDS). The basic framework of ACDS was discussed in this project first by SEAFDEC member countries. During the discussion many countries requested to develop electronic systems for traceability. After the completion of the general framework of ACDS, this part evolved to be new SEAFDEC projects including technical components. Therefore, at the end of this original project we focused more on self-evaluation of implementation and dissemination of the ASEAN Guidelines.

Combating IUU fishing requires continuous efforts by SEAFDEC member countries. I hope member countries continue to self-evaluate for improvements of implementation of the ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain and/or utilize external evaluation such as IUU Fishing Index (for 9 coastal ASEAN states) developed by the Global Initiative Against Transnational Organized Crime and Poseidon - Aquatic Resource Management Ltd. The publication presented here would not have been possible without the assistance of various agencies and colleagues from member countries. I also wish to thank Mr. Raja Bidin Raja Hassan (Chief of SEAFDEC/MFRDMD), Mr. Abdul Razak Latun, Ms. Mazalina Ali and the SEAFDEC staff members who supported this project.

KATOH Masaya, Ph.D.  
Deputy Chief and Japanese Co-Trust Fund Project Manager  
(katoh@seafdec.org.my)

## PREFACE

Fishing activities that do not comply with national, regional or international fisheries conservation and management legislations or measures comprise illegal, unregulated and unreported (IUU) fishing. IUU fishing is a complex scheme affecting many stakeholders from individual artisanal fishers in national waters to fishing fleets in the Exclusive Economic Zones (EEZs) and the high seas, up to the fish processors and fisheries managers in developed and developing countries. Efforts have been made by international and regional organizations in developing and promoting measures that would combat IUU fishing. The EC Regulation 1005/2008 to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing (or the EC IUU Regulation) adopted on the 29 September 2008 and entered into force on 1 January 2010, displays the seriousness of the European Union (EU) to crack down on IUU fishing problems worldwide. Adoption of the EC IUU Regulation by global fisheries markets demonstrates the significance of addressing IUU concerns and evaluating the efficacy of the EC IUU Regulation which was based primarily on the FAO International Plan of Action adopted in 2001 to prevent, deter and eliminate IUU fishing.

In spite of all such efforts, the international community has not succeeded in reducing the scope of IUU fishing activities in the world. The issue has even bloated considering that a wider range of species is now being affected by IUU fishing activities in all oceans throughout the world. This critical situation is mainly brought about by IUU fishing operators who continue to find new markets and circumvent current control systems by insufficiently adapting them to the inherent complexity of trade flows. Considering that IUU fishing practices have earned approximately Euro 10.0 billion or USD 15.0 billion a year worldwide, IUU fishing is therefore the second largest dollar earner from trading of fish and fishery products in the world.

Nonetheless, the AMSs continue to implement measures to combat IUU fishing and mitigate the impacts of the EC IUU Regulation by enhancing their corresponding national mechanisms. Collectively, the AMSs have been developing and implementing measures through vessels registration, gear licensing, and use of log books and log sheets, among others. In addition, the AMSs continue to enhance the awareness and cooperation of fishers, particularly on the conservation of fishery resources, good management of landing at fishing ports, and proper handling of fish as raw materials for the processing industry. Many AMSs recognize the relevance of the EC IUU Regulation in Southeast Asia as the Regulation influences the enhancement and/or enforcement of relevant laws and regulations; improved monitoring, control and surveillance; enhanced the roles of governments in fishery resources management; and ultimately, boosted economic returns to fishers. Nevertheless, many countries are still dealing with the negative impacts emanating from the adoption of the EC IUU Regulation due to inadequate awareness of some policy makers in the region on the consequences of IUU fishing as it is affecting the sustainable development of the region's fisheries.

This project corresponds to Resolution #8 of the ASEAN-SEAFDEC conference in 2011: Foster cooperation among ASEAN Member States, international and regional organizations in combating IUU fishing. This project corresponds to the Plan of Action #67 of the conference: Strengthen cooperation among Member Countries to implement international standards with regards to trading on fish and fishery products within the ASEAN region. SEAFDEC/MFRDMD published the "ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain" in 2015 in cooperation with MCs, SEAFDEC/TD and

SEAFDEC/SEC. ASEAN Member Countries required SEAFDEC/MFRDMD to assist them implementing the ASEAN Guidelines.

Thus it is expected that the outputs from this project are the guidelines that prevent entry of fish and fishery products from IUU fishing into markets in the Southeast Asian Region and the catch documentation scheme that will provide an enabling environment for clear direction and understanding of the need to prevent illegal products from IUU fishing into the regional and international supply chain.



## ABSTRACT

SEAFDEC/MFRDMD is the responsible SEAFDEC Department for this JTF funded project on Combating IUU Fishing in the Southeast Asian Region through Application of Catch Certification for International starting in 2013. Trade in Fish and Fishery Products to manage and coordinate all project activities. All SEAFDEC Member Countries are involved in the activities. The objectives of the project are 1) To provide suggestions for Member Countries to strengthen cooperation in combating IUU fishing. 2) To study existing fishing and trading practices in small-scale fishery in the region. 3) To analyse associated problems in compliance with the EC Regulation No. 1005/2008 in the region and 4) To suggest a possible catch certification system for large- and small-scale fisheries to ensure only non-IUU/legal fish and fishery products traded in the region. The project involves identification of existing practices/mechanisms in small-scale fishery and of associated problems in compliance with the EC Regulation No.1005/2008 for large-scale fishery in the region through core expert meetings. The information gathered was analysed and discussed with AMSs to developed the ASEAN Guidelines to prevent entry of fish and fishery products from IUU Fishing Activities Into the Supply Chain in the Southeast Asian region and also to develop and implement the ASEAN Catch Documentation Scheme (ACDS) for enhancing and strengthening traceability of trade in fish and fishery products within the region and directly or indirectly combating IUU fishing in the large- and small-scale fisheries of AMSs. Promotion for implementation of the Guidelines in AMSs started from 2016. The status of implementation of the ASEAN Guideline in all 10 AMS was discussed at the 2017 Regional Technical Consultation, the consultative country visits in 2018 and at the 2019 Project Terminal Meeting RTC 2019 Terminal JTF 6 – IUU project meeting. Most AMSs have implemented more than 80% of the recommended actions in the ASEAN Guidelines which indicated that all AMS were committed to combat IUU fishing in the region. SEAFDEC/MFRDMD in collaboration with SEAFDEC/Secretariat had conducted on-site kick-off program on the use of eACDS with relevant stakeholders in Brunei Darussalam in 2018. Since the project by MFRDMD ended on 31<sup>st</sup> December 2019, the project on combating IUU Fishing from 2020 - 2024 will be undertaken by SEAFDEC / TD. The project will focus on RFVR for fishing vessels in Southeast Asia, capacity building on port inspection to support PSM, sharing information on detection of IUU fishing vessels, development of eACDS in Viet Nam, Malaysia and Myanmar, sharing information on catch documentation and traceability and coordination with international organization and RFMOs. SEAFDEC/MFRDMD will collaborate with SEAFDEC / TD on the development of eACDS in Brunei Darussalam, Viet Nam, Malaysia and Myanmar.



## 1.0 INTRODUCTION

Illegal, unreported and unregulated (IUU) fishing was identified as the biggest threat to the sustainable development of fisheries and aquaculture in the Asia-Pacific region (29<sup>th</sup> Session of APFIC). To combat IUU fishing, countries are asked to take actions among others to adopt on sub-regional cooperation in preventing, deterring and eliminating IUU fishing.

The efforts of SEAFDEC to combat IUU fishing in the Southeast Asian region is being championed by the Government of Japan through the JTF Program on “Strengthening SEAFDEC Network for Sustainable Fisheries and IUU Fishing-related Countermeasures”, as well as by the Government of Sweden through the SEAFDEC collaborative project with the Swedish International Development Cooperation Agency (SIDA) which aims to promote the management of fishing capacity and effort to combat IUU fishing in the region. While also working closely with the Indonesian-based Regional Plan of Action (RPOA) to Promote Responsible Fishing including Combating IUU Fishing. SEAFDEC also encourages and assists the Southeast Asian countries in the development of their respective National Plans of Action on Combating IUU Fishing (NPOA-IUU).

### 1.1 Project Description

The project involved identification of existing trade of fish and fishery products and existing small-scale fisheries practices in the region including understanding the existing mechanisms and associated problems in compliance with the EU catch certificates through core expert meetings and the past and/or future questionnaires. The information gathered will be analysed and comparison among countries will provide possible solutions in the implementation of the EU catch certificates for combating IUU fishing in the Southeast Asian region with possible expansion and modification of the regulation in trading of fish and fishery products within the region.

The project corresponds to #8 of the Resolution at the ASEAN-SEAFDEC Conference in 2011: Foster cooperation among ASEAN Member Countries and with international and regional organizations in combating IUU fishing. This project also corresponds to #67 of the Plan of Action at the conference: Strengthen cooperation among Member Countries to implement international standards with regards to trading on fish and fishery products within the ASEAN region.

The outputs of the project will provide basis for possible suggestions in the implementation of the EU catch certificates in combating IUU fishing in the Southeast Asian region. The cooperation amongst the Member Countries will be strengthened so as to facilitate trade within the region and possibly to suggest a catch certification system for large- and small-scale fisheries to ensure only non-IUU/legal fish and fishery products traded in the region.

## 1.2 Project Goal

The project was intended to provide tool for combating IUU fishing in the Southeast Asian Region. The goal of the project is to combat IUU fishing and to enhance the credibility of the region's fish and fishery product.

## 1.3 Project Objectives

- a. To provide suggestions for Member Countries to strengthen cooperation in combating IUU fishing.
- b. To study existing fishing and trading practices in small-scale fishery in the region.
- c. To analyze associated problems in compliance with the EC Regulation No. 1005/2008 in the region.
- d. To suggest a possible catch certification system for large- and small-scale fisheries to ensure only non-IUU/legal fish and fishery products traded in the region.

The goal and objectives could be achieved through the promotion of good fisheries governance with the active participation of all stakeholders in decision-making processes and assuming the responsibilities for sustainable use of fishery resources, and an appropriate catch documentation scheme in place.

## 1.4 Activities under the Project

There are three (3) main activities under this project. The Activity 1 under the project covered core expert meetings, regional technical consultation and a terminal project meeting in 2019.

Activity 2 include studying existing fishing and trading practices in small scale fishery and problems for compliance to the EC Regulation 1005/2008 in the large scale fishery including gathering information regarding existing fishing and trading practices in small scale fishery and problems for compliance to the EC Regulation 1005/2008 in the large scale fishery will be collected and discussed at meetings with representatives and experts from AMSs. Lesson learned from this activity was used to formulate the ASEAN Guidelines to Prevent Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain in the Southeast Asian region.

Activity 3 of the project formulate the appropriate catch documentation scheme for the region trade of fish and fishery products, between AMS and facilitate regional and international trade of fish and fishery products. The ASEAN Catch Documentation scheme will be established and implemented in the region as a trade measures to combat IUU fishing. The implementation of the ACDS also include implementation of MCS measures including port state measures as stipulated

under the ASEAN Guidelines to prevent entry of fish and fishery products from IUU fishing activities into the supply chain.

For formulation of the ASEAN Guidelines, SEAFDEC/SEC collaborated with SEAFDEC/MFRDMD from 2013 till 2017 and for development of ACDS, SEAFDEC/MFRDMD collaborated with SEAFDEC/SEC and SEAFDEC/TD from 2014 till 2019.

## 2.0 DEFINITION OF TERMINOLOGIES

- a. **Catch Certificate (CC)** refers to a certificate that should be made available with the landed fish and submitted to authorities in any ports in the region, of which such certificate should accompany the landed fish through subsequent trade channels leading to the ASEAN and/or international markets.
- b. **Catch Documentation Scheme (CDS)** covers selected aquatic species from the point of first capture by a flag State through regional/international trade routes (*i.e.* imports, exports and re-exports) to the State of final destination. In the CDS, it is necessary for fishing and trading nations to ensure that fish entering the market are harvested in accordance with conservation and management measures. In order to guarantee compliance, the following sets of documents are required:
  - i. Copies of all validated catch documents issued to fishing vessels, and
  - ii. Copies of all export or re-export documents issued or received.
- c. **Catch Documentation System** refers to the specific system or technical approach to support the CDS implementing process, such as the electronic Bluefin Catch Documentation System (eBCD) developed by ICCAT.
- d. **Double flagging or double registration** refers to fishing vessels that hold more than one flag state of vessel registration.
- e. **Endangered aquatic species** refer to those aquatic species considered to be at risk of extinction according to the respective national laws and regulations.
- f. **Fish** means all species of living aquatic resources, whether processed or not (refers to FAO Definition).
- g. **Fishery Products** refer to all living aquatic resources and their derivatives that had been processed.
- h. **Fishing Vessels** refer to all fishing, carrier and factory vessels involved in fishing activities, except container vessels.
- i. **Foreign Fishing Vessels** refer to any fishing vessel other than national fishing vessels.

- j. Fishing License** refers an authorization given by a country's local/central government to individuals or companies to enable them to conduct fishing in designated areas.
- k. Flag State** refers to the state under whose laws the vessel is registered and licensed. The flag state has the authority and responsibility to enforce regulations over vessels registered under its flag, including those relating to inspection and certification.
- l. IUU Fishing** (based on IPOA-IUU):

**Illegal Fishing** refers to fishing activities conducted: (i) by national or foreign vessels in waters under the jurisdiction of a State, without the permission of that State, or in contravention of its laws and regulations; (ii) by vessels flying the flag of States that are parties to a relevant regional fisheries management organization but operate in contravention of the conservation and management measures adopted by that organization and by which the States are bound, or relevant provisions of applicable international laws; or (iii) in violation of national laws or international obligations, including those of the cooperating States or relevant regional fisheries management organization.

**Unreported Fishing** refers to fishing activities (i) which have not been reported or have been misreported, to the relevant national authority, in contravention of national laws and regulations; or (ii) undertaken in the area of competence of a relevant regional fisheries management organization which have not been reported or have been misreported, in contravention of the reporting procedures of that organization.

**Unregulated Fishing:** Refers to fishing activities (i) in the area of application of a relevant regional fisheries management organization that are conducted by vessels without nationality or by those flying the flag of a State not party to that organization or by a fishing entity, in a manner that is not consistent with or contravenes the conservation and management measures of that organization; or (ii) in areas or for fish stocks in relation to which there are no applicable conservation or management measures and where such fishing activities are conducted in a manner inconsistent with State responsibilities for the conservation of living marine resources under international laws.

- m. Monitoring, Control and Surveillance** (Based on FAO definition) refers to:
- n. Monitoring** is the collection, measurement and analysis of fishing capacity including, but not limited to catch, species composition, fishing effort, by-catch, discards, areas of operation;
- o. Control** involves the specification of the terms and conditions under which resources can be harvested; and

- p. **Surveillance** involves the regulation and supervision of fishing activity to ensure that national legislations as well as terms and conditions of access and management measures are observed.
- q. **Port State** is the country which provides landing sites for vessels to land their fish/catch.
- r. **Port State Measures (PSM)** refer to the requirements established or interventions undertaken by port states for which a foreign fishing vessel must comply with or is subjected to the conditions for the use of ports within the port state (based on FAO definition).
- s. **Small-scale/Artisanal and Commercial/Large-scale Fisheries** are characterized in accordance with the countries' respective descriptions due to the different legal definitions adopted by each country (Refer to RCCRF on Fishing Operations).
- t. **Transshipment** refers the act of transferring the catch from one fishing vessel to either another fishing vessel or to a vessel used solely for the carriage of cargo. (based on FAO definition).

### 3.0 FORMS OF IUU FISHING ACTIVITIES OCCURRING IN THE SOUTHEAST ASIAN REGION

#### 3.1 Common Issues

- a. It is recognized that IUU fishing brings about negative impacts on the economic, social and ecological attributes of fisheries that affect food security. Specifically, IUU fishing has contributed to the reduction in food supply, lost livelihoods and state revenues, diminishing fish stocks, and damaging ecosystems, with the most devastating effects concentrated in developing countries due to their greater vulnerability. These illegal activities form a complex web – from illegal fishing activities to illegal trade, and finally to persistent catching from unsustainably fished stocks with the underlying objective of getting high profit from illegally caught fish.
- b. The driving forces that lead to the rampant occurrence of IUU fishing in the waters of Southeast Asia could include: inadequate regulatory control over national fishers and fishing vessels, insufficient effective management tools to manage fishing capacity, weak enforcement of fishing legislations, evading the payments of fishing fees and taxes, absence of or inadequate maritime boundary agreements, and incompatible legal frameworks for combating IUU fishing.
- c. The need to strengthen regional and sub-regional efforts to combat IUU fishing has been considered as one of the priority actions of the AMS in parallel with the establishment of the ASEAN Economic Community (AEC) on 31st December 2015.

## **4.0 COMBATING IUU FISHING**

### **4.1 Various Forms of IUU Fishing**

Many AMS have encountered and experienced IUU fishing in various forms. The Guidelines specifically addresses five (5) major forms of IUU fishing activities occurring in the Southeast Asian region that include the following:

**a. Illegal fishing activities within a country**

This includes several root causes of illegal fishing activities such as fishing without valid license or registration document, vessel with specifications different from those indicated in the fishing license, double flagging, fishing in waters outside the permitted or designated fishing areas, operating prohibited fishing gears and methods, landing of fish in unauthorized ports, transferring of catch at sea, and unreporting or misreporting of catch.

**b. Unauthorized transshipment and landing of fish/catch across borders**

This includes fishing vessels operating in a country but transshipping or landing their fish/catch across borders without authorization.

**c. Poaching in the EEZs of other countries**

This type of IUU fishing practices includes foreign fishing vessels illegally fishing in another country's waters.

**d. Illegal fishing and trading practices of live reef food fish, reef-based ornamental and endangered aquatic species**

This includes illegal fishing activities such as the use of chemicals and other unregulated practices to collect and trade live reef food fish, as well as reef-based ornamental and endangered aquatic species for consumption and the aquarium industry.

**e. IUU fishing in the high seas and RFMO areas**

In the high seas and RFMO areas, IUU fishing include a range of illicit activities, such as fishing without permission or during out-of-season; using outlawed types of fishing gears; disregarding catch quotas; unreporting and misreporting catch volumes and species. The ASEAN Member States should ensure that fish imported or landed from high seas and RFMO areas do not come from IUU fishing activities.



## 4.2 SEAFDEC Initiatives to Address IUU Fishing

While promoting sustainable fisheries and developing measures for combating IUU fishing in Southeast Asia, SEAFDEC also compiles information on the trade of fish and fishery products from the Southeast Asian countries. The overall regional framework towards combating IUU fishing through the adoption of the “ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain,” had been recognized by the SEAFDEC Council and subsequently by the ASEAN Ministers in 2015.

Parallel activities have been undertaken by SEAFDEC to come up with supportive tools, such as the database on Regional Fishing Vessels Record (RFVR) starting with vessels 24 meters in length and over that aims to facilitate the checking of fishing vessels registered under the ASEAN Member States (AMSs); and the ASEAN Catch Documentation Scheme (ACDS) that promotes the application of traceability system from catch to market or exportation.

Furthermore, regional cooperation and capacity building activities have also been strengthened by SEAFDEC to support the implementation of Port State Measures, as well as the PSMA. Establishment of MCS networks among countries had been encouraged; and the Regional Plan of Action for Management of Fishing Capacity (RPOA-Capacity) was developed and endorsed by the ASEAN.

The “High-level Consultation on Regional Cooperation in Sustainable Fisheries Development Towards the ASEAN Economic Community: Combating IUU Fishing and Enhancing the Competitiveness of ASEAN Fish and Fishery Products” organized by SEAFDEC in August 2016 came up with the “ASEAN-SEAFDEC Joint Declaration on Combating IUU Fishing and Enhancing the Competitiveness of ASEAN Fish and Fishery Products”. The adoption of the Joint Declaration by the representatives from the ASEAN-SEAFDEC Member Countries during the High-level Consultation, demonstrated the willingness of the AMSs to combat IUU fishing in their respective waters and enhance the competitiveness of their fish and fishery products bound for the world market.

Furthermore, in response to the request over the years of the countries around the Gulf of Thailand and the Andaman Sea, SEAFDEC initiated bilateral dialogues between neighboring countries in these two sub-regions with a view to facilitate discussion and seek cooperation on fisheries-related issues including combating IUU fishing, and the possibility of establishing sub-regional network for monitoring, control and surveillance (MCS) with main emphasis on sharing of information on monitoring and control between countries. All of these are meant to support national efforts to mitigate IUU fishing activities in the Southeast Asian region as well as respond to the concerns of importing countries in Europe and the U.S.A, and certify the legal status of fish and fisheries products traded by the AMSs.

## 5.0 EXISTING FISHING PRACTICES IN SOUTHEAST ASIAN REGION

The total coastline of Southeast Asia is estimated to be about 112,699 km while the total EEZs is about 9,407,999 km<sup>2</sup>. The continental shelf which is the stretch of sea beds adjacent to each country also known as territorial waters is 3,523,398 km<sup>2</sup>. This scenario makes fishing an important activity especially in the coastal areas of Southeast Asia except Lao PDR being land-locked which is solely engaged in inland capture fisheries and aquaculture. The seas of Southeast Asia constituting about 2.5% of the world's oceans, has great potentials for exploitation by the fisheries sector.

Around 90 percent of the 35 million people recorded globally as fishers are classified a small-scale and a further 20 million people are estimated to be involved in the small-scale post-harvest sector. In the Southeast Asian region, small-scale fisheries (SSF) are the most important suppliers of fish, whereby more than 75% of fish consumed comes from SSF. In the Southeast Asian context, small-scale fishery is an important part of the fishery sector. Small-scale fishery contributed to the local food security, poverty alleviation and sustainable livelihoods.

The existing fishing practice in the small-scale fisheries of ASEAN member countries were in term of vessel registration, fishing gear licensing, types of fishing vessels, landing sites, facilities at landing sites, landing practices, documentation of catch, types of containers used for holding fish, type of containers for transporting fish, zoning system, method of preserving catches, usage of logbook or sheet for reporting and nationality of fishers working on fishing vessels.

Most AMSs must registered or licensed their fishing vessels. Each country has different agencies that authorise to handle the registration or licensing of the small-scale fisheries vessels. For examples, the registration of fishing vessels in Myanmar was issued to the Department of General Administration and licensed was issued to the Department of Fisheries. While in Thailand, all fishing vessels must register by Marine Department first then is licensed by Department of Fisheries. However, for some country like Cambodia, registration it is not compulsory for the small-scale fishing vessel.

All fishing gears from each AMSs must also be licensed for small-scale fisheries. However, different authorities take responsibilities in approving the license. In Brunei Darussalam, the fishing gear must be licensed under Fisheries Department while in Cambodia the fishing gear licence was authorized by the Ministry of Agriculture, Forestry, and Fisheries. In Philippines, it is actually not a requirement to licence the fishing gear by law but municipal governments may require it through an ordinance.

All AMSs have various types of small-scale fisheries vessels varying in sizes, horsepower and operating at different distance from the shore. According to sizes of vessels only 3 GT and below are allowed to operate by the small-scale fishing vessel in Philippines. In Brunei Darussalam and Malaysia, their fishing vessels were categorized as vessels utilizing inboard and outboard engines with different horsepower. However, fishermen in Brunei Darussalam used high horsepower engines as compared to Malaysia. Whereas Thailand has variety of fishing vessels distance from the shore which from less than 14 meters, 14 to 18 meters, more than 18 to 25 meters, and more than 25 meters

Many types of fishing gears were used in the small-scale fisheries of AMSs. The types of fishing gears can be divided into active and passive fishing gears. Examples of active fishing gears that are commonly used by AMSs are trawl nets, purse seine nets, and dredges whereas hook and line, portable traps and bag nets are used as passive fishing gears. Most fishermen in AMSs prefer to use active fishing gears in the small-scale fisheries. However active fishing gears are banned in municipal water of the Philippines.

Most AMSs have different types of fishery zoning system. The small-scale fisheries sector is regulated by a zoning system to separate fishing vessels by sizes and fishing methods. This zoning system is to prevent conflict between traditional and commercial scale fishermen and also to protect critical habitat such as nursery and breeding ground of commercial species. Myanmar has different name for the zoning system, called as Inshore Fishery Area which 10 nm from the shore. In Indonesia, there are eleven Fisheries Management Areas in the Republic of Indonesia called WPP-NRI. Whereas, zoning system for small-scale fisheries in Malaysia are consists of Zone A (0 to 5 nm) and B (5 to 12 nm).

All AMSs used ice for the preservation of catches. In Brunei Darussalam, Cambodia and Viet Nam, these countries only use ice for the preservation of catches. Others countries such as Indonesia, Lao PDR, Myanmar, Philippines and Thailand widely used salting and drying method, while in Malaysia, RSW also been used as the additional preservation method of the catches.

There is a limited usage of logbook for small-scale fisheries in AMSs. All commercial fishing vessels in Brunei Darussalam and all licensed vessels in Indonesia are required to report catches using logbook. Cambodia recognized the need of logbook, however, there is difficulty to report because of free access. In Malaysia, Philippines and Thailand, the logbook is only applicable for export of fish and fishery products to EU market. In the meantime, staff of township office in Myanmar records the catches of inshore fishing vessels through check points and sale bills of fishermen and wholesalers. Viet Nam only used the logbook for fishing vessels with engine more than 20 HP.

AMSs reported that there is no foreign fisherman involved in the small-scale fisheries. All the local fishermen need to be registered. For examples, all fishermen have to register in township, district, regional or state office in Myanmar, while in the Philippines, fishermen need to register with the municipal authority. There is no need to register the fishing or gear licensing for the fishermen that used 1 boat 5 GT for small fishing boats in Indonesia.

## **6.0 FISHERY PRODUCTION OF ASEAN MEMBER STATES**

Southeast Asian region (Figure 1) is bordered by the Andaman Sea and the Indian Ocean on the west, and the western part of the Pacific Ocean on the east. Although the region comprises 11 countries, namely: Brunei Darussalam, Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Singapore, Thailand, Timor Leste and Viet Nam; the scope of this section would focus mainly on the ten (10) ASEAN Member States (AMSs) except Timor Leste.



**Figure 1: Map of Southeast Asia**

In terms of fishery statistics for both capture fisheries and aquaculture, fishery production of the countries in the Southeast Asian region from 2000 to 2014 compiled by SEAFDEC from inputs of the countries, had been published in the Fishery Statistical Bulletin for the South China Sea Area 2000-2007, and the Fishery Statistical Bulletin of Southeast Asia 2008-2014, as summarized in Table 1 below.

**Table 1: Total fishery production of the Southeast Asian countries from 2000 to 2014 (MT)**

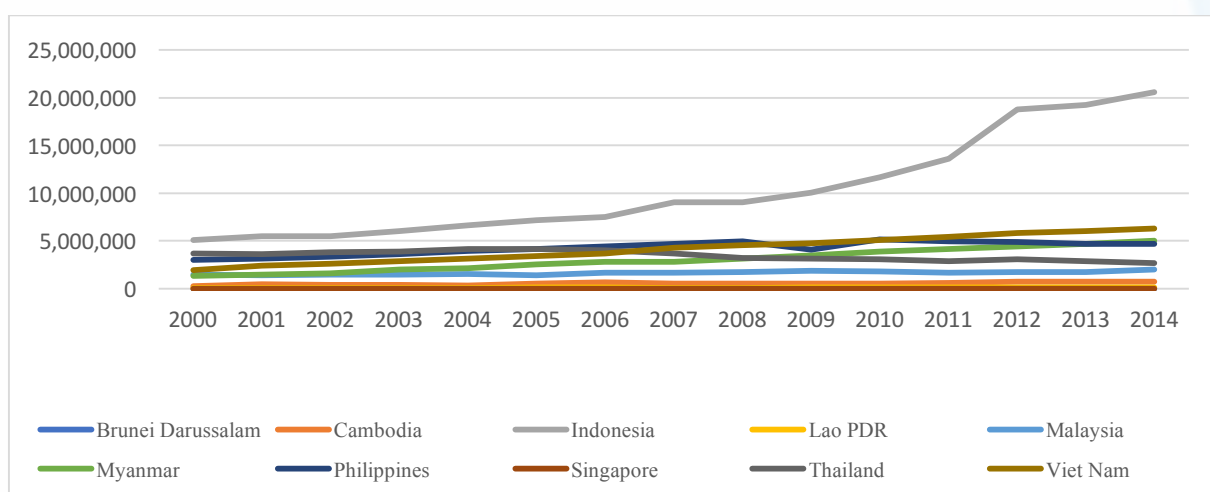
	2000	2001	2002	2003	2004	2005	2006	2007
Brunei Darussalam	2,577	1,575	2,152	2,160	3,133	3,103	3,100	3,227
Cambodia	298,798	441,200	424,432	390,657	343,492	546,000	661,542	525,100
Indonesia	5,120,490	5,490,504	5,515,648	6,005,622	6,646,965	7,183,586	7,510,767	9,054,873
Lao PDR	71,000	81,000	93,000	95,000	95,000	107,800	107,800	91,660
Malaysia	1,457,139	1,411,740	1,467,486	1,483,957	1,537,988	1,421,403	1,644,527	1,654,221
Myanmar	1,309,830	1,474,460	1,606,240	1,987,020	2,148,580	2,581,780	2,817,990	2,808,037
Philippines	2,993,332	3,166,528	3,369,524	3,619,282	3,926,173	4,161,870	4,408,472	4,711,252
Singapore	9,984	7,784	7,795	7,109	7,579	7,837	11,675	8,026
Thailand	3,713,248	3,648,429	3,797,014	3,914,025	4,137,066	4,132,826	4,051,824	3,675,382
Viet Nam	1,961,145	2,434,649	2,647,407	2,859,200	3,150,630	3,397,200	3,656,152	4,315,500
<b>Total</b>	<b>16,937,54</b>	<b>18,076,869</b>	<b>18,930,698</b>	<b>20,274,399</b>	<b>21,355,263</b>	<b>23,006,784</b>	<b>24,546,66</b>	<b>25,303,17</b>

Cont'd

	2008	2009	2010	2011	2012	2013	2014
Brunei Darussalam	2,747	2,418	2,772	2,447	5,079	3,431	3,947
Cambodia	536,320	515,000	555,000	631,695	728,000	728,000	745,310
Indonesia	9,054,873	10,064,140	11,662,311	13,626,141	18,763,893	19,245,632	20,600,772
Lao PDR	93,500	105,000	113,000	129,600	136,000	164,228	150,592
Malaysia	1,753,310	1,870,000	1,806,577	1,665,842	1,760,840	1,749,314	1,988,302
Myanmar	3,147,605	3,491,103	3,901,979	4,149,799	4,417,676	4,715,840	5,040,311
Philippines	4,966,889	4,079,977	5,155,647	4,973,588	4,865,678	4,695,369	4,681,418
Singapore	5,141	5,687	5,229	5,954	6,202	7,210	6,695
Thailand	3,204,200	3,137,672	3,113,316	2,870,085	3,068,345	2,900,591	2,667,309
Viet Nam	4,559,720	4,782,400	5,127,600	5,432,900	5,816,100	6,019,700	6,332,500
<b>Total</b>	<b>27,324,305</b>	<b>28,053,397</b>	<b>31,443,431</b>	<b>33,488,051</b>	<b>39,567,813</b>	<b>40,229,315</b>	<b>42,217,156</b>

Source: Fishery Statistical Bulletin for the South China Sea Area 2000-2007 (SEAFDEC, 2005-2010a) and Fishery Statistical Bulletin of Southeast Asia 2008-2014 (SEAFDEC 2010b-2016)

All countries have shown an upward trend in fishery production from 2000 to 2014 with Indonesia is the highest. Indonesia's fishery production in 2014 has grown more than four (4) times compared to 2000 (Figure 2).



**Figure 2: Trends of fishery production of the Southeast Asian countries from 2000 to 2014**

Fishery production of the Southeast Asian region comes from three sub-sectors, namely: marine capture fisheries, inland capture fisheries, and aquaculture. As shown in Table 2, the total fishery production of the region by sub-sector in 2014 indicated that largest portion of the region's total fishery production came from aquaculture accounting for approximately 53% followed by marine capture fisheries at about 40%, and inland capture fisheries at seven (7) percent.

**Table 2: Fishery Production (quantity and value) of Southeast Asia by Sub-sector in 2014**

Sub-sector	Sub-sector Quantity (MT)	Value (US\$ 1,000)	Value (US\$/MT)
Marine Capture Fisheries	16,655,092	21,635,256	1,299
Inland Capture Fisheries	3,028,233	3,693,300	1,220
Aquaculture	22,533,831	17,409,322	773
TOTAL	42,217,156	42,737,878	3,292

In terms of value, marine capture fisheries contributed the highest production value accounting for 50% of the region's total production value followed by aquaculture which contributes approximately 41% and inland capture fisheries at about 9%. While the value per metric ton of marine capture fisheries was about US\$ 1,299/MT, those of inland capture fisheries and aquaculture were about US\$ 1,220/MT and US\$773/MT, respectively.

## 6.1 Marine Capture Fisheries Production of Southeast Asia

In 2014 marine capture fishery production of Southeast Asia was 16.6 million MT contributing approximately 20.1% to the global marine capture fishery production, showed a continuous increasing trend in marine capture fisheries from 11.9 million MT in 2000 to 16.7 million MT in 2014, with an average increase of 0.34 million MT or 2% annually.

In terms of quantity, the marine capture fishery production of Southeast Asian countries during 2000-2014 (Table 3) indicated that Indonesia contributed the highest production to the region's total especially in 2014 when the country's production was 5.97 million MT accounting for approximately 35.8% of the region's total, followed by Viet Nam, Myanmar, and Philippines, with production of 2.71 million MT (16.3%), 2.70 million MT (16.2%), and 2.13 million MT (12.8%), respectively. Thailand and Malaysia also had considerable amount of production from marine capture fisheries at 1.56 million MT (9.4%) and 1.46 million MT (8.8%), respectively.

**Table 3: Marine Capture fishery Production of AMSs from 2000 to 2014**

	2000	2001	2002	2003	2004	2005	2006	2007
Brunei Darussalam	2,464	1,476	2,044	1,985	2,425	2,709	2,279	2,551
Cambodia	36,000	42,000	45,882	55,607	55,817	60,000	60,500	54,900
Indonesia	3,807,191	3,966,480	4,073,506	4,383,103	4,320,241	4,408,499	4,512,191	4,734,280
Lao PDR	...	...	...	...	...	...	...	...
Malaysia	1,285,488	1,231,275	1,272,078	1,283,256	1,331,645	1,209,601	1,379,859	1,381,424
Myanmar	949,670	1,029,460	1,060,250	1,132,340	1,220,030	1,375,670	1,525,000	1,485,740
Philippines	1,740,039	1,809,727	1,899,487	2,031,487	2,067,128	2,122,216	2,154,802	2,327,815
Singapore	5,371	3,342	2,769	2,085	2,173	1,920	3,103	3,522
Thailand	2,773,665	2,631,702	2,643,711	2,651,223	2,635,969	2,615,565	2,484,803	2,079,351
Viet Nam	1,280,590	1,481,175	1,575,640	1,647,482	1,745,413	1,791,100	1,816,100	1,987,400
<b>Total</b>	<b>11,880,478</b>	<b>12,196,637</b>	<b>12,575,367</b>	<b>13,188,568</b>	<b>13,380,841</b>	<b>13,587,280</b>	<b>13,938,637</b>	<b>14,056,983</b>

Cont'd

	2008	2009	2010	2011	2012	2013	2014
Brunei Darussalam	2,357	1,958	2,351	2,154	4,523	2,825	3,186
Cambodia	66,000	75,000	85,000	114,695	110,000	110,000	120,250
Indonesia	4,701,933	4,789,410	5,039,416	5,328,637	5,400,977	5,707,020	5,967,139
Lao PDR	...	...	...	...	...	...	...
Malaysia	1,394,531	1,391,088	1,428,881	1,373,105	1,472,239	1,482,900	1,458,126
Myanmar	1,679,010	1,867,510	2,048,590	2,169,820	2,332,790	2,483,870	2,702,240
Philippines	2,377,514	2,418,838	2,424,476	2,171,770	2,145,233	2,127,368	2,131,872
Singapore	1,623	2,121	1,732	1,618	1,969	1,644	1,433
Thailand	1,644,800	1,496,162	1,617,399	1,633,651	1,612,073	1,630,047	1,559,746
Viet Nam	1,946,600	2,098,300	2,226,600	2,300,000	2,510,900	2,607,000	2,711,100
<b>Total</b>	<b>13,814,368</b>	<b>14,140,387</b>	<b>14,874,445</b>	<b>15,095,704</b>	<b>15,590,704</b>	<b>16,152,674</b>	<b>16,655,092</b>

Source: Fishery Statistical Bulletin for the South China Sea Area 2000-2007 (SEAFDEC, 2005-2010a) and Fishery Statistical Bulletin of Southeast Asia 2008-2014 (SEAFDEC 2010b-2016)

Meanwhile, the corresponding values of the production from the region's marine capture fisheries during the same period are shown in Table 4. Indonesia was the largest producer in the Southeast Asian region from 2000 to 2014 in terms of volume (Table 3) and value (Table 4), which had been increasing from 3.80 million MT to 5.97 million MT over the same period, at an average increasing rate of 154.00 thousand MT annually. Although that of Myanmar had been steadily increasing from 0.95 million MT to 2.70 million MT with an average increasing rate of 125.00 thousand MT annually, Cambodia's production although not much, had tremendously increased from 36.00

thousand MT in 2000 to 120.00 thousand MT in 2014 with an average increase rate of 6.00 thousand MT or 16% annually.

**Table 4: Value of marine capture fishery production of Southeast Asian countries in 2000-2014 (US\$ million)**

	2000	2001	2002	2003	2004	2005	2006	2007
Brunei Darussalam	...	...	...	...	...	...	...	8
Cambodia	...	...	...	...	...	...	...	...
Indonesia	1,810	2,225	2,896	2,927	3,164	3,726	4,106	4,868
Lao PDR	...	...	...	...	...	...	...	...
Malaysia	1,158	1,096	1,107	1,056	1,103	1,087	1,343	1,464
Myanmar	...	...	...	...	...	...	...	...
Philippines	1,445	1,322	1,444	1,459	1,597	1,681	1,997	2,452
Singapore	11	7	6	6	6	6	12	14
Thailand	1,230	1,197	1,346	1,545	1,535	1,535	1,629	1,586
Viet Nam	...	924	875	964	...	...	...	...
<b>Total</b>	<b>5,723</b>	<b>6,771</b>	<b>7,676</b>	<b>7,958</b>	<b>7,405</b>	<b>7,405</b>	<b>9,091</b>	<b>10,421</b>

	2008	2009	2010	2011	2012	2013	2014
Brunei Darussalam	7	5	7	8	8	8	9
Cambodia	...	111	...	...	...	...	...
Indonesia	4,957	1,687	6,558	7,100	4,863	8,996	8,014
Lao PDR	...	...	...	...	...	...	...
Malaysia	1,667	1,833	2,015	2,268	2,583	2,646	4,768
Myanmar	1,585	3,081	3,400	3,580	3,849	4,098	4,459
Philippines	2,811	2,650	2,525	3,016	2,890	2,996	2,787
Singapore	8.6	10	11	10	12	11	9
Thailand	1,276	1,244	1,383	1,412	1,449	1,592	1,589
Viet Nam	...	...	...	3,784	4,384	...	...
<b>Total</b>	<b>12,336</b>	<b>10,417</b>	<b>15,899</b>	<b>21,179</b>	<b>20,049</b>	<b>20,349</b>	<b>21,635</b>

Although some countries in Southeast Asia were not able to provide the value of their production from marine capture fisheries, the total value of the region's marine capture fishery production from 2000 to 2014 seems to have increased corresponding to the increasing trend of the volume of production (Table 4). By country, Indonesia also led the Southeast Asian countries accounting for about 37% of the total value of the region's marine capture fishery production in 2014, with Malaysia emerging second in terms of value contributing about 22%. Meanwhile, Myanmar which came in third in terms of value contributed about 21%, Philippines which came in fourth accounting for 13%, and Thailand contributed about 7% during the same year.

## 7.0 EXISTING TRADING PRACTICES IN SMALL-SCALE FISHERIES OF SOUTHEAST ASIA

The existing trading practice in the small-scale fisheries of ASEAN member countries were include landing sites, landing practices and documentation of catches, facilities at landing sites, types of containers used for holding and transporting fish, target market for landed fish, types of trading system, transportation and documentation for trading.

Most AMSs allow the use of government and private landing sites for small-scale fisheries. There are responsible authorities in the Philippines such as municipal governments or the Philippine

Fisheries Development Authority as to manage the catches landed at informal landing sites and government landing ports. Fishing vessels with engines of more than 90 HP must land their catches at landing sites while small-scale fisheries vessels land their catches at the community areas in Viet Nam.

Fishermen in many countries have their own practices during landing of catches. After coming back from the sea, the fishermen tied the boat at the jetty and unload the catch from fish container manually. The usages of log book are widely used in Brunei Darussalam, Singapore and Viet Nam for landing practice. In Cambodia, the catches that landed are freely transferred to the local market or to the processing factories. While in Indonesia, auctioning or direct selling to the trader are applied by the fishermen to sell the catches.

Most AMSs were documented their catches through varies method such as sales receipt or sale bill, declaration, log book, or certificate. Besides that, interview with the fishermen and wholesaler also another alternative in order to document the catches and was applies in the Myanmar. In Malaysia, e-declaration was used to document the catches and Simplified Catch Certificate are used when the fisheries product for the export to EU like in Malaysia, Philippines, Viet Nam and Thailand.

Not all AMS s have good facilities at landing sites. Most of the countries have facilities such as berthing area, ice, fuel, clean water, cool room, marketing area, loading and unloading facilities, sorting and packaging areas and office. However, in Cambodia and Myanmar, the facilities at landing site is poor even though the location of landing site is good.

Most countries used plastic boxes, insulated fish boxes and Styrofoam boxes for holding and transporting fish especially in the Philippines, Singapore and Thailand. Malaysia and Myanmar use wooden boxes as an additional container for holding and transporting fish while in Lao PDR and Viet Nam use bags and baskets. Cambodia only use plastic containers or boxes with ice to hold and transport the fish. In Indonesia, the fishermen use fish containers, refrigerated trucks and cool boxes.

Landed fish in most countries are sold locally but some are for export market. Fishermen in Singapore and Lao PDR market the catches to local market only. Besides that, Brunei Darussalam and Cambodia also involved the middle man in market their catches. Landed fish in Viet Nam, Myanmar, and Malaysia are mostly for local market, but sometimes the wholesaler will decide if for export market. In the Philippines high grade catches are destined for exports while the rest are for local market. The catches in Thailand depending on request, quality and species of fishes are mostly for local market.

Most countries practiced wholesale trading system. In Brunei Darussalam the trading system involved only wholesale and in Cambodia only local market. The fishermen in Indonesia practised auctioning, retailing and direct selling for the small-scale fisheries. Trading system conducted in Lao PDR, Malaysia, the Philippines, Singapore, and Thailand Viet Nam are wholesale, retail, direct retail by fishermen to consumer. Fishermen from Myanmar sell fish through middlemen whereby the middlemen will sell the product to the wholesaler or export companies.

Most countries used various types of vehicle for transportation in order to transport their fisheries products commonly trucks, cars, boats and motorcycles. The carriers, trucks and refrigerated vans



are used in the Philippines. However, in country such as Thailand, the transportation system of catches is different where transportation used on land are freezer trucks and motorcycles while some tranship vessels are used for trawl nets and purse seine.

Most countries used various types of documentation for fish trading. In Indonesia, documentation of fish trading for export involved health certificate, custom declaration and quarantine certificate. Fish Marketing Control Scheme Form is commonly used to document the fisheries product in the Thailand and Malaysia. The trading that occurred only within states of Malaysia used the Transport Certificate used to document fish trading. Besides that, Marine Catch Purchasing Document (MCPD) and Marine Catch Purchasing Document for Fish Meal (MCPD-FM) are used in Thailand for documentation. Documentation of fish trading using transport permission and processing document are applied in Viet Nam.

## 7.1 Trade of Fish and Fishery Products in the Southeast Asia

The Southeast Asian countries have already secured a niche in the global market for their fish and fishery products, contributing about 14% to the world's total exportation of fish and fishery products in 2015 in quantity and value, and a little less than 40% to the total exportation from Asia, also in terms of quantity and value. Viet Nam, Thailand and Indonesia had remained the Southeast Asian region's highest exporters of fish and fishery products during the past five (5) years or so.

The efforts made by the Southeast Asian countries to improve their respective fisheries management policies and regulations towards sustainability have greatly contributed to this success. Such initiatives also enabled the countries to comply with the requirements of importing countries. The growth of international trade in fish and fishery products of the Southeast Asian countries had become dramatic during the past decade or more. While each country in the region gave high priority to export-oriented fisheries development, the region's exports increased rapidly with export growth that outpaced those of developed countries. In 2013, Thailand was the largest exporter of fish and fishery products representing about 56% of the country's total fishery production. This was followed by Viet Nam, the volume of which was about 26% of its total fishery production (Table 5).

**Table 5: Trading of fish and fishery products by the Southeast Asian countries in 2013 (MT)**

	<b>Total Fishery Production</b>	<b>Total Export of Fish and Fishery Products</b>	<b>Total Import of Fish and Fishery Products</b>	<b>Trade Balance (Export-Import)</b>
Brunei Darussalam	3,431	1,498	13,956	-12,458
Cambodia	728,000	32,000	7,865	24,135
Indonesia	19,245,632	1,228,475	264,893	963,582
Lao PDR	164,228	9	5,995	-5,986
Malaysia	1,749,314	246,024	463,234	-217,210
Myanmar	4,715,840	376,848	9,528	367,320
Philippines	4,695,369	317,973	257,910	60,063
Singapore	7,210	47,906	206,906	-159,000
Thailand	2,900,591	1,618,684	1,667,847	-49,163
Viet Nam	5,831,300	1,528,850	339,272	1,189,578
<b>Total</b>	<b>40,040,915</b>	<b>5,398,267</b>	<b>3,237,406</b>	<b>2,160,861</b>

Source: FAO Fishery and Aquaculture Information and Statistics Service

From 2000 to 2013, the total volume of exports from Southeast Asian countries has grown fast at about 219,931 MT/year and in terms of value by about US\$ 940,524 annually (Table 6 and Table 7). All countries except Cambodia and Singapore shown the increasing trend for export volume of fish and fishery products from 2000 to 2013 (Figure 3).

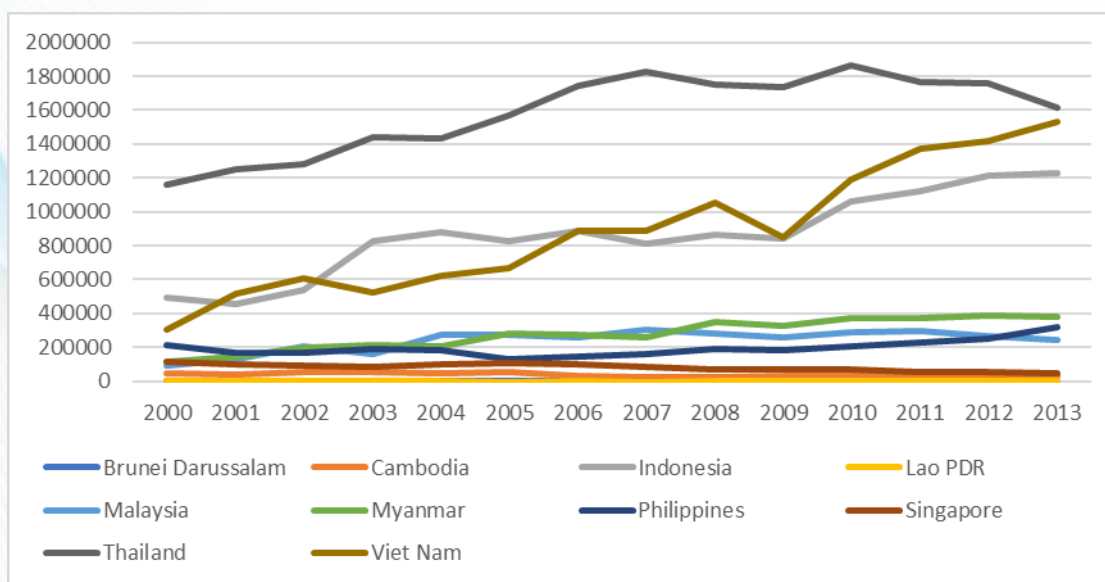
**Table 6: Export volume (MT) of fish and fishery products by the Southeast Asian countries from 2000 to 2013**

	2000	2001	2002	2003	2004	2005	2006
Brunei Darussalam	285	149	92	144	280	452	736
Cambodia	43,656	38,424	52,711	56,876	47,523	53,266	30,120
Indonesia	490,416	457,913	539,384	830,383	881,677	825,076	885,179
Lao PDR	4	30	7	24	10	0	1
Malaysia	95,435	126,229	203,327	160,262	270,695	275,006	255,890
Myanmar	116,609	144,623	201,667	212,999	205,463	278,675	271,071
Philippines	215,531	171,361	171,279	188,789	180,648	131,789	148,297
Singapore	112,158	102,137	88,741	87,811	102,378	109,564	96,978
Thailand	1,162,099	1,250,204	1,280,563	1,440,364	1,436,475	1,570,762	1,743,974
Viet Nam	302,970	513,683	606,688	525,092	625,888	671,046	889,266
<b>Total</b>	<b>2,539,163</b>	<b>2,804,753</b>	<b>3,144,459</b>	<b>3,502,744</b>	<b>3,751,037</b>	<b>3,915,636</b>	<b>4,321,512</b>

Cont'd

	2007	2008	2009	2010	2011	2012	2013
Brunei Darussalam	568	218	229	315	420	1,271	1,498
Cambodia	24,100	25,000	30,000	35,043	30,000	31,025	32,000
Indonesia	814,303	868,442	839,803	1,063,293	1,122,149	1,216,617	1,228,475
Lao PDR	0	1	2	6	9	7	9
Malaysia	303,461	283,494	257,413	290,662	295,022	266,569	246,024
Myanmar	259,054	351,652	324,710	374,187	373,898	387,371	376,848
Philippines	159,406	192,982	183,801	204,375	231,711	253,849	317,973
Singapore	86,493	71,721	66,030	68,450	57,218	52,786	47,906
Thailand	1,823,612	1,755,255	1,732,874	1,862,012	1,762,955	1,762,131	1,618,684
Viet Nam	891,048	1,057,399	850,592	1,191,367	1,373,363	1,418,313	1,528,850
<b>Total</b>	<b>4,362,045</b>	<b>4,606,164</b>	<b>4,285,454</b>	<b>5,089,710</b>	<b>5,246,745</b>	<b>5,389,839</b>	<b>5,398,267</b>

Source: FAO Fishery and Aquaculture Information and Statistics Service



**Figure 3: Trend of export volume (MT) of fish and fishery products by the Southeast Asian countries from 2000 to 2013**

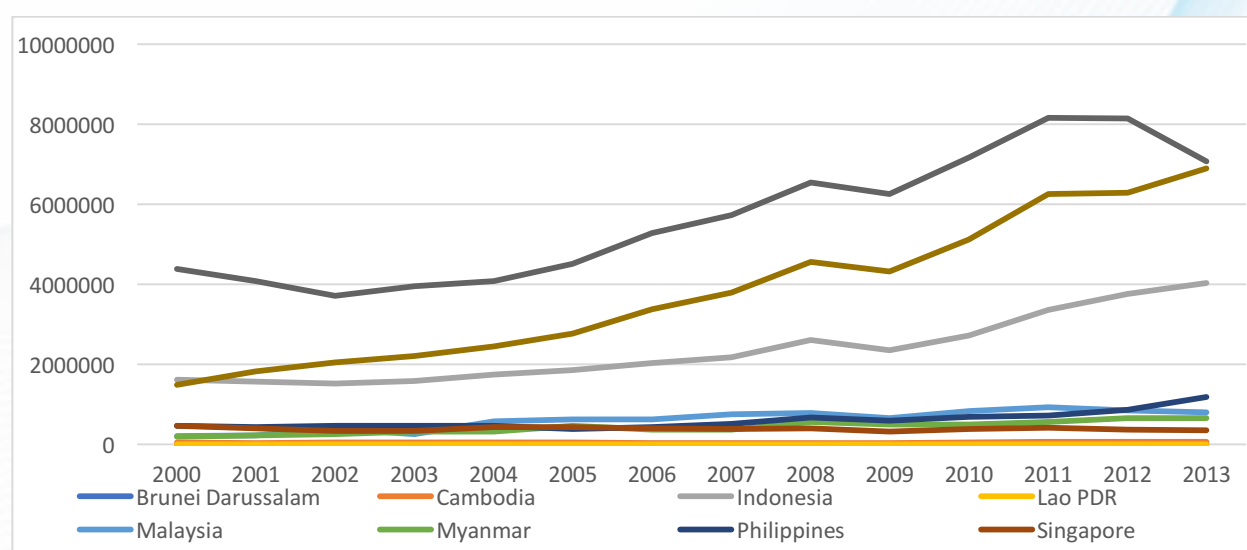
In 2013, Singapore reported the highest average value per metric tons of exported products at US\$ 7,075/MT followed by Viet Nam at US\$ 4,513/MT, Thailand at US\$ 4,366/MT, Philippines at US\$ 3,729/MT, Indonesia at US\$ 3,276/MT, and Malaysia at US\$ 3,252/MT. Meanwhile, Myanmar posted the lowest average value per metric ton of exported products at US\$ 1,732/MT (Table 7). Unfortunately, only Singapore showed an overall decreasing trend of export value of fish and fishery products from 2000 to 2013 (Figure 4).

**Table 7: Export value of fish and fishery products by the Southeast Asian countries from 2000 to 2013 (US\$ 1000)**

	2000	2001	2002	2003	2004	2005	2006
Brunei Darussalam	296	334	459	706	119	3,503	5,305
Cambodia	34,469	32,114	36,284	37,816	42,400	48,551	26,835
Indonesia	1,610,291	1,560,078	1,516,537	1,579,783	1,736,184	1,845,883	2,019,803
Lao PDR	29	78	27	26	12	17	3
Malaysia	200,469	220,126	381,983	256,197	573,238	619,653	624,015
Myanmar	183,707	218,291	251,534	317,382	318,514	460,089	362,951
Philippines	455,984	420,184	453,030	464,463	454,384	380,094	419,552
Singapore	457,105	388,184	325,267	335,331	422,195	427,544	396,388
Thailand	4,384,437	4,075,341	3,713,299	3,943,194	4,079,407	4,502,821	5,275,349
Viet Nam	1,484,316	1,823,150	2,044,630	2,203,499	2,450,112	2,765,366	3,379,955
<b>Total</b>	<b>8,811,103</b>	<b>8,737,880</b>	<b>8,723,050</b>	<b>9,138,397</b>	<b>10,076,565</b>	<b>11,053,071</b>	<b>12,510,156</b>

	2007	2008	2009	2010	2011	2012	2013
Brunei Darussalam	5,038	2,398	1,441	1,533	1,266	2,435	4,311
Cambodia	23,285	24,679	30,362	40,011	60,000	61,020	62,500
Indonesia	2,170,876	2,600,968	2,350,376	2,718,018	3,360,852	3,752,132	4,025,167
Lao PDR	3	6	7	12	17	33	28
Malaysia	738,535	770,273	657,479	827,565	916,456	846,169	800,030
Myanmar	358,065	560,568	483,230	495,454	555,515	654,129	652,840
Philippines	499,539	672,813	585,044	680,905	711,155	850,344	1,185,788
Singapore	385,455	398,016	321,098	384,244	416,096	366,907	338,942
Thailand	5,721,525	6,547,742	6,248,891	7,166,020	8,159,613	8,144,920	7,067,700
Viet Nam	3,790,167	4,559,252	4,311,738	5,122,710	6,259,788	6,291,141	6,900,612
<b>Total</b>	<b>13,692,488</b>	<b>16,136,715</b>	<b>14,989,666</b>	<b>17,436,472</b>	<b>20,440,758</b>	<b>20,969,230</b>	<b>21,037,918</b>

Source: FAO Fishery and Aquaculture Information and Statistics Service



**Figure 4: Trend of export value of fish and fishery products by the Southeast Asian countries from 2000 to 2013 (US\$ 1000)**

The import volume of the Southeast Asian region had been increasing at the rate of about 113,695 MT annually (Table 8), posting a trade balance of about 2,160,861 MT in 2013. Although Thailand is the largest importing country, it posted a negative trade balance of 49,163 MT followed by Malaysia with a negative trade balance of about 217,210 MT. Viet Nam posted a positive trade balance of 1,189,578 MT while Brunei Darussalam with the least fishery production posted a negative trade balance at 12,458 MT and Singapore also with the least fishery production posting a high negative trade balance at 159,000 MT.

**Table 8: Import volume of fish and fishery products by the Southeast Asian countries from 2000 to 2013 (MT)**

	2000	2001	2002	2003	2004	2005	2006
Brunei Darussalam	6,642	8,281	6,483	7,156	9,094	7,215	7,694
Cambodia	3,174	1,074	1,267	2,218	3,071	6,664	3,731
Indonesia	171,349	151,957	110,035	92,649	126,826	128,431	165,195
Lao PDR	2,510	3,142	2,725	3,026	3,943	3,594	3,028
Malaysia	322,923	353,400	464,172	386,586	325,116	400,766	440,135
Myanmar	415	4,071	464	1,026	1,648	1,826	1,354
Philippines	248,407	180,992	217,069	152,389	134,375	180,945	170,834
Singapore	182,377	173,118	177,869	215,342	227,405	253,553	244,644
Thailand	813,789	977,656	1,006,347	1,078,966	1,240,567	1,445,348	1,470,636
Viet Nam	7,960	42,168	45,282	85,515	104,652	164,388	200,356
Total	1,759,366	1,895,859	2,031,713	2,024,873	2,176,697	2,595,730	2,707,607

*Cont'd*

	2007	2008	2009	2010	2011	2012	2013
Brunei Darussalam	6,617	6,505	5,848	7,181	7,661	9,926	13,956
Cambodia	2,769	2,167	5,042	4,265	5,553	7,169	7,865
Indonesia	126,281	198,980	252,976	300,157	354,394	269,422	264,893
Lao PDR	3,190	3,884	4,591	5,561	5,747	5,731	5,995
Malaysia	440,270	386,051	411,544	424,032	365,460	417,029	463,234
Myanmar	1,668	2,400	2,828	4,840	6,101	7,122	9,528
Philippines	193,578	200,331	273,623	195,037	203,682	268,477	257,910
Singapore	239,688	225,704	221,987	220,791	220,710	213,305	206,906
Thailand	1,407,414	1,533,690	1,585,850	1,586,764	1,668,020	1,662,765	1,667,847
Viet Nam	228,375	253,680	229,727	308,368	332,027	330,584	339,272
Total	2,649,850	2,813,392	2,994,016	3,056,996	3,169,355	3,191,530	3,237,406

Source: FAO Fishery and Aquaculture Information and Statistics Service

From 2000 to 2013, the value of the products imported by the Southeast Asian countries increased by about US\$ 391,855 annually (Table 9). In terms of average value per metric tons of imported products, Brunei Darussalam had the highest value at US\$ 3,676/MT followed by Viet Nam at US\$ 2,703/MT, Myanmar at US\$ 2,403/MT and Malaysia at US\$ 2,310/MT. As for Thailand which is the largest importer among the Southeast Asian countries, the value of its import was US\$ 1,942/MT while the value of Lao PDR's import was the lowest at about US\$ 1,260/MT.

**Table 9: Import value of fish and fishery products (US\$1000) by the Southeast Asian countries from 2000 to 2013**

	2000	2001	2002	2003	2004	2005	2006
Brunei Darussalam	15,239	13,379	13,136	11,847	15,527	17,316	25,823
Cambodia	2,724	467	586	3,090	3,225	9,602	4,206
Indonesia	101,644	93,730	79,095	75,903	143,669	106,330	142,742
Lao PDR	2,069	2,170	1,727	2,333	3,331	3,310	3,084
Malaysia	307,340	336,705	400,345	377,504	538,112	530,863	580,337
Myanmar	742	1,389	642	1,685	2,789	3,186	2,568
Philippines	111,596	71,362	92,524	86,405	73,892	103,680	103,126
Singapore	544,165	473,241	497,176	599,269	706,016	776,389	757,944
Thailand	826,699	1,072,925	1,079,930	1,134,471	1,255,346	1,457,936	1,573,958
Viet Nam	36,242	60,145	116,141	151,622	218,636	276,576	302,425
Total	1,948,460	2,125,513	2,281,302	2,444,129	2,960,543	3,285,188	3,496,203

*Cont'd*

	2007	2008	2009	2010	2011	2012	2013
Brunei Darussalam	20,987	20,054	20,374	27,517	32,605	42,728	51,302
Cambodia	3,144	2,443	4,630	4,008	5,197	6,867	7,396
Indonesia	118,966	202,029	234,531	325,091	410,213	357,841	378,379
Lao PDR	3,675	4,409	4,120	4,449	6,126	6,952	7,554
Malaysia	644,881	594,255	683,818	790,291	998,720	1,071,037	1,070,210
Myanmar	2,905	5,204	6,505	11,217	15,727	18,378	22,893
Philippines	132,922	176,815	203,336	148,552	193,314	263,038	278,737
Singapore	818,704	914,863	824,248	968,787	1,160,247	1,072,760	1,070,573
Thailand	1,750,024	2,447,759	2,026,369	2,195,932	2,788,193	3,205,504	3,238,545
Viet Nam	373,470	461,125	433,337	529,849	726,215	837,929	916,980
Total	3,869,678	4,828,956	4,441,268	5,005,693	6,336,557	6,883,034	7,042,569

Source: FAO Fishery and Aquaculture Information and Statistics Service

## 8.0 ISSUE, PROCESSES AND PROCEDURES ON EXPORT OF FISH AND FISHERY PRODUCTS OF SEAFDEC MEMBER COUNTRIES

SEAFDEC shared their plans for improving fisheries management in general and addressing the issues of overcapacity and overfishing with AMSs. SEAFDEC future programme focused on overcapacity, especially on the need to have practical ways of understanding and communicating with fishermen, how capacity is built, and the use of rights-based management approaches.

Where it is considered that current national fisheries legislation is inadequate to combat IUU fishing, such legislation should be revised and legislative provisions should be directed at combatting IUU fishing including provisions relating to monitoring, control and surveillance (MCS) which should be kept under regular review. Such revision and review thereof should in general aim to enhance fisheries conservation and management and sustainable utilisation of living marine resources and take into account requirements contained in international fisheries instruments and as used in other jurisdictions to combat IUU fishing. In particular, it should be ensured that legislative provisions enhance coastal State control over fishing vessels authorised to fish in areas under national jurisdiction, or improve Flag State control over vessels fishing in the high seas, directly or through regional fisheries organisations or arrangements as appropriate, and enhance general Port State control.

Regional cooperation was a priority in the fight against IUU fishing and national measures and tools to combat it should build on those already in place. Furthermore, it was recognized that IUU fishing imposed significant costs on governments, exploited the weakened positions of developing countries and undermined efforts to manage fisheries on a long-term sustainable basis. The need to remove the incentive and revenue flows for IUU fishers by blocking port and market access was re-emphasized. It was pointed out that IUU fishing, probably for the first time ever, had mobilized opposition from all players in the fisheries and food marketing sectors.

Building capacity in effective fishery management is important for developing countries in combating IUU fishing. Improvement in data collection and data system is necessary for a better management planning. Management has to be more effective. It is important that their MCS and VMS be improved in order to lessen IUU fishing. There are needs in human resource development as well as financial support and technical assistance.

In 2012, SEAFDEC/MFRDMD developed a set of questionnaires to gather information on issues, process and procedures related to export of fish and fishery products from Member Countries especially on the export health certificates, specific certification needed from certain countries and catch documentation. The feedback from the questionnaires was consolidated and discussed during the Regional Core Expert Meeting on Preventing Export of IUU Fishing Products in Southeast Asia held in Sepang, Selangor, Malaysia from 20 to 22 November 2012. The meeting also discussed the requirements and Standard Operating Procedures (SOPs) of the four (4) export categories namely; (i) Direct Export, (ii) Indirect Export, (iii) Import and Export, and (iv) Import, Process and Re-export by country.

## **8.1 Level of Awareness on IUU Fish and Fishery Products**

Compilation information on the level of awareness of the participated member countries on IUU fish and fishery products at their countries were conducted based on questionnaire and discussed during the Regional Core Expert Meeting in 2012. Cambodia commented that IUU fishing is the issues that appeared in some fishing area, if the competence authorities is unable to fully monitor and regulate fishing activities. But to be eliminated these illegal fishing, we suppose more time on extension programme with fishermen both small-scale and large-scale fishing.

As for Malaysia, there is still no existing Malaysian law and regulations directly geared toward combating IUU fishing. However, the Malaysian Fisheries Act does regulate the fishery by empowering vessels and fishing gears to be registered and licensed before being allowed to fish. The Philippines are facing man - power shortage for managing their fisheries although the law and regulations to combat IUU fishing existed and implemented.

Singapore is reviewing its Fisheries Act and related legislations to include measures to comply with the various international measures on IUU fishing. Singapore has also taken some steps towards that, such as denying port access to IUU fishing listed fishing vessels etc. Meanwhile for Viet Nam even the matters regarding the awareness of IUU fishing matters are exists and fully comply, the details about IUU fishing activities are not familiar among them. Level of awareness of the participated member countries on IUU Fish and Fishery Products were shown below:

**Table 10: Level of awareness of the participated member countries on IUU Fish and Fishery Products**

	Aware but non-existence of legal instruments	Aware and fully comply	Aware and partly comply
IUU Fishing Definition	Malaysia Japan	Indonesia Myanmar Philippines Viet Nam	Cambodia Singapore Thailand
EU Council Regulation (EC) No. 1005/2008	Cambodia Philippines	Indonesia Japan Malaysia Myanmar Thailand Viet Nam	Singapore
The importance of combating IUU fishing for sustainable fishery	-	Indonesia Japan Malaysia Myanmar Philippines Viet Nam	Cambodia Singapore Thailand
Preventing export of IUU fishing products as a means of combating IUU fishing	Malaysia	Indonesia Japan Myanmar Philippines Viet Nam	Cambodia Singapore Thailand

## 8.2 Requirements Used for Identification of IUU Fish and Fishery Products for Commercial/Large- and Small-Scale Fisheries

There were five (5) requirements used for identification of IUU fish and fishery products for commercial/large- and small-scale fisheries in the participated member countries *i.e.* (i) fishing vessel license; (ii) fishing vessel registration; (iii) fishing gear licensing; (iv) designating fishing area / catch area; and (v) systematic data collection (*e.g.* LOV, logbook etc.). Most of SEAFDEC Member countries have legal framework in place to regulate fishery in their respective countries but the term “IUU Fishing” was not stated in their fishery law. SEAFDEC member countries need to strengthened legal framework to increase capacity in combating IUU fishing. Most of the participated country agreed that the requirements for export of fishery products can be used to identify IUU fishing products and trade measures can be effective to combat IUU fishing but it needs support from other measures.

For commercial / large-scale fishery, all participating member countries have fulfilled all the requirement needed *i.e.* fishing vessels registration, fishing gear licensing, designating fishing area and systematic data collection. While for the small-scale fishery in the participating member countries were shown below:

**Table 11: The requirements for the small-scale fishery in the participating member countries**

	<b>Yes</b>	<b>No</b>
Fishing vessel licensing	Japan Malaysia Myanmar Philippines Singapore Viet Nam	Cambodia Indonesia Thailand
Fishing vessels registration	Cambodia Japan Malaysia Myanmar Philippines Singapore Viet Nam	Indonesia Thailand
Fishing gear licensing	Cambodia Japan Malaysia Myanmar Philippines Singapore Thailand Viet Nam	Indonesia
Designating fishing / catch area	Cambodia Japan Malaysia Myanmar Philippines Singapore Viet Nam	Indonesia Thailand
Systematic data collection	Cambodia Japan Myanmar Singapore Thailand Viet Nam	Indonesia Malaysia Philippines

### **8.3 Requirement for Export and / or Re-Export Fish and Fishery Products**

#### **8.3.1 Export Health Certificates**

Information on Export Health Certificates (including Hygiene on Board and HACCP Certification) for designated country *i.e.* ASEAN, East Asia (include Japan, China etc.), South Asia, South Asia, North America, Oceania (include Australia and New Zealand), EU, West Asia (Iraq, Iran, Kuwait), African Continent, and Other countries was compiled for each Member Countries. The feedback from questionnaires based on the four (4) export categories were as below:



**Table 12: Requirement of Export Health Certificate for export of fish and fishery products**

Category	Yes for all countries	Yes for selected countries	Didn't have	Didn't export	Didn't issue
Direct Export	Indonesia	Cambodia Japan Myanmar Viet Nam	Malaysia Philippines	Singapore	Thailand
Indirect Export	Indonesia	Cambodia Japan Myanmar Viet Nam	Malaysia Philippines	Singapore	Thailand

*Cont'*

Category	Yes for all countries	Yes for selected countries	Depends on importing country	Didn't export	Didn't issue
Import and Re-export	NA	Cambodia Japan Malaysia Philippines Viet Nam	Malaysia	Indonesia Myanmar Singapore	Thailand
Import, Process and Re-export	Indonesia	Cambodia Japan Malaysia Philippines Singapore Thailand Viet Nam	Malaysia Thailand	Singapore	Thailand

### 8.3.2 Specific Certification

Information on the requirement to prepare the specific certification that required by the certain importer's countries including the EU Catch Certification, Aquatic Fish Health Certificate, Live Aquatic Animal Health Certificate and others were compiled as shown below:

**Table 13: Specific certification required for export of fish and fishery products**

Category	Yes for all countries	Yes for selected countries	Didn't have	Didn't export	Didn't issue
Direct Export	Cambodia Indonesia Malaysia	Japan Viet Nam	Myanmar Philippines	Singapore	Thailand

Category	Yes for all countries	Yes for selected countries	Yes for EU	Didn't export
Indirect Export	Cambodia Malaysia	Indonesia Japan Myanmar Philippines Viet Nam	Thailand	Singapore

Cont'

Category	Yes for all countries	Yes for selected countries	Yes for EU	Didn't export	Depends on importing country
Import and Re-export	Cambodia Malaysia	Japan Viet Nam	Philippines	Indonesia Myanmar Singapore	Thailand
Import, Process and Re-export	Cambodia Malaysia Singapore	Japan Viet Nam	Indonesia Philippines	Myanmar	Thailand

### 8.3.3 Catch Document for Re-Export of Fishery Products

Compilation on the information of the catch document for re-export of fishery products included the Annex IV and verification that needed by the importer's countries were summarized as below:

**Table 14: Catch document for re-export of fishery products**

Category	Yes for all countries	Yes for selected countries	Yes for EU	Didn't export	Issue Annex IV	Verification
Import and Re-export	Cambodia Viet Nam	Japan	Philippines	Indonesia Malaysia Myanmar	Thailand	Singapore

Category	Yes for all countries	Yes for selected countries	Yes for EU	Didn't export
Import, Process and Re-export	Cambodia Indonesia Malaysia Singapore Thailand Viet Nam	Japan	Philippines	Myanmar

### 8.4 Standard Operating Procedures (S.O.P.) for Export of Fishery Products

Information of the Standard Operating Procedure (S.O.P) by each export category *i.e.* Direct Export, Indirect Export, Import and Re-Export and Import, Process and Re-Export of fish and fishery products for all Member Countries involving all related agencies were compiled as shown below:

**Table 15: Standard Operating Procedure for each export category of fish and fishery products**

Country	Direct Export	Indirect Export	Import and Re-Export	Import, Process and Re-Export
Cambodia	Cambodia have small amount direct export	a. FiA/MAFF as National CA; b. Custom clearance	a. FiA/MAFF import and re-export permit; b. Custom check and declaration; c. CAMCONTROL/MoC (food safety controlling at check points)	a. FiA/MAFF import and re-export permit; b. Custom check and declaration; c. CAMCONTROL/MoC (food safety controlling at check points)
Indonesia	a. License of Capture Fisheries Business; b. License of fish's carriage vessel to export fish. c. Health certificate of live fish d. Export Declaration issued by DG Customs e. Certificate of Origin f. Catch Certificate issued.	a. Health Certificate; b. Export Declaration; c. Certificate of Origin; d. Letter of application, e. The documents such as Export Declaration (PEB), copy Bill of Landing (B/L), copy Air Way Bill (AWB), Cargo Receipt, Invoice, packing list are attached in the COO application; f. Catch Certificate:	a. API-P or API-U) b. SKP and/or HACCP; c. Letter of Recommendation; d. Demand plan for 1 year, e. Quarantine installation. f. Health certificate, g. Certificate of Origin, h. Result from accredited laboratory, i. Information of label, j. GAP certificate for aquaculture products. k. Importers have registered, licensed l. Carrier have a Health Certificate, m. The carrier must be entered/landed in to the specified places/ports, n. Reported to the quarantine officer for examination.	The procedure of import, process and re-export of fish and fishery products similar to the indirect export.
Japan	a. Fisheries Agency: Catch Certificate and Statistical Certificate. b. Governmental organizations, public health center or approved laboratories: Health Certificate and Animal Sanitary Certificate. c. Customs: Export Clearance	a. Fisheries Agency: Catch Certificate and Statistical Certificate.	a. Fisheries Agency and Ministry of Economy, Trade and Industry: Verification of Import. b. Customs: Import Clearance. c. Fisheries Agency: Re-export Certificate. d. Governmental organizations, public health center or approved laboratories: Health Certificate and Animal Sanitary Certificate. e. Customs: Export Clearance.	

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Country	Direct Export	Indirect Export	Import and Re-Export	Import, Process and Re-Export
Malaysia	<p>a. DOF (Licensing and Biosecurity): – refer to DOF SOP, pg. 11.- CC.</p> <p>b. LKIM: -Moving document. - Declaration by boxes.</p> <p>c. MAQIS: Checking export license, invoice.</p> <p>d. Custom: Checking for SKPI and custom form (K1 &amp; K2).</p>	<p>a. DOF (Licensing and Biosecurity) – refer to DOF SOP, pg. 12 - CC.</p> <p>b. LKIM: - Moving document - Declaration by boxes.</p> <p>c. MoH: - HC, - Checking: premise and sample</p>	<p>a. DOFM doesn't have the SOP.</p> <p>b. Custom: Declaration according to the tariff code.</p> <p>c. MOH</p>	<p>a. Custom: Declaration according to the tariff code (K2).</p> <p>b. MOH.</p> <p>c. DOF (Licensing and Biosecurity): Annex IV.</p> <p>d. MAQIS: Verify the CC from COO, SPKI, Regular checking</p>
Myanmar	<p>a. Catch Certificate - DOF;</p> <p>b. Health Certificate – DOF,</p> <p>c. Pre-shipment Inspection - DOF</p>		NR	NR
Philippines	No direct export	<p>a. Catch certificates.</p> <p>b. SPS clearances</p> <p>c. SSOP and HACCP system</p> <p>d. Sanitary/health certificate;</p> <p>e. Physical characteristics.</p> <p>f. Packaging. –hygienic and sanitary conditions;</p> <p>g. Storage –stored and maintained at the temperature required</p> <p>h. Prohibition</p> <p>i. Pre-shipment inspection</p>		
Singapore	Singapore didn't export their catch		Application for Re-export Certificate together with the original ICCAT Statistical Document (SD), to Singapore Customs (SC).	<p>a. Application for export certification, indicating destination country, Processing into products</p> <p>b. CA Singapore issues export health certificate</p>

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Country	Direct Export	Indirect Export	Import and Re-Export	Import, Process and Re-Export
Thailand	Didn't have direct export	<ul style="list-style-type: none"> <li>a. Meet the OMP and HACCP;</li> <li>b. DOF issue Health certificate</li> <li>c. Legal Thai fishing vessel submit fishing logbook to DOF;</li> <li>d. Using Movement document (Marine Catch Purchasing Document: MCPD) for traceability;</li> <li>e. DOF issue Catch certificate.</li> <li>f. Custom: custom procedure.</li> </ul>	<ul style="list-style-type: none"> <li>a. DOF doesn't issue health certificate for import and re-export products.</li> <li>b. Depends on the requirement of the importing countries,</li> <li>c. DOF: Movement document and prove catch certificate.</li> <li>d. Custom: custom procedure</li> </ul>	<ul style="list-style-type: none"> <li>a. Product declared at custom;</li> <li>b. Meet the GMP and HACCP;</li> <li>c. DOF issue Health certificate for approved processing plant.</li> <li>d. Depends on the requirement of the importing countries,</li> <li>e. DOF: Movement document, prove catch certificate and certify of Hygiene,</li> <li>f. Custom: custom procedure</li> </ul>
Viet Nam	<ul style="list-style-type: none"> <li>a. Department of Capture Fisheries and Resources Protection (Central and Province) (DECAFIREP);</li> <li>b. National Fisheries Quality Assurance Department (NAFIQAD)</li> </ul>		<ul style="list-style-type: none"> <li>a. Animal Health Department;</li> <li>b. Department of Capture Fisheries and Resources Protection (Central and Province) (DECAFIREP)</li> </ul>	

## 9.0 IMPACT OF EC REGULATION 1005/2008 ON SMALL-SCALE AND LARGE-SCALE FISHERIES OF THE ASEAN MEMBER STATES: A SYNTHESIS

The obligatory implementation of EC Regulation 1005/2008 or EC IUU Regulation has greatly affected the trading of fish and fishery products coming from the ASEAN Member States (AMSs) that constitute among the largest exporters of fish and fishery products to the European Union (EU). Nonetheless, the AMSs are addressing the impacts of the EC IUU Regulation by collectively developing measures in terms of vessels registration, gear licensing, and use of log books and log sheets, among others. In addition, efforts have also been made by the AMSs to enhance the awareness and cooperation of fishers, particularly on the conservation of fishery resources, management of landing at fishing ports, and proper handling of fish as raw materials for the processing industry. Many AMSs have also recognized that the promotion of EC IUU Regulation in Southeast Asia had greatly influenced the enforcement of relevant laws and regulations; improved monitoring, control and surveillance; enhanced the roles of governments in fishery resources management; and boosted economic returns to fishers. Nevertheless, many countries

have also been confronted with negative impacts emanating from the promotion of EC IUU Regulation that need a second look, especially by policy makers from the AMSs, for them to be fully aware of the consequences that would impact on the sustainable development of fisheries in the Southeast Asian region. The positive and negative impacts of the EC IUU Regulation are summarized in this article based on the inputs provided by the countries through a questionnaire survey conducted by SEAFDEC/MFRDMD and discussed during the Regional Core Expert Meeting in October 2013 (SEAFDEC/MFRDMD, 2013).

## **9.1 Fishing Vessel Registration and Fishing Gear Licensing**

Fishing vessel registration and fishing gear licensing are pre-requirements to enable the AMSs to export fish and fishery products to the EU market. Most AMSs have indicated that the promotion of EC Regulation 1005/2008 or EC IUU Regulation has created positive impacts on the respective countries' advocacy on fishing vessel registration and fishing gear licensing, as the numbers of fishing vessels registered and fishing gears licensed had tremendously increased with the view of targeting the lucrative fish market in the EU. However, some AMSs also indicated that compliance with the EC Regulation had also resulted in additional costs incurred by fishers and vessel operators for the registration and licensing processes.

Notwithstanding the consequences, the AMSs have collaborated with the Southeast Asian Fisheries Development Center (SEAFDEC) in the development of the Regional Fishing Vessels Registration (RFVR) for vessels 24 meters in length and over (Kawamura and Siriraksophon, 2014) with funding support from the Japanese Trust Fund. Envisioned as a tool to combat IUU fishing in Southeast Asian waters (Pongsri *et al.*, 2014), the RFVR would be extended later to include information on vessels below 24 meters in length (SEAFDEC, 2015) considering that this group of vessels which comprises more than 80% of the region's fishing vessels could also be involved in IUU fishing (Matsumoto *et al.*, 2012). For the development of the RFVR database, a series of ASEAN-SEAFDEC fora were convened to enhance the understanding of various stakeholders on the rationale of compiling and sharing information in the RFVR database as this could provide the ways and means of managing fishing capacity and combating IUU fishing in the region. The RFVR database could also provide inputs to the Global Record of Fishing Vessels, Refrigerated and Transport Vessels, and Supply Vessels being developed by FAO. The Global record is meant to serve as catalyst in improving global transparency and traceability in the fisheries sector, and ultimately in combating IUU fishing worldwide.

## **9.2 Use of Log Books and Log Sheets**

Promotion of the EC IUU Regulation has led to improved collection and compilation of fisheries data in most AMSs. More specifically, the efforts of AMSs in advocating the use of logbooks and log sheets had paved the way not only for improving fisheries data collection but also the traceability of fish and fishery products in the Southeast Asian region. In the case of Singapore,

however, the EC IUU Regulation has no impact in the country's fisheries data collection *per se*, as its fishers have been using logbooks and log sheets for a long time. Nevertheless, most AMSs had been confronted with negative impacts brought about by the promotion of the EC IUU Regulation that include difficulties in filling-up the log books and log sheets, generally considered as additional workload on the part of fishing masters or skippers who allegedly indicated that such additional task has caused delays in catching, landing and transporting of fish. As a result, increased administrative costs had been incurred by the governments as well as fishing managers, especially in terms of manpower and supplies.

### **9.3 Awareness/Cooperation of Fishers**

The EC IUU Regulation has increased the awareness of fishers in most AMS on the negative impacts of IUU fishing. As a matter of fact, by complying with the EC IUU Regulation, the skills and knowledge of fishers in the AMSs had been enhanced, especially in food safety as well as in reducing conflicts between commercial and traditional fishers that result in the high margin of marketability of the region's fish and fishery products worldwide. Although Singapore had indicated that the EC IUU Regulation has no impact on the country's fishers as their catches are not exported to the EU, the other AMSs cited that one of the negative impacts of the implementation of the EC IUU Regulation is the additional budget needed for regular surveillance of their respective countries' fishing operations.

### **9.4 Fishery Resources**

Through the EC IUU Regulation, most AMSs have recognized that combating IUU fishing had positive impacts on the health of the fishery resources (Table 16). However, some AMSs were concerned with the additional costs incurred in complying with the said Regulation. In particular, Cambodia had experienced difficulties in promoting the EC IUU Regulation as compliance with the Regulation is costly and the country has insufficient funds for promoting the Regulation nationwide.

**Table 16: Positive impacts of the implementation of EC IUU Regulation on the health of the fishery resources**

Cambodia	The EC IUU Regulation has been used as basis for aiming towards enhanced fishery resources that resulted in more fishers undertaking fishing ground conservation and increasing their awareness on the effects of IUU fishing on the fishery resources and fishery habitats.
Indonesia	Fishing activities and the fishery resources have been managed in an orderly manner after the country has promoted the adoption of the EC IUU Regulation.
Lao PDR	In order to be attuned with the requirements of the EC IUU Regulation, conservation areas in the country's inland waters have been created for the sustainability of inland fishery resources.
Malaysia	Guided by the EC IUU regulation, the country's efforts in enhancing the marine ecosystem and promoting resources conservation had been intensified, considering that by reducing or eliminating IUU fishing, the fishery resources for small-scale fisheries could be enhanced.
Myanmar	Through the EC IUU Regulation, the country has intensified its efforts in preserving the marine ecosystem by promoting resources conservation, considering that by reducing or eliminating IUU fishing, the fishery resources for small-scale fisheries could be enhanced.
Philippines	The country's activities related to combating IUU fishing include improving the management of stocks of commercial migratory fishes that contribute to the sustainability of the resources as well as that of fishing as a livelihood. The EC IUU Regulation has therefore helped in abating the degradation of habitats and resources, as more productive marine resources could be developed when IUU fishing is reduced if not eliminated.
Thailand	With the promotion of the EC IUU Regulation, the country's efforts in enhancing the marine ecosystem and promoting resources conservation had been intensified, considering that by reducing or eliminating IUU fishing, the fishery resources for small-scale fisheries could be improved. The EC Regulation has therefore led to the development of enhanced conservation measures for the marine ecosystem and resources, resulting in sustained abundance of the fishery resources.
Viet Nam	Guided by the EC IUU Regulation, the country has intensified its efforts in preserving the marine ecosystem by promoting resources conservation, considering that by reducing or eliminating IUU fishing, the fishery resources for small-scale fisheries could be enhanced.

## 9.5 Management of Landings at Fishing Ports or Landing Sites

After the EC IUU Regulation had been put into force, most AMSs cited that fish handling practices at sea and at ports had been improved. Management of catch at the landing sites also had improved in almost all AMSs. However, the countries also expressed the concern that higher inspection costs could be incurred during the inspection of landings at fishing ports or landing sites (Table 17).



**Table 17: Impacts of the EC IUU Regulation on the management of landings at fishing**

Country	Positive Impacts	Negative Impacts
Cambodia	Actions to promote overall knowledge on hygiene, safe products and good fish handling and transfer practices had been undertaken even beyond the fish landing sites.	Regular inspections are necessary at landing sites, and require additional budget.
Indonesia	Management at certain fish landing sites or ports had been strengthened especially in some ports designated as local competent authority (LCA) to issue Catch Certificates, and data collection on fishing and trading had also been improved.	Issuing catch certificates by LCA is an additional workload for fish port managers.
Lao PDR	Good fish handling and hygiene practices had been promoted and enhanced.	Additional cost is necessary to improve relevant infrastructures and be able to enhance management of landings at fishing ports.
Malaysia	Good fish handling and hygiene practices had been promoted and enhanced.	Additional manpower and budget needed for enforcement, inspection, recording during landings as well as for improving infrastructures.
Myanmar	Good fish handling and hygiene practices had been promoted and enhanced.	Additional manpower and budget needed for enforcement, inspection, recording during landings as well as for infrastructures improvement.
Philippines	Management of catch at landing sites had improved because of catch documentation requirements and easy access in monitoring the landings, while handling and food safety measures had been developed and the skills of stakeholders on food safety enhanced.	
Thailand	Management of landings at fishing ports had been promoted and enhanced while good fish handling and hygiene practices advocated, as well as collaboration between the government and private sector that supports the port state measures had been established.	Additional manpower and budget necessary for enforcement, inspection, recording during landings as well as for improving infrastructures.
Viet Nam	Good fish handling and hygiene practices had been promoted and enhanced.	Additional manpower and budget needed for enforcement, inspection, recording during landings as well as for improving relevant infrastructures.

## 9.6 Fish Raw Materials and Management of Processing Plants for Catch Certification

Many AMSs indicated that the EC IUU Regulation had created positive impacts on handling and processing of fish for exports. Nonetheless, many countries also feared that increased costs could be incurred in documentation works, enforcements, and other relevant activities.

## 9.7 Law Enforcement

The AMSs have their respective fishery laws and regulations, and strict enforcement of such laws and regulations could eventually reduce IUU fishing (Table 18), although many countries also expressed the concern on additional manpower and budget that would be needed to strictly enforce such laws. The persistent occurrence of IUU fishing activities that extend to illegal trading of IUU fishes in the Southeast Asian region is mainly due to weak enforcement of legislations and incompatible legal frameworks for combating IUU fishing (Kawamura and Siriraksophon, 2014).

**Table 18: Impacts of the EC IUU Regulation on enforcement of relevant laws and regulations in the AMSs**

Country	Positive Impacts	Negative Impacts
Cambodia	The Fisheries Administration of Cambodia has been regularly taking control and undertaking inspection activities with the cooperation of local authorities and other competent agencies.	High cost would be incurred in the inspection of all fishing activities in accordance with the national fisheries law.
Indonesia	The Directorate General for Controlling and Surveillance for Marine and Fisheries Resources under the country's Ministry and Marine Affairs and Fisheries has been undertaking law enforcement especially for IUU fishing practices. Amendment to the country's existing laws and regulations had been considered to make these in tune with the EC IUU Regulation and relevant RFMOs resolutions (e.g. licensing regulations, observer onboard program, installation of VMS in fishing vessels).	
Lao PDR	The country's existing laws and regulations would be amended along line with Government policies to reduce IUU fishing in small-scale inland fisheries.	Difficulties in designating additional manpower to implement the policies as this would entail additional costs.
Malaysia	Amendment to existing laws and regulations had been undertaken to be in tune with the EC IUU Regulation (e.g. licensing regulations, quality control of fish for export to the EU), and to reduce IUU fishing in small-scale fisheries.	Difficulties in designating additional manpower to implement the laws and regulations as this would require additional costs.
Myanmar	The country has issued directives and notifications that are in line with the EC IUU Regulation, leading to effective monitoring, control and surveillance system, as well as promotes enhanced cooperation among stakeholders and fishers.	Difficulties in designating additional manpower to implement the regulations due to additional costs required.
Philippines	Amendment of relevant policies had been affected incorporating catch documentation requirements and increasing sanctions to obtain more deterrent effects. A holistic approach to law enforcement has been promoted by integrating flag state, port state and coastal state responsibilities as stated in the IPOA on IUU. As a result, IUU fishing is significantly lessened due to the need for exporters to source fish only from licensed fishing vessels.	
Singapore	The country has continued to work towards reducing IUU fishing in small-scale fisheries.	Additional administrative procedures would be needed for enforcement officers to promote

		the implementation of the EC IUU Regulation.
Thailand	The existing laws and regulations had been amended with provisions that are in line with the EC IUU Regulation and reduction of IUU fishing in the country.	Difficulties in designating additional manpower and this would require additional costs.
Viet Nam	The existing laws and regulations had been amended to be in line with the EC IUU Regulation with the ultimate goal of decreasing IUU fishing in the country's small-scale fisheries.	Difficulties in designating additional manpower and this would require additional costs.

For such reason, the AMSs in collaboration with SEAFDEC and with funding support from the Japanese Trust Fund had developed the ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain (SEAFDEC/MFRDMD, 2014a; Kawamura and Siriraksophon, 2014) to serve as basis in formulating relevant policies and developing clear direction and understanding of the need to prevent the entry of IUU fish and fishery products into the supply chain. While the development of this ASEAN Guidelines took into consideration relevant international instruments, *e.g.* IPOA IUU Fishing, EC IUU Regulation, its implementation would need additional budget for capacity building of concerned stakeholders in the respective AMSs.

## 9.8 Monitoring, Control and Surveillance (MCS)

Most countries had experienced positive impacts of the promotion of the EC IUU Regulation not only in enhancing law enforcement but also strengthening the cooperation among enforcement agencies (Table 19). However, the countries were also concerned on the increased costs incurred for putting up additional infrastructures and designating more manpower for the effective enforcement of laws and regulations.

Furthermore, recognizing that MCS is also a vital and crucial component of fisheries management and tool to combat IUU fishing in the region (Yleaña and Velasco, 2012), the Southeast Asian countries had been actively participating in the various fora convened by SEAFDEC with collaborating partners that discussed MCS. In the process, the countries have considered the establishment of a regional MCS network as means of strengthening MCS capabilities and satisfying the obligations arising from international agreements and instruments as well as the countries' respective national responsibilities in performing MCS functions.

Nonetheless, the varying legal mandates and systems of the countries with data collection systems and research levels that also differ make it difficult to monitor the status of the fishery resources and enhance bilateral or sub-regional or regional cooperation which could serve as means of exchanging fisheries data for MCS purposes.

**Table 19: Impacts of the implementation of EC IUU Regulation on the promotion of MCS**

Country	Positive Impacts	Negative Impacts
Cambodia	Cooperation among competent agencies had been enhanced.	High cost needed for inspection of fishing activities.
Indonesia	The Directorate General for Controlling and Surveillance for Marine and Fisheries Resources under the Ministry of Marine Affairs and Fisheries (MMAF) had been given the sole responsibility of undertaking MCS.	
Lao PDR	Law enforcement had been improved as well as the cooperation among enforcement agencies.	Additional costs needed for developing more infrastructures and increasing manpower to be able to improve monitoring and control of all fishing activities.
Malaysia	Law enforcement had been improved as well as the cooperation among enforcement agencies.	More infrastructures should be developed in order to increase monitoring and control of all fishing activities.
Myanmar	Law enforcement had been improved as well as the cooperation among enforcement agencies.	More infrastructures needed in order to increase monitoring and control of all fishing activities.
Philippines	Installation in fishing vessels of VMS as an MCS tool especially for high-seas fishing has been generally accepted by fishers and fishery managers, although there had been some hesitations on the part of fishers to use VMS in domestic fishing. The country was able to acquire patrol vessels for patrolling its EEZ and high-seas fishing while information and data gathering has been improved leading to more successful MCS operations. In addition, compliance with fishery regulations among fishers had increased.	Implementation of the EC IUU Regulation would entail increased operational costs on the part of the government.
Singapore	Cooperation among enforcement agencies has been enhanced.	More infrastructures, assets, manpower and costs needed.
Thailand	Law enforcement has been improved as well as the cooperation among the government and private sectors.	More infrastructures, assets, manpower and costs needed to be able to increase monitoring and control of all fishing activities.
Viet Nam	Law enforcement has been improved as well as the cooperation among the government and private sectors.	More infrastructures, assets, manpower and costs necessary to be able to increase monitoring and control of all fishing activities.

## 9.9 Enhancing Governance

Governments have been playing big role in supporting fishers and fishery workers in terms of better working conditions and living standards, as well as policy concerns. Some countries however need to increase their respective budgetary allocations to be able to implement the EC IUU Regulation (Table 20). The AMSs also recognized that intra-regional and international trade of fish and fishery products is beyond trading with the EU, thus, the countries agreed to develop measures that could provide them with guidance in improving the traceability system of capture fisheries and eventually, in combating IUU fishing in the region (Kawamura and Siriraksophon, 2014).

With assistance from SEAFDEC and funding support provided through the Japanese Trust Fund, the countries initiated the development of the ASEAN Catch Documentation Scheme (ACDS) as a management tool for combating IUU fishing and enhancing inter-regional and international trade of fish and fishery products from the region.

**Table 20: Impacts of the implementation of EC IUU Regulation on the roles of governments in fisheries management**

Country	Positive Impacts	Negative Impacts
Cambodia	Improvements have been made in the working conditions and lives of fishers, assets, and supply of fish available on time of demand. Stakeholders' support to fishery policies based on the Fishery Law and regulations had been enhanced.	More infrastructures, assets and funds needed to support all fishery activities.
Indonesia	The Government through MMAF is committed to implement the Catch Certification and EC IUU Regulation through the issuance on Ministerial Regulation Number: PER.13/MEN/2012 on Indonesia Catch Certification.	
Lao PDR	Working conditions in capture, processing and other co-management aspects had improved.	More infrastructures, assets, manpower and funds are needed by the government to be able to implement the EC IUU Regulation.
Malaysia	Working conditions in capture fisheries as well as in processing and other areas in the supply chain had improved. The EC IUU Regulation had drawn policy support from government agencies, especially from food safety to trading systems. Better living standards could be seen as spill-over effect.	More infrastructures, assets, manpower and costs are needed by the government to be able to comply with the EC IUU Regulation.
Myanmar	Working conditions in capture fisheries and living standards of fishers as well as in processing and other areas in the supply chain had improved. The EC IUU Regulation had drawn policy support from government agencies, especially from food safety to trading systems.	More infrastructures, assets, manpower and costs are needed by the Government to be able to adopt the EC IUU Regulation.
Philippines	Relevant national policies had been revised while the country has considered ratifying fisheries-related international agreements such as the 2009 Port State Measures and Compliance Agreement. Budgetary allocations for fisheries management had been increased resulting in strengthened capabilities of municipal governments in fisheries management. Negotiations and cooperation with other States to combat IUU fishing at bilateral or regional levels had been enhanced, while, information dissemination through workshops and consultations on the impacts of IUU fishing to fishery stakeholders had been intensified. Improved production from capture fisheries had increased the supply of raw materials for the processing sector.	
Singapore		More infrastructures, assets, manpower and costs are needed by the government.
Thailand	Working conditions in capture fisheries and living standards of fishers as well as in processing and other areas in the supply chain had improved. The EC IUU Regulation had drawn policy support from government agencies, especially on fisheries management and sustainable development of the resources.	More infrastructures, assets, manpower and costs are needed to be able to comply with the EC IUU Regulation.
Viet Nam	Working conditions in capture fisheries and living standards of fishers as well as in processing and other areas in the supply chain had improved. The EC IUU Regulation had drawn policy support from government agencies, especially from food safety to trading systems.	More infrastructures, assets, manpower and costs are needed by the government to enable the country to promote the EC IUU Regulation nationwide.

## 9.10 Economic Aspects

During the past five years (2008-2012), the Southeast Asian countries have considerably increased their production from capture fisheries not only in terms of quantity but also in terms of value, as shown in Table 21 (SEAFDEC, 2014).

**Table 21: Total fishery production of Southeast Asia (2008-2012): quantity (QTY) in million metric tons; value (VAL) in billion US Dollars**

	2008		2009		2010		2011		2012	
	QTY	VAL	QTY	VAL	QTY	VAL	QTY	VAL	QTY	VAL
<b>Marine Capture</b>	13.8	12.3	14.2	10.5	14.9	15.9	15.1	21.2	15.6	20.1
<b>Inland Capture</b>	2.3	2.2	2.4	2.6	2.4	2.5	2.7	2.9	2.8	3.2
<b>Aquaculture</b>	11.1	14.1	12.3	16.1	14.2	13.4	15.8	19.7	21.2	21.7
<b>TOTAL</b>	<b>27.2</b>	<b>28.6</b>	<b>28.9</b>	<b>29.2</b>	<b>31.5</b>	<b>31.8</b>	<b>33.6</b>	<b>43.8</b>	<b>39.6</b>	<b>45.0</b>

Source: SEAFDEC (2014)

Therefore, most Southeast Asian countries had also improved their export opportunities resulting in enhanced economies. However, the countries expressed the concern on low supply of raw materials for export from complying fishing vessels (Table 22), notwithstanding the number of powered fishing boats in the region which could be more than 500,000 (SEAFDEC, 2014). Nevertheless, through the efforts of SEAFDEC and with funding support from the Japanese Trust Fund, the AMSs had been enhancing the capacity of their respective fishers in improving post-harvest handling of fish onboard fishing vessels to ensure that discards onboard are brought to the barest minimum. Furthermore, it could improve the quality and quantity of export of fish and fishery products from all Member Countries.

**Table 22: Impacts of the implementation of EC IUU Regulation in terms of the economic aspects of fisheries**

Country	Positive Impacts	Negative Impacts
Cambodia	Improved infrastructure led to enhanced fishery opportunities, safety and good hygiene of fish and fishery products.	Minimal activities on fishery enhancement and in promoting all fishery operations.
Indonesia	The country expects to increase seafood export to the EU market.	During Catch Certificate verification process, fish containers are kept on hold and released only after getting clarifications, making the situation and process costly and creating burden to exporters.
Lao PDR	Export opportunities of fish and fishery products improved creating income generating options for households.	
Malaysia	Export opportunities of fish and fishery products improved.	Low supply of raw materials for export from complying fishing vessels, <i>e.g.</i> anchovy, prawns/shrimps, squid while tariff barrier still exists in spite of compliance with EC IUU Regulation due to absence of free trade agreement (FTA).
Myanmar	Export opportunities of fish and fishery products improved.	Low supply of raw materials for export from complying fishing vessels (anchovy, prawns/shrimps, squid).
Philippines	Improved product quality and safety simultaneous with traceability thus, continued market access of fish and fishery products to EU member countries is ensured.	Loss of market access for those who cannot comply with EC IUU Regulation, in which case fishing boat operators need to spend additional amount of money to be able to comply with the EC IUU Regulation.
Singapore	Improved export opportunities of fish and fishery products.	
Thailand	Improved export opportunities of fish and fishery products, while quality of products is guaranteed due to high competition.	Low supply of raw materials for export from the complying fishing vessels.
Viet Nam	Improved export opportunities of fish and fishery products.	Low supply of raw materials for export from the complying fishing vessels, <i>e.g.</i> anchovy, prawns/shrimps, squid, octopus. Tariff barrier still exists in spite of compliance with EC IUU Regulation due to absence of FTA.

### 9.11 Conclusion and Recommendations on Impact of EC Regulation 1005/2008

Many Southeast Asian countries are exerting efforts to increase the export opportunities of their fish and fishery products to the EU market by complying with the EC IUU Regulation and other international instruments. However, there are still provisions in the Regulation that could not be promoted which governments should address, such as allocating additional budget to enable concerned national agencies in developing and enhancing infrastructures, especially those that are intended for monitoring national fishing activities, as well as capacity building for effective and efficient enforcement of laws and regulations, and for improved collection of data and information on fisheries. Moreover, it is also necessary that governments should work for the betterment of the lives and working conditions of fishers and fish workers, ensuring them of proper labour protection. In a recent development, the EU has lifted the “yellow card” sanctioned to the

Philippine Government almost a year ago (Philippine Star, 22 April 2015). The “yellow card” is an official warning for governments’ failure to combat IUU fishing in their respective waters. With the “yellow card” the concerned countries would be given six months to improve their mechanisms to combat IUU fishing as this often led to over-exploitation of fishing grounds and depletion of the marine resources. In the case of the Philippines, its Fisheries Code of 1998 had been amended and strengthened, and strictly implemented.

As a result of the strict enforcement of laws and regulations, the “yellow card” issued to the Philippines by the EU had been lifted meaning that the Philippines could export fish and fishery products to the EU market. In a similar development, the EU issued the “yellow card” on Thailand if the country fails to take actions in combating IUU fishing within six months in April 2015. If Thailand could not undertake the necessary measures, this ban could have huge impact on the country’s fishery industry since its fishery products could no longer be exported to the EU which is one of the major markets of the country’s products, especially canned tuna. Thailand is now taking emergency steps to address this concern, including addressing the issues related to labour, *i.e.* labour protection of fishers and fish workers in the country’s fishing industry. As of now, Thailand was released from the “yellow card” status by EU.

It is also necessary that bilateral, sub-regional and regional arrangements, whether formal or informal, should be strengthened in order that data and information are effectively exchanged, more particularly those that are related to IUU fishing in the Southeast Asian waters. As a matter of fact, strengthening regional and sub-regional efforts to combat IUU fishing in the region is a priority action of the ASEAN in preparation for the ASEAN Economic Community unification in 2015 (Poernomo *et al.*, 2011). Through such arrangements, lessons could be learned and experiences could be shared among the Southeast Asian countries with regards to the development of mechanisms and measures to combat IUU fishing, as this could eventually lead to possible lifting of sanctions issued by the EU and result in sustained trading of fish and fishery products in the EU market. Furthermore, the AMSs should continue and sustain the development of their respective National Plan of Action to Prevent, Deter and Eliminate IUU Fishing (NPOA-IUU) in accordance with the International Plan of Action to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing (IPOA-IUU).

SEAFDEC shared AMS plans for improving fisheries management in general and addressing the issues of overcapacity and overfishing. SEAFDEC future programme is focusing on overcapacity, especially on the need to have practical ways of understanding and communicating with fishermen, how capacity is built, and the use of rights-based management approaches.

Where it is considered that current national fisheries legislation is inadequate to combat IUU fishing, such legislation should be revised and legislative provisions should be directed at combatting IUU fishing including provisions relating to monitoring, control and surveillance (MCS) which should be kept under regular review. Such revision and review thereof should in general aim to enhance fisheries conservation and management and sustainable utilisation of living marine resources and take into account requirements contained in international fisheries instruments and as used in other jurisdictions to combat IUU fishing. In particular, it should be ensured that legislative provisions enhance coastal State control over fishing vessels authorised to fish in areas under national jurisdiction, or improve Flag State control over vessels fishing in the



high seas, directly or through regional fisheries organisations or arrangements as appropriate, and enhance general Port State control.

Regional cooperation was a priority in the fight against IUU fishing and national measures and tools to combat it should build on those already in place. Furthermore, it was recognized that IUU fishing imposed significant costs on governments, exploited the weakened positions of developing countries and undermined efforts to manage fisheries on a long-term sustainable basis. The need to remove the incentive and revenue flows for IUU fishers by blocking port and market access was re-emphasized. It was pointed out that IUU fishing, probably for the first time ever, had mobilized opposition from all players in the fisheries and food marketing sectors.

Building capacity in effective fishery management is important for AMSs in combating IUU fishing. Improvement in data collection and data system is necessary for a better management planning. Management has to be more effective. It is important that their MCS and VMS be improved in order to lessen IUU fishing. There are needs in human resource development as well as financial support and technical assistance.

## **10.0 THE ASEAN GUIDELINES TO PREVENT ENTRY OF FISH AND FISHERY PRODUCTS FROM IUU FISHING ACTIVITIES INTO THE SUPPLY CHAIN**

IUU fishing was identified as the biggest threat to the sustainable development of fisheries and aquaculture in the Asia-Pacific region (29th Session of APFIC). To combat IUU, countries are asked to take actions among others to adopt on sub-regional cooperation in deterring IUU fishing in the region. In response to this, the issue on management of fishing capacity and combating IUU fishing has been seriously addressed by ASEAN, SEAFDEC and the RPOA initiative to combat IUU fishing, as well as in the “Resolution and Plan of Action on Sustainable Fisheries for Food Security for the ASEAN Region Towards 2020” adopted by the Ministers and Senior Officials during the ASEAN-SEAFDEC Conference in 2011

International organizations such as the FAO which reviewed the requirements of developing countries in combating IUU fishing recognized that lack of effective fishery management and regulation in developing countries have made it difficult for these countries to implement measures to curb IUU fishing (Tokrisna, 2000). In addition, these organizations also recognized that IUU fishing should be clearly defined and concretely identifiable. As a matter of fact, the shapeless and structure-less term “IUU Fishing” should be made very precise and clearly elaborated on so that an international consensus to adopt the FAO IPOA to combat IUU fishing could be obtained. If left with unclear definition, IUU fishing which could not be controlled as problems could arise in the implementation of countermeasures in many countries, leading to discontentment and unwillingness to take on steps to combat IUU fishing. This means that there should be some form of clear agreement concerning the range of fishing activities that are being targeted and classified as IUU fishing. Furthermore, the absence of concrete and clear definition of “IUU fishing” could also insinuate that this form of fishing is not in accordance with international consensus on the practices targeted by trade-related measures (Chaves, 2000). In order that these issues and concerns would be addressed, the need to craft a definition of IUU fishing which would have the

greatest possible precision, should be considered a priority by relevant agencies and organizations including the concerned RFMOs.

The ASEAN-SEAFDEC Member Countries have recognized the need to foster cooperation among the countries as well as with international and regional organizations in order to combat IUU fishing in the Southeast Asian region, as clearly stipulated in the ASEAN-SEAFDEC Resolution and Plan of Action on Sustainable Fisheries for Food Security for the ASEAN Region Towards 2020 (SEAFDEC, 2011). In an effort to respond to such mandate, SEAFDEC has been implementing various activities that aim to control IUU fishing in the region, one of which is the activity on Preventing the Export of IUU Fishing Products from the Southeast Asian Region. With financial support from the Japanese Trust Fund (JTF), this activity which is being carried out by the SEAFDEC Marine Fishery Resources Development and Management Department (SEAFDEC/MFRDMD) was aimed at collecting and sharing information on the export of fisheries products from the region, and developing the regional guidelines that would set one's sight on preventing IUU fishing and its products from being imported/exported. The said guidelines would take into consideration the relevant international trade-related measures that prohibit the marketing of fish and fish products derived through unsustainable means and from unsustainable sources.

### **10.1 Development of the Guidelines**

The "ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain" (ASEAN Guidelines) take into consideration relevant international trade-related measures that prohibit the marketing of fish and fishery products derived through unsustainable means and from unsustainable sources. In this regard, SEAFDEC/MFRDMD in cooperation with the SEAFDEC/Secretariat had conducted series of consultative meetings involving all SEAFDEC Member Countries especially with Singapore as the ASEAN Lead Country of the program, experts from national and regional organizations to identify issues of IUU fishing activities that occur in the Southeast Asian waters. Thus, these ASEAN Guidelines enhance the credibility and competitiveness of the region's fish and fishery products.

In 2011, the SEAFDEC Training Department (SEAFDEC/TD) in collaboration with the Marine Fishery Resources Development and Management Department (SEAFDEC/MFRDMD) initiated the project on the promotion of fishing license, boats registration and port state measures to combat IUU fishing in the region, with funding from Japanese Trust Fund II. SEAFDEC/MFRDMD is responsible for the activity on preventing the export of IUU fish and fishery products. The objective of the activity under SEAFDEC/MFRDMD is to formulate a regional guideline to prevent export of IUU fish and fishery products. The activities conducted by MFRDMD in 2011 include gathering information regarding export of fisheries products from ASEAN member states using questionnaires and also co-organising the regional core expert meeting for information gathering regarding export of fisheries products and recommendation on information required for development of a regional guidelines. The first Regional Core Experts Meeting on Fishing License, Boats Registration and Information Gathering on Export of Fisheries Products in Southeast Asia was held from 4 to 7 October 2011 in Bangkok, Thailand. Information and

experiences on export of fish and fishery products from the SEAFDEC member countries were discussed in the meeting. The meeting also highlighted a substantial volume of fish and fishery products exported from the SEAFDEC Member Countries. In general, the meeting had agreed that all countries should aim to promote export of value-added fishery products from non-IUU fishing activities in the future. The output from the meeting is a format of the regional guideline to prevent the export of products from IUU fishing products (Annex 1).

The Regional Core Expert Meeting on Preventing Export of IUU Fishing Products in Southeast Asia was organized by SEAFDEC/MFRDMD at Concorde Inn KLIA, Sepang, Malaysia from 20<sup>th</sup> to 22<sup>nd</sup> November 2012 (Figure 5). SEAFDEC/MFRDMD aim to come up with a draft regional guideline to prevent export of IUU fishing products. Information regarding issues, process and procedures in export of fish and fishery products of SEAFDEC member countries was crucial for outlining further actions. A set of questionnaires for collection of such information was developed by SEAFDEC/MFRDMD and sent to member countries to be filled up by competence authorities on fish and fishery products trade. The information envisaged to be collected through the information gathering include existing law, status of NPOA-IUU, pre-requirement for export, requirement for export, awareness of IUU fishing and identification of IUU fishing products. The questions regarding existing national law, status of NPOA-IUU, awareness of IUU fishing and identification of IUU fishing products will reflect the readiness of countries in combating IUU fishing. The questions regarding pre-requirement and requirement for export were based on the compliance of countries to the EC Regulation 1005/2008 and countries presently exporting fish and fisheries products to EU.



**Figure 5: Participants of the Regional Core Expert Meeting on Preventing Export of IUU Fishing Products in Southeast Asia from 20<sup>th</sup> to 22<sup>nd</sup> November 2012**

A Meeting with Malaysian Officials for Preparation of the “Core Expert Meeting on Combating IUU Fishing in Southeast Asian Region through Application of Catch Certification for International Trade in Fish and Fishery Products” was conducted at KL International Hotel, Kuala Lumpur, Malaysia from 11 – 13 June 2013.

In the third quarter of 2013, The Regional Core Expert Meeting on Combating IUU Fishing in Southeast Asian Region Through Application of Catch Certification for International Trade in Fish and Fishery Products” was organized at Quality Hotel, Kuala Lumpur, Malaysia from 7 – 9 October 2013 (Figure 6).



**Figure 6: Participants the Regional Core Expert Meeting on Combating IUU Fishing in Southeast Asian Region Through Application of Catch Certification for International Trade in Fish and Fishery Products 7 – 9 Oct 2013**

To expedite finalizing the ASEAN Guidelines a series of meeting was organized in 2014. First a meeting with Malaysian officials was organized from to further developed the regional guidelines from 10<sup>th</sup> to 11<sup>th</sup> February 2014 at the Empress Hotel, Salak Tinggi, Malaysia. After that, an IUU project discussion between officials from SEAFDEC/Secretariat and SEAFDEC/MFRDMD convened from 28 – 30 April 2014 at SEAFDEC/MFRDMD, Terengganu, Malaysia and a meeting with Singapore (ASEAN Lead Country) on Combating IUU Fishing in Southeast Asian Region was organized on the 25<sup>th</sup> of August, 2014 at Furama Hotel, Kuala Lumpur, Malaysia.

The ASEAN Guidelines was finalized at the Regional Technical Consultation (RTC) on the Regional Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain from the 23<sup>rd</sup> to 25<sup>th</sup> of September 2014 at the Horizon Hotel in Kota Kinabalu, Sabah, Malaysia (Figure 7). The meeting was attended by representatives from AMSs, officials from SEAFDEC/SEC, SEAFDEC/TD and SEAFDEC/MFRDMD.

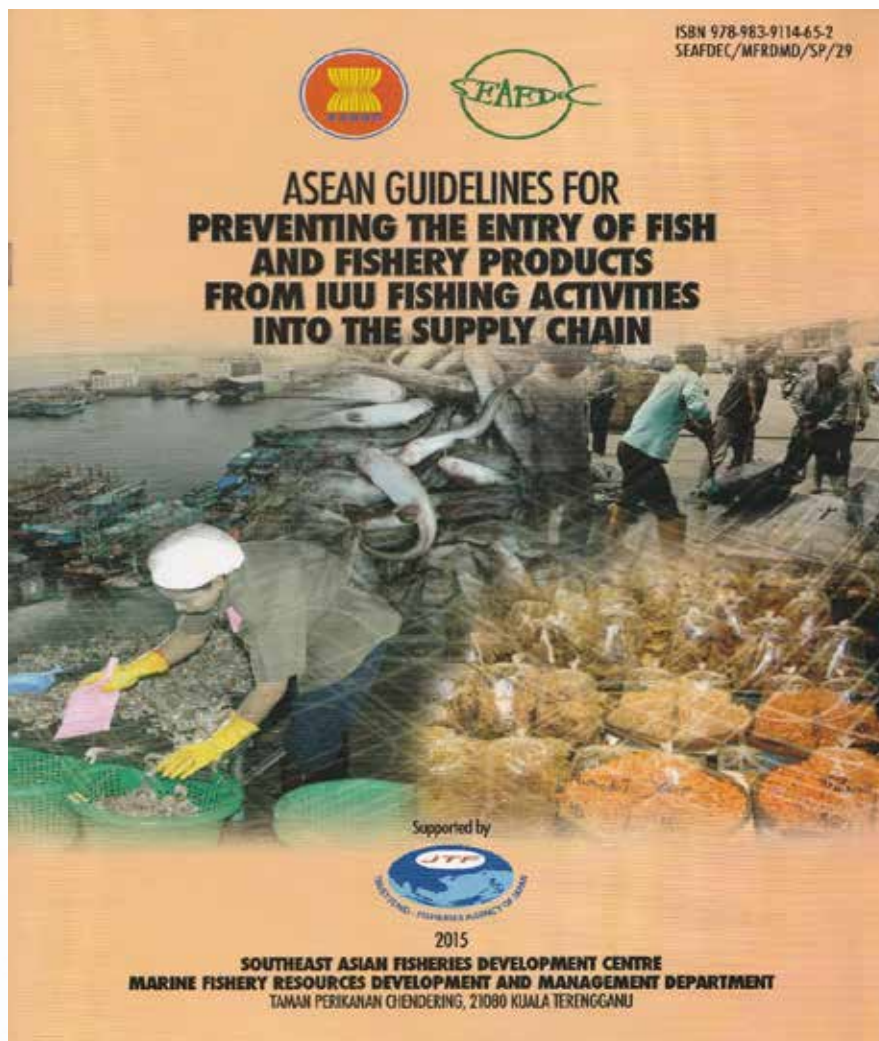


**Figure 7: Participants attending the Regional Technical Consultation (RTC) on the Regional Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain from the 23rd to 25th of September 2014**

## 10.2 Endorsement of the Guidelines

The SEAFDEC/MFRDMD together with the SEAFDEC/Secretariat conducted a series of consultative meetings involving the ASEAN-SEAFDEC member countries as well as experts from national and regional organizations, to identify the issues related to IUU fishing activities that occur in the Southeast Asian waters. Through such meetings and consultations, the ASEAN Guidelines were developed, reviewed and finalized for endorsement through processes under the ASEAN protocol.

After being finalised in September 2014 and incorporating the suggestions made during the 17<sup>th</sup> Meeting of FCG/ASSP in December 2014 and the 47<sup>th</sup> Meeting of the SEAFDEC Council in April 2015, the final draft of the ASEAN Guidelines was endorsed by the 23<sup>rd</sup> Meeting of the ASEAN Sectoral Working Group on Fisheries (ASWGF<sub>i</sub>) in June 2015 for consideration at high level meetings of the ASEAN in 2015. The ASEAN Guidelines was endorsed by the 37<sup>th</sup> Senior Officials Meeting of the ASEAN Ministers on Agriculture and Forestry (SOM-AMAF) in August 2015 and finally by the 37<sup>th</sup> Meeting of the ASEAN Minister for Agriculture and Forestry (AMAF) in September 2015 (Figure 8) (Mazalina *et al.*, 2015).



**Figure 8: The ASEAN Guidelines to Prevent Entry of Fish and Fishery Products from IUU Activities into The Supply Chain**

### 10.3 Implementation of the ASEAN Guidelines

All the ASEAN member states (AMss) agreed that implementation of the ASEAN guidelines would mean that all AMSs will undertake all necessary actions necessary to combat IUU fishing through market measures. All illegal fish and fishery products from IUU fishing activities should not be allowed to be traded.

The recommended actions (Annex 4) to implement the ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain are divided into five main actions namely; Action 1: Managing fishing activities within an ASEAN member state (AMS) , Action 2: Regulating transshipment and landing of fish / catch across borders, Action 3: Preventing poaching in the EEZs of ASEAN Member States, Action 4: Controlling illegal fishing and trading practices of live reef food fish (LRFF), reef- based ornamentals and endangered aquatic species, and Action 5: Strengthening the management of fishing in the high seas and RFMO areas. All the five (5) actions where relevant and appropriate for certain AMSs were implemented.

#### **10.4 Self-Evaluation on the Status of Implementation of the ASEAN Guidelines in the ASEAN Member States**

As the ASEAN Guidelines was voluntary in nature, the ASEAN Guidelines will be according to capacity of each ASEAN member states. The status of implementation of the Guidelines is based on self-evaluation by each member state. Consultative visits to eight (8) ASEAN Member States was performed in 2018. The countries visited are Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Thailand and Viet Nam.

Self-evaluation by Member States was conducted by giving score to actions taken by Member State to implement the recommended actions under the ASEAN Guidelines, as illustrated in ANNEX 5. Where possible remarks were recorded to explain why the score were given for any action taken. Some actions will be scored 0 – 5 indicating percentage of action implemented where score of 0 mean not applicable or not implemented, score of 1 mean 1-20 percent implemented, score of 2 mean 21 - 40 percent implemented, score of 3 mean 41- 60 percent implemented, score of 4 mean 61- 80 percent implemented and a score of 5 mean 81 – 100 percent implemented. There are 50 sub-actions giving a total score of 250. A total score of 250 mean a Member State has implemented 81-100 percent of the actions to combat IUU fishing.

As the scoring was a self-evaluation by member state, the scoring will be subjective rather than objective based on what member state felt that the state had implemented for the various actions to implement the ASEAN Guidelines. As the implementation of the ASEAN Guidelines was voluntary, this exclude the need to benchmark the various recommended actions. The emphasis will be on the progress of implementation of the ASEAN Guidelines by each member state throughout the project period and beyond rather than status of implementation of the ASEAN Guidelines between member states as it is not easy to choose a benchmark value for every action. The self-evaluation will indicate progress of implementation of the ASEAN Guidelines in every member state, enhanced by the promotion to implement the ASEAN Guidelines by SEAFDEC/MFRDMD under the JTF 6 – IUU project which ended on the 31<sup>st</sup> of December 2019.

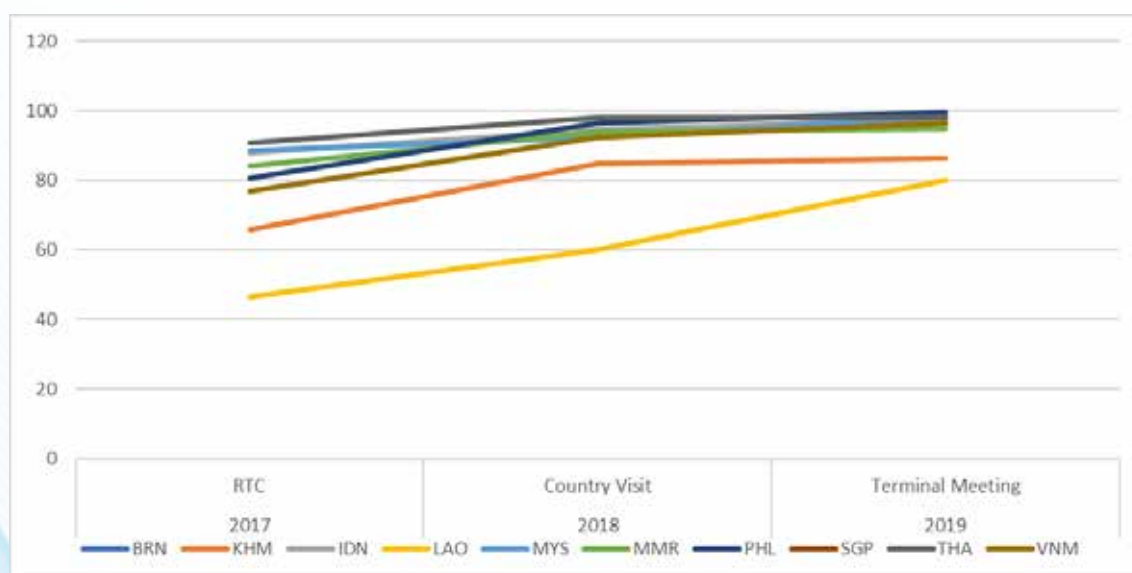
#### **10.5 Self-Evaluation Results and Remarks**

The first self-evaluation activity was conducted during the RTC on Promotion of the ASEAN Guidelines to Prevent the Entry of Fish and Fishery Products from IUU Fishing Activities into the supply chain in 2017. SEAFDEC/MFRDMD compiled and summarized the feedback from eight (8) AMSs on the current status of implementation of the ASEAN Guidelines in AMSs based on information gathered during consultative visits to Malaysia, Indonesia, Philippines, Cambodia, Myanmar, LAO PDR, Thailand and Viet Nam in 2018. An interim report of the feedback and self-evaluation conducted on the implementation of the ASEAN Guidelines by visited AMSs was published in the first quarter of 2019. The remarks against the scores for every recommended action to implement the ASEAN Guidelines were summarized in Annexes 6 and 7.

SEAFDEC/MFRDMD conducted consultative country visits and information gathering through feedbacks from questionnaires in AMSs to compiled information on the current status of implementation of the ASEAN Guidelines on preventing entry of fish and fishery products from IUU fishing activities into the supply chain, following the promotion for implementation of the ASEAN Guidelines in AMS, self-evaluation on the implementation of the ASEAN Guidelines were conducted in 2017, 2018 and 2019 (Table 23, Figure 9) .

**Table 23: Self-evaluation scores in 2017, 2018 and 2019 for the status of implementation of the ASEAN Guidelines on preventing entry of fish and fishery products from IUU fishing activities into the supply chain**

Year	Events	BRN	KHM	IDN	LAO	MYS	MMR	PHL	SGP	THA	VNM
2017	RTC	68.1	65.8	87.8	46.4	88.5	84.1	80.7	70.2	90.9	76.7
2018	Country Visit		84.8	94.6	60.0	92.4	94.0	96.4		98.0	92.4
2019	Terminal Meeting	84.8	86.4	97.6	80.0	98.4	94.8	99.6	96.0	98.0	96.4



**Figure 9: The scores trend of self-evaluation on implementation of the ASEAN Guidelines in AMSs**

The scores of the self evaluation on implementation of the ASEAN Guidelines in AMSs conducted during the Project Terminal Meeting from 3-5 September 2019 are as follows:-

- 1) Brunei, 84.8% of total score,
- 2) Cambodia, 86.4% of total score,
- 3) Indonesia, 97.6% of total score,
- 4) Lao PDR 80% of total score,
- 5) Malaysia, 98.4% of total score,
- 6) Myanmar, 94.8% of total score,
- 7) Philippines, 99.6% of total score,
- 8) Singapore, 84.8% of total score,
- 9) Thailand, 98% of total score and
- 10) Viet Nam, 96.4% of total score.

On the overall, we can see an increasing trend in the status of implementation of the ASEAN Guidelines from 2016 till 2019 in the Southeast Asian Region. AMSs are suggested to consider continuing the self-evaluation on the implementation of the ASEAN Guidelines on their own national initiatives, to keep track of the activities to combat IUU fishing in their countries. Most AMS have implemented more than 80% of the articles in the ASEAN Guidelines which indicated that all AMS were committed to combat IUU fishing in the region.



## **10.6 Issues in the Implementation of the ASEAN Guidelines**

Although the AMSs recognized the importance of combating IUU fishing through trading measures and are seriously tackling the issues on IUU fishing, implementation of the “ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain” differs from country to country based on the circumstances surrounding the respective fishery and trading industry in the countries. To promote the ASEAN Guidelines in the AMSs, appropriate strategies and measures should be introduced to ensure that effective and practical national plans are formulated and their effective implementation is in place. Nevertheless, the AMSs are still encountering various issues, concerns and difficulties that need to be addressed to be able to implement the ASEAN Guidelines.

### **10.6.1 Legal Framework**

Some AMSs lack the necessary legal frameworks for implementing some parts of the ASEAN Guidelines, *e.g.* installation of VMS. Without any legal framework, the countries would not have any enforcement power. In some aspects, difficulties in establishing legal framework reflect the lack of technical guidance and assistance or lack of human and/or financial resources to follow the provisions stipulated in the ASEAN Guidelines. Another issue is related to the evaluation and improvement of existing systems and governance which needs to be looked into by the governments.

### **10.6.2 Lack of Resources**

The ASEAN Guidelines covers very wide range of fishing and trading activities. Therefore, for the AMSs to follow the ASEAN Guidelines in its every aspect, the countries should have certain amount of resources, which include human and financial resources, to be able to monitor their fishing/trading activities.

### **10.6.3 Awareness Building**

Another challenge that confronts the AMSs in the implementation of the ASEAN Guidelines is awareness building of the stakeholders. The key stakeholders in the supply chain of aquaculture products are unaware about the benefits and advantages of using a traceability system in their operations. Also, some traditional stakeholders are averse to change and are reluctant to implement any traceability system.

## 11.0 THE JTF6-IUU PROJECT TERMINAL MEETING

The Terminal Meeting of the JTF6 Project: Combating IUU Fishing in Southeast Asia Through Application of Catch Certification for International Trade in Fish and Fishery Products was convened by SEAFDEC/MFRDMD from 3<sup>rd</sup> to 5<sup>th</sup> September 2019 in Kuala Lumpur, Malaysia. The meeting was attended by participants from Brunei Darussalam, Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Singapore, Thailand and Viet Nam; Resource Person from the Global Fishing Watch; the Deputy Secretary General of SEAFDEC; official from SEAFDEC Training Department; Chief, Deputy Chief, Project Coordinator, and officials from SEAFDEC/MFRDMD (Figure 10).



**Figure 10: Participants at the JTF6-IUU Terminal Meeting from 3 – 5 September 2019 at Melia Hotel, Kuala Lumpur**

The status of implementation of the ASEAN Guideline in all 10 AMS was discussed at the 2019 project terminal meeting. Most AMSs have implemented more than 80% of the articles in the ASEAN Guidelines which indicated that all AMS were committed to combat IUU fishing in the region. The terminal meeting report and project terminal report will be published at the end of 2019.

## 12.0 ASEAN CATCH DOCUMENTATION SCHEME DEVELOPMENT AND IMPLEMENTATION

The ASEAN Catch Documentation Scheme (ACDS) formed part of the ASEAN Guidelines and was developed through a series of Regional Technical Consultation since 2014. The ACDS was launched during the Meeting of SEAFDEC Council in Brunei Darussalam in April 2017 with Brunei Darussalam was selected as pilot country and endorsed at the 25ASWGF in May 2017 in Singapore. Subsequently, the ACDS concept was also supported by the SOM-AMAF in the same year.

For the implementation of the ACDS by AMSs, it was suggested at several regional forum and stakeholder consultations in March 2016 that appropriate system of ACDS is needed, both electronic format and manual system to address the requirement of the SEAFDEC Member Countries. Moreover, the SEAFDEC Council of Directors also suggested that SEAFDEC should assure the applicability of the electronic ACDS system and ensure that it is beneficial to relevant stakeholders, *e.g.* operators of fishing vessels, suppliers, seafood processors for export and traders.

The electronic ACDS (eACDS) is a software including web and mobile applications to link all elements in the supply chain from fishing, landing, processing and trade in one (1) unique system. This system will be implementing by all stakeholders such as fishing master, fish buyers, fish processors, importer/exporter, etc. The mobile application is uploaded to Google Play Store for Android and App Store for iOS (in 2019) as free application for registered stakeholders.

The eACDS software will generate certificates at each important supply chain such as; (i) Catch Declaration (CD) from point of catch to landing, (ii) Movement Document (MD) from landing to processors or local market, and (iii) Catch Certificate (CC) from processing to export/import and consumer via the QR-Code. The system also provide access to the origin of fish by importer and/or customs of importing country including consumers via the QR-Code that come with the Catch Certificates and fish/fishery products.

In 2017, SEAFDEC/MFRDMD in collaboration with SEAFDEC/Secretariat had conducted onsite training program on the use of eACDS by all relevant stakeholders in Brunei Darussalam. SEAFDEC/MFRDMD in collaboration with SEAFDEC/TD will continuously conduct development and training on the usage of eACDS and meeting with the relevant stakeholders and government servants for establishment and implementation of eACDS in selected AMSs.

Way forward for the project on combating IUU Fishing from 2020 - 2024 will be undertaken by SEAFDEC/TD. The project then will focus on RFVR for fishing vessels in Southeast Asia, capacity building on port inspection to support PSM, sharing information on detection of IUU fishing vessels, development of eACDS in Viet Nam, Malaysia and Myanmar, sharing information on catch documentation and traceability and coordination with international organization and RFMOs. SEAFDEC/MFRDMD will collaborate with SEAFDEC/TD on the development of eACDS in Brunei DS, Viet Nam, Malaysia and Myanmar.

For development and implementation of eACDS, SEAFDEC/MFRDMD collaborated with SEAFDEC/SEC from 2014 till 2018, then from 2019 onward SEAFDEC/MFRDMD collaborated with SEAFDEC/TD. SEAFDEC/TD will report on the progress of implementation of eACDS at

the pilot country in Bandar Seri Begawan, Brunei Darussalam, which will continue until 2020. Under Phase II of the JTF 6, eACDS will be developed and implemented in Malaysia, Myanmar and Viet Nam. SEAFDEC/TD will report on the progress of implementation of eACDS in selected AMSs.

### **13.0 CONCLUSIONS FROM PROJECT IMPLEMENTATION**

The conclusion from the implementation of the Combating IUU Fishing in Southeast Asia through Application of Catch Certification for International Trade in Fish and Fishery Products project are as follows:

- a. The ASEAN Guidelines to prevent entry of fish and fishery products from IUU fishing activities into the supply chain was finalized in 2014.
- b. Although the ASEAN Guidelines has been endorsed and disseminated since 2015, some AMSs still require assistance plans for adoption of the ASEAN Guidelines at national levels.
- c. Effective and practical implementation of the ASEAN Guidelines depend on the domestic circumstances in fishing, trading and each AMS's situation.
- d. SEAFDEC/MFRDMD continue technical assistance through capacity building activities to enable the AMSs to adopt the ASEAN Guidelines, since its total implementation would mean significant reduction in the IUU fishing activities in the Southeast Asian region.
- e. AMSs are suggested to consider continuing the self-evaluation on the implementation of the ASEAN Guidelines on their own national initiatives, to keep track of the activities to combat IUU fishing in their countries.
- f. SEAFDEC/MFRDMD will continue to collaborate with SEAFDEC/TD to establish and implement ACDS in ASEAN Member States even after this project ended at the end of 2019.

### **14.0 PROJECT WAY FORWARD**

The way forward for the project are as follows:

- a. SEAFDEC/MFRDMD will continue to support implementation of the ASEAN Guidelines on request by AMSs and availability of funds.
- b. The project terminal meeting report and the project terminal report will be published by end of 2019 or early 2020.
- c. A new project on combating IUU fishing will be undertaken by SEAFDEC / TD. The project then will focus on RFVR for fishing vessels in Southeast Asia, capacity building on

port inspection to support PSM, sharing information on detection of IUU fishing vessels, development of e-ACDS in Viet Nam, Malaysia and Myanmar, sharing information on catch documentation and traceability and coordination with international organization and RFMOs.

- d. SEAFDEC/MFRDMD is willing to continue collaboration with SEAFDEC/TD on the development of e-ACDS in Brunei DS, Viet Nam, Malaysia and Myanmar.

## ACKNOWLEDGEMENT

SEAFDEC/MFRDMD wish to convey appreciation to all parties, resource persons, representatives from AMSs, staffs of SEAFDEC/SEC, SEAFDEC/TD and SEAFDEC/MFRDMD for their effort to make this project successful.

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**ANNEX 1: Format of the Guidelines (end of 2011)**

1.0	Introduction
1.1	Background and Rationale
1.2	Preparation for Regional Guidelines to Prevent Landing, Export and Import of IUU Fish and Fishery Products
2.0	General Principle
2.1	Nature and Scope
2.2	Objective of the Regional Guideline
3.0	Definitions of the Terminology
4.0	Regional Guidelines
4.1	General
4.2	IUU fish and fishery products
4.3	Possible actions to prevent landing, export and import of IUU fish and fishery products
4.4	Strengthening existing law and regulations in member countries for preventing landing, export and import of IUU fish and fishery products
4.5	Developing and Implementing NPOA-IUU Fishing
4.6	Consideration on International Legal Instrument
4.7	Catch and Trade Documentation
4.8	Monitoring and surveillance at the landing site
4.9	Positive and black lists of vessels
4.10	Follow-up actions to promote the implementation of the regional guidelines
4.10.1	Role of the SEAFDEC member countries
4.10.2	Role of SEAFDEC
5.0	Review of the Guidelines

## **ANNEX 2: Draft Regional Guidelines for Preventing Landing, Export and Import of IUU Fish and Fishery Products (After CEM, 4th quarter of 2012)**

### **REGIONAL GUIDELINES FOR PREVENTING LANDING, EXPORT AND IMPORT OF IUU FISH AND FISHERY PRODUCTS**

#### **1.0 Introduction**

Irresponsible fishing activity directly undermines efforts to manage fisheries properly and impedes progress toward the goal of sustainable fisheries. The term “illegal, unreported and unregulated fishing” – or IUU fishing has emerged to describe a wide range of such activity. As discussed more fully herein, the FAO Committee on Fisheries decided in 1999 to elaborate an International Plan of Action to Prevent, Deter and Eliminate IUU fishing (IPOA-IUU). Over the course of the next two years, a significant effort unfolded, which culminated in the adoption of the IPOA-IUU in 2001.

IUU fishing should be clearly defined and identifiable. Any trade-related measure to be employed in curbing IUU fishing has to be equally treated, for import as well as like domestic products. Lack of effective fishery regulation in developing countries can impede the equal treatment.

Add in:

- Duty of the flag state, Port State Measures
- Function of Competent Authority (CA); list of CA as an appendix
- Status of import and export between Member countries to EU in reference to EC Regulations

#### **1.1 Background and rationale**

With nearly 40% of the world’s fishery production traded internationally, it follows that trade measures may have impact on IUU fishing through the regulation of trade. Experience indicates that catch certification and landing surveillance for fishery trade can be an effective tool for fisheries management officials trying to prevent circumvention of agreed conservation goals.

The Regional guidelines on preventing trading of IUU fishing Products is envisaged to be used as basis by government for formulating relevant policies and provide enabling environment to countries in the region to enable them to perceive clear direction and understanding of the promotion and implementation of catch certification and landing surveillance for fishery trade to prevent trade of IUU fishing products.

#### **1.2 Preparation for regional guidelines to preventing trading for IUU fish and fishery products**

- Questionnaires on Export of Fishery Product (quantity & value) from member countries
  - CEM 2011 in Bangkok

- Outcome from the CEM 2011
- Questionnaires on Issues, Processes & Procedures
  - Country visits to gather information
  - CEM 2012 in Kuala Lumpur
  - Activities conducted by Member countries to collect information e.g.; Brunei Darussalam: Consult with related agencies (Marine Department) regarding information gathering for vessels registration
- Subject to Council Director's approval for new project 2013-2017 (Combating IUU fishing in the SEA Region through Application of Catch Certification for International Trade in Fish and Fishery Products)

## 2.0 General Principle

### 2.1 Nature and scope

The scoping for this guideline is for trading of fish and fishery products from capture fishery (freshwater & marine) for large/commercial and small-scale fisheries.

- Fish and Fishery Products from capture fishery (freshwater & marine)
- This guideline is for the region:
  - Trading within the country in the region
  - Trading among the countries in the region
  - International trade outside the region by Member Countries
- Large/commercial and small- scale fisheries (refer to "Regional Guideline for Responsible Fisheries Management in Southeast Asia)

### 2.2 Objective of the regional guidelines

- Prevent landing, export and import of IUU Fish and Fishery Products
- Introducing catch certification measures and landing monitoring and surveillance

### 2.3 The regional guidelines show effective measures and procedures to prevent landing, export and import of IUU fish and fishery products.

## 3.0 Definition of the Terminology

- IUU fishing
  - IPOA-IUU definition
- IUU fish and fishery products
  - Catch and derivatives from IUU fishing
- Domestic/National vessel
  - All registered/licensed fishing vessels
  - All registered/licensed carrier vessels
- Foreign vessel
  - All foreign registered/licensed fishing vessels (including factory vessel) operating in national water

- All foreign registered/licensed fishing vessels fishing in high seas/other national waters and landing at national landing sites
- All foreign registered/licensed carrier vessels landing at national landing sites
- All vessel flying foreign flags operating in other national waters/high seas and land at national landing sites
- Monitoring and surveillance at landing sites
  - Information on landing amount and catch composition
  - Refer to the Guideline for Responsible Fisheries in Southeast Asia: Fisheries Management
- Large/commercial and small- scale fisheries
- Definition of Certification of Non-IUU Fish and Fishery Products
- Definition of Catch documentation scheme (CDS)
- Definition of Statistical document scheme (SDS)
- Definition of fish (refer to EC Regulations)
- Definition of fishery products (refer to EC Regulations)
- Fish and fishery products (fish, shrimp, squids, bivalves, seaweeds, corals)
  - “Fish” means all species of living aquatic resources, whether processed or not (FAO definition)
- Positive and blacklist of vessels

## 4.0 Regional Guidelines

### 4.1 Certification of Non-IUU fish and fishery products

- Catch documentation scheme (CDS) to comply with RFMOs (IOTC, ICCAT etc.) requirement
  - Statistical document scheme (SDS)
- Statistical document scheme (SDS) – refer to Port State Measures
- Trading license (Malaysia/Thailand)- for domestic trading
- EC Catch Certification
- RCDS (for intra regional trade)

### 4.2 Monitoring and surveillance at the landing sites

- Domestic/national vessels (100% monitor and validate at least 5% of total ECC, CDS)
- Foreign vessels (based on International Common Understanding: fishing vessels should be 24 metre in length and over, for cargo and carrier vessels usually more than 500 gross tonnage) (FAO Port State Measures, CDS-RFMOs)

### 4.3 Positive and black lists of vessels

- RFMO list (black list and positive list for tuna vessels)
  - EU list (black list)
- \*Include for all vessels

#### **4.4 Strengthening existing law and regulations in member countries for preventing landing, export and import of IUU fish and fishery products**

- Implementation of CDS and SDS measures include for EC Regulation 1005/2008
  - domestic/national vessels
  - foreign vessels
- Implement monitoring and surveillance at landing sites include FAO Port State Measures
  - domestic/national vessels
  - foreign vessels
- Implementation of NPOA-IUU Fishing

#### **4.5 Collaboration among SEAFDEC member countries**

- establish networking within & among the countries
- strengthen cooperation among the countries as well as relevant regional (RPOA, ASEAN) / international organizations (FAO, EU)
- developments of regional information, education & communication programs/ initiative to compile & disseminate information

#### **5.0 Follow-up actions to promote the implementation of the regional guidelines**

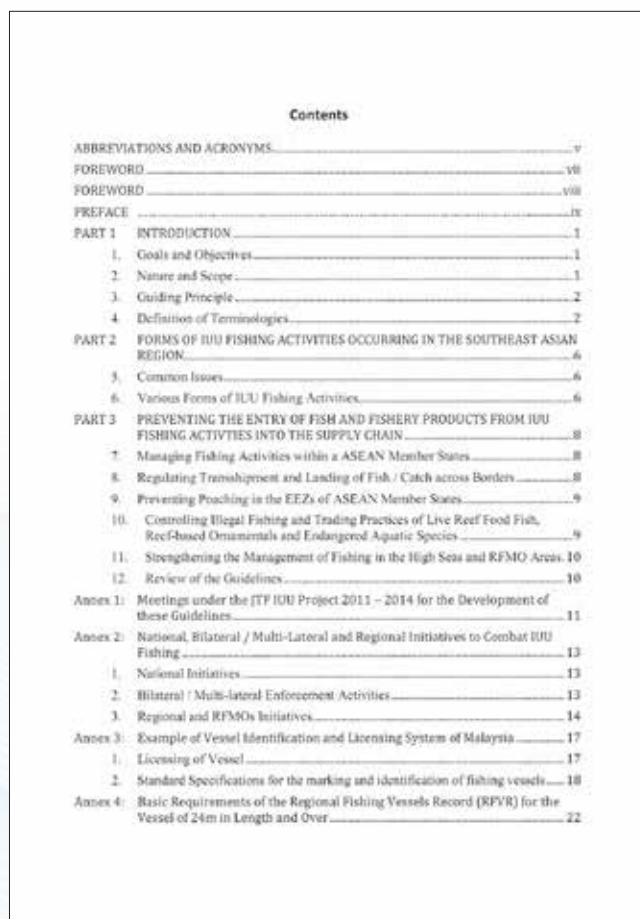
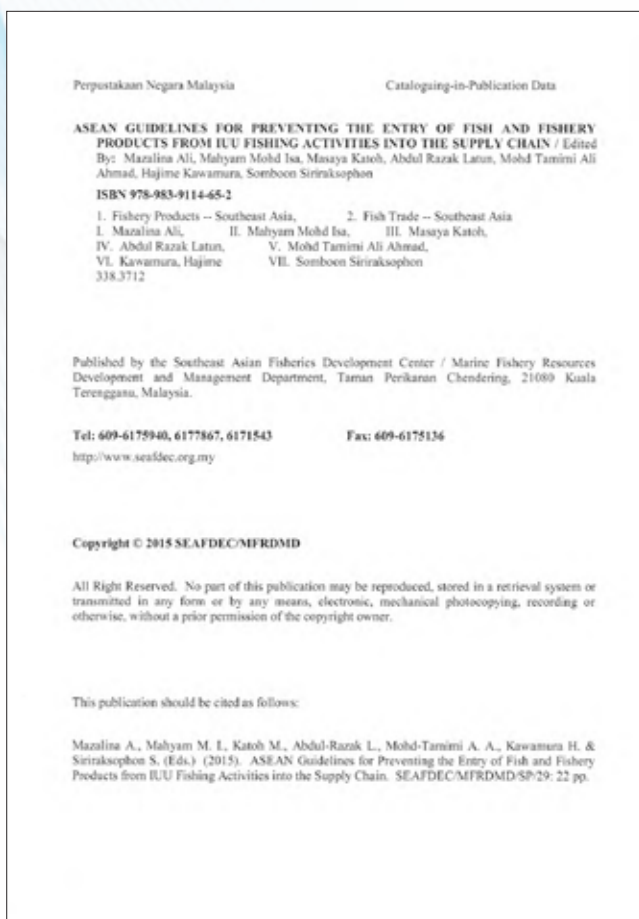
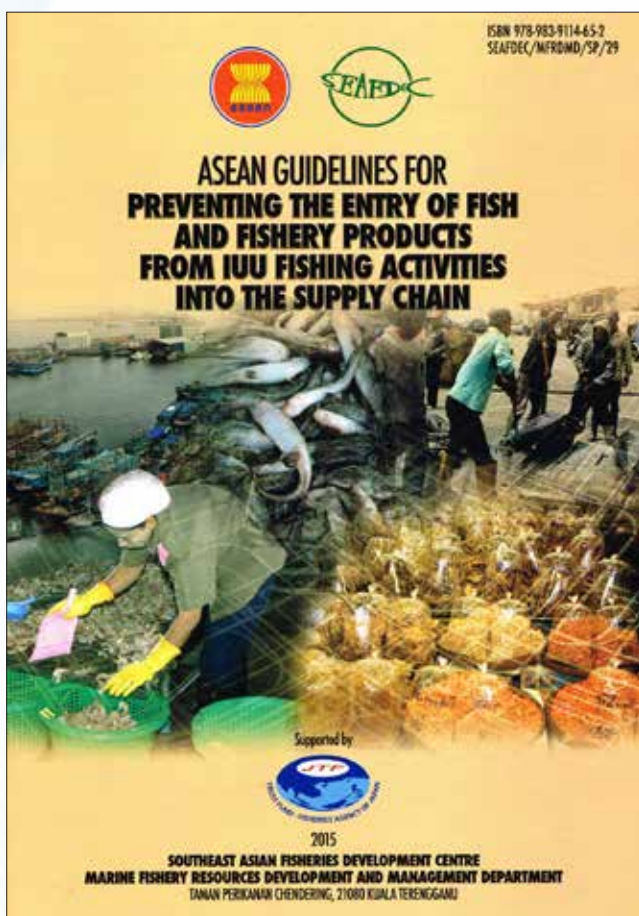
(Refer to “Regional Guideline for Responsible Fisheries Management in Southeast Asia pg. 53)

- Role of member countries
- Role of regional bodies (SEAFDEC, ASEAN)

#### **6.0 Review of the Guideline**

When there is a need to review

## ANNEX 3: ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain



**ABBREVIATIONS AND ACRONYMS**

ACDS	ASEAN Catch Documentation Schemes
AEC	ASEAN Economic Community
AFCF	ASEAN Fisheries Consultative Forum
AMAF	ASEAN Ministers of Agriculture and Forestry
AMS	ASEAN Member States
ASEAN	Association of Southeast Asian Nations
ASEAN-WEN	ASEAN Wildlife Enforcement Network
ASWGF	ASEAN Sectoral Working Group on Fisheries
CCRF	Code of Conduct for Responsible Fisheries
CCSBT	Commission for the Conservation of Southern Bluefin Tuna
CDS	Catch Documentation Scheme
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
CTI-CFF	Coral Triangle Initiative on Coral Reefs, Fisheries and Food Security
eBCD	electronic Bluefin Catch Documentation System
EC	European Commission
EEZ	Exclusive Economic Zone
EU	European Union
FAO	Food and Agriculture Organization of the United Nations
FCG/ASSP	Fisheries Consultative Group of the ASEAN-SEAFDEC Strategic Partnership
ICCAT	International Commission for the Conservation of Atlantic Tunas
IGO	Inter-governmental Organization
IOTC	Indian Ocean Tuna Commission
IPOA-IUU	International Plan of Action to Prevent, Deter and Eliminate IUU Fishing
IUU	Illegal, Unreported and Unregulated
JTF	Japanese Trust Fund
LRFF	Live Reef Food Fish
LRFFT	Live Reef Food Fish Trade
MALSINDO	Malaysia, Singapore and Indonesia
MCS	Monitoring, Control and Surveillance
MFRDMD	Marine Fishery Resources Development and Management Department
MRC	Mekong River Commission

MRC-FP	MRC Fisheries Programme
NGO	Non-governmental Organization
NPOA-IUU	National Plan of Action to Prevent, Deter and Eliminate IUU Fishing
PSM	Port State Measures
RAC	Regional Advisory Committee on Fisheries Management in Southeast Asia (2009-2012)
RCCRF	Regional Code of Conduct for Responsible Fisheries for Southeast Asia
RFMO	Regional Fisheries Management Organization
RFVR	Regional Fishing Vessels Record
RPOA	Regional Plan of Action
RPOA-IUU	Regional Plan of Action to Promote Responsible Fishing Practices including Combating Illegal, Unreported and Unregulated Fishing in Southeast Asia
RSAP	Regional Strategic Action Program
SEAFDEC	Southeast Asian Fisheries Development Center
Sec	Secretariat
SOM-AMAF	Senior Officials Meeting of the AMAF
SSME	Sulu-Sulawesi Marine Ecoregion
SSME-CAP	Sulu-Sulawesi Marine Ecoregion Comprehensive Action Plan
TD	Training Department
VMS	Vessel Monitoring System
WCPFC	Western and Central Pacific Fisheries Commission
WWF	World Wide Fund for Nature

**FOREWORD**

**SEAFDEC/Secretariat**

During the past decade, many attempts had been initiated to improve fisheries management with the fundamental objective of reducing illegal and destructive fishing. The seriousness of this concern has been increasingly expressed through discussions and recommendations in various meetings and consultations. In support of global efforts to combat IUU fishing, ASEAN Member State (AMSs) has requested SEAFDEC since 2011 to provide assistance in coming up with guidelines to prevent the entry of fish and fishery products from IUU fishing activities into the supply chain of the inter- and intra- regional as well as international fishery trade system. In this regard, SEAFDEC/MFRDMD in cooperation with the Secretariat conducted a series of consultative meeting involving the SEAFDEC Member Countries, as well as with expert from national and regional organization to identify the issues of IUU fishing activities that occur in the Southeast Asian waters.

After a series of consultations, these Guidelines had been developed to provide tools for the AMSs to make sure that fish and fishery products from the region entering the global supply chain do not come from IUU fishing activities. Thus, these Guidelines are meant to enhance the credibility and competitiveness of the region's fish and fishery products.

We are therefore pleased to present these Guidelines, which was made possible through the collaborative efforts of the AMSs and SEAFDEC. We expect that these Guidelines would serve as basis for the AMSs in formulating relevant policies and in providing an enabling environment for all stakeholders from the AMSs to have clear direction and understanding of the need to prevent the entry of IUU fish and fishery products into the Supply Chain.

**Dr. Chunnarn Pongseri**  
SEAFDEC Secretary-General

**FOREWORD**

**SEAFDEC/MFRDMD**

Illegal, Unreported and Unregulated (IUU) fishing can take place in all areas of capture fisheries, whether within national jurisdictions or in the high seas. IUU fishing can contribute to the overfishing of fish stocks; even lead to the collapse of a fishery. This, in turn, may result in lost economic and social opportunities, both short-term and long-term. The countries in the Southeast Asian region and regional organizations are putting efforts on the promotion of sustainable fisheries management and countermeasures to combat IUU fishing. In order to combat IUU fishing, SEAFDEC Training Department (SEAFDEC/TD) in collaboration with the Marine Fishery Resources Development and Management Department (SEAFDEC/MFRDMD) have initiated the project in 2011 on the promotion of fishing license, boats registration and port state measures to combat with IUU fishing in the region, with funding support from Japanese Trust Fund II. Activity on preventing the export of IUU fish and fishery products is under the responsibility of SEAFDEC/MFRDMD. A new project related to IUU fishing was later developed under the Japanese Trust Fund VI. The project is implemented from 2013 to 2017 and aims to combat IUU Fishing in the Southeast Asian Region through the application of catch certification for international trade in fish and fishery products.

SEAFDEC also has been requested by the ASEAN Member States (AMSs) since 2011 to come-up with guidelines to prevent the entry of fish and fishery products from IUU fishing activities into the supply chain of the inter- and intra-regional as well as international fishery trade system. The said guidelines would take into consideration the relevant international trade-related measures that prohibit the marketing of fish and fish products derived through unsustainable means and from unsustainable sources. In this regard, SEAFDEC/MFRDMD in cooperation with the Secretariat had conducted series of consultative meetings involving all SEAFDEC Member Countries especially with Singapore as the ASEAN Lead Country of the program, experts from national and regional organizations to identify issues of IUU fishing activities that occur in the Southeast Asian waters. For the development of the ASEAN Guidelines, the AMSs have been encouraged to (1) Manage Fishing Activities within a Country, (2) Regulate Transshipment and Landing of Fish / Catch across Borders, (3) Prevent Poaching in the EEZs of Other Countries, (4) Control Illegal Fishing and Trading Practices of Live Reef Food Fish (LRFF), Reef-based Ornamentals and Endangered Aquatic Species, and (5) Strengthen the Management of Fishing in the High Seas and RFMO Areas.

I would like to express my sincere thanks to the Government of Japan for funding this project through the Japanese Trust Funds II and VI and also tireless efforts made by those people involved in drafting the Guidelines.

**Mahyam Mohd Isa**  
Chief of SEAFDEC/MFRDMD  
(mahyam@seafdec.org.my)

**PREFACE**

The growing domestic and international demand for fish and fishery products has resulted in the excessive exploitation of aquatic resources anywhere in the world including in the Southeast Asian region. The increasing demand for fish has driven fishers to catch more fish by all means even to the extent of practicing Illegal, Unreported and Unregulated (IUU) fishing. IUU fishing not only contributes to overexploitation of fish stocks but is also a hindrance to the recovery of fish populations and ecosystems. It damages the marine environment, distorts competition and puts those fishers who operate legally at a disadvantage, adversely affecting the economic and social well-being of fishing communities, especially in the third world countries where coastal communities rely heavily on fish resources. On the global scale, IUU fishing is a big problem and very difficult to quantify, as it can occur in virtually any fishery, from shallow coastal or inland waters to the offshore areas. It is a particular issue in developing countries including the Southeast Asian countries where fisheries management strategies need to be strengthened, and where resources are limited to enforce regulations such as landing controls and vessel inspections, and deploy adequate number of patrol vessels.

During the past decade, many attempts had been initiated to improve fisheries management with the fundamental objective of reducing illegal and destructive fishing. The seriousness of this concern has been increasingly expressed through discussions and recommendations in various meetings and consultations such as those of the SEAFDEC Council, the ASEAN Fisheries Consultative Forum (AFCF), the SEAFDEC Regional Advisory Committee (RAC) on Fisheries Management in Southeast Asia, the Regional Plan of Action to Promote Responsible Fishing Practices including Combating IUU Fishing in Southeast Asia (RPOA-IUU), as well as during the Meetings of the ASEAN Heads of States especially at the launching of the roadmap for the ASEAN Economic Community. Within SEAFDEC, the ASEAN-SEAFDEC collaborative projects under the Fishery Consultative Group of the ASEAN-SEAFDEC Strategic Partnership (FCG/ASSP) mechanism have been organizing consultations and discussions at the regional and sub-regional levels to find the ways and means of promoting effective fisheries management as well as managing fishing capacity in order to combat IUU fishing in the Southeast Asian region.

IUU practices could create major threats to the sustainable exploitation of living aquatic resources as well as to regional and international efforts to protect biodiversity and the world's fisheries. It is estimated that the annual production from IUU fishing activities could be from 11 to 26 million metric tons (MT) accounting for about 10 to 22% of the world's total fisheries production, and valued at about US\$ 9.0 to 24.0 billion per year<sup>1</sup>. However, estimates of the extent of IUU fishing operations vary widely and considering its very nature, production from IUU fishing in the region is difficult to quantify.

<sup>1</sup> MRAG. 2009. Illegal, Unreported and Unregulated Fishing. Policy brief 8. Available in website: [http://www.mrag-usa.com/Documents/PolicyBrief\\_IUU.pdf](http://www.mrag-usa.com/Documents/PolicyBrief_IUU.pdf). Accessed 25 September 2012

Nonetheless, some studies estimated that the value of IUU fishing in the Asia-Pacific region (including South Asian countries) could be around US\$5.8 billion annually<sup>2</sup>. Some facts on IUU fishing are shown below:

*"In Raja Ampat (RA), Indonesia, only about 26% of the catch from reef fish fishery in 2006 is reported and 20% is caught illegally. RA's revenues from IUU catch in 2003-2006 amounted to US\$ 160 million (in 2003 US\$ equivalent) or an average of US\$ 40 million a year. The estimated revenue generated by illegal fishing of reef fish is almost equal to the revenue from all reef fish catch in RA (reported and unreported combined). Hook and line is one of the most important fisheries for reef fishes in this area targeting high price fishes such as groupers and Napoleon wrasse. Most of the fisheries are small-scale and do not contribute to government revenue in the form of taxes."*

*"In the Philippines, it is estimated that the average annual revenue lost due to local and foreign illegal fishing could amount to US\$ 1.6 million and 80,000 MT of fish and other marine resources are lost annually to foreign IUU fishing"*

It is very clear that the main driver for IUU fishing is economic benefit considering that a vessel that is fishing illegally is able to minimize operating costs in terms of licensing, regulation, use of vessel monitoring systems and documentation. Moreover, IUU fishers could ignore quota levels, enter closed fishing areas, and catch undersized fish or target rare or even endangered species, while attracting premium price from unscrupulous buyers. In order to combat IUU fishing effectively, SEAFDEC has adopted several measures which include the establishment of the Regional Fishing Vessels Record (RFVR) for fishing vessels 24-meters in length and over in the ASEAN Member States (AMSs)<sup>3</sup>, port state measures and the development of the ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain<sup>4</sup> of the inter- and intra-regional as well as international fishery trade system and drafting of an ASEAN Catch Documentation Schemes (ACDS)<sup>5,6</sup>.

<sup>1</sup> Largren, B. et al. 2006. Status and Potential of Fisheries and Aquaculture in Asia and the Pacific 2006. RAP Publication 2006/22. FAO Regional Office for Asia and the Pacific, Bangkok

<sup>2</sup> Varley, D. et al. 2010. Illegal, Unreported and Unregulated Fisheries Catch in Raja Ampat Regency, Eastern Indonesia. Marine Policy 34: 228-236

<sup>3</sup> Palua, M.A. and M. Tsamirya. 2008. Case Study on the Impacts of Illegal, Unreported and Unregulated (IUU) Fishing in the Solomon Sea. APIC, Singapore

<sup>4</sup> SEAFDEC/ID. 2014. Report of the Technical Workshop on Regional Fishing Vessel Record (RFVR) Database Development and management in Southeast Asia, 20 – 21 August 2014, Pattani, Thailand. TD/RFV/10 October 2014. SEAFDEC Training Department, Samut Prakan, Thailand.

<sup>5</sup> SEAFDEC/MFRD/MI. 2014a. Report of the Regional Technical Consultation on the Regional Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain, 22 – 25 September 2014, Kota Kinabalu, Sabah, Malaysia. SEAFDEC Marine Fishery Resources Development and Management Department, Kuala Terengganu, Malaysia.

<sup>6</sup> SEAFDEC/MFRD/MI. 2014b. Report of the Small Group Experts Meeting on Catch Documentation Scheme - System, 14 – 16 October 2014, Sepang, Malaysia. SEAFDEC Marine Fishery Resources Development and Management Department, Kuala Terengganu, Malaysia.

<sup>7</sup> SEAFDEC/MFRD/MI. 2014c. Report of the Regional Technical Consultation on ASEAN Catch Documentation System, 16 – 18 December 2014, Langkawi, Malaysia. SEAFDEC Marine Fishery Resources Development and Management Department, Kuala Terengganu, Malaysia.

Therefore, the ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain had been developed through a participatory and consultative process involving fishery experts from the ASEAN-SEAFDEC Member Countries. A series of meetings with all ASEAN-SEAFDEC Member Countries for the development of these Guidelines (Annex 1) had been organized by the Marine Fishery Resources Development and Management Department (MFRDMD) in collaboration with the SEAFDEC Secretariat to review and finalize the draft Guidelines before endorsement through the process of FCG/ASSP, ASWGF, SOM-AMAF and AMAF under the ASEAN protocol. The Guidelines was endorsed by the 17<sup>th</sup> meeting of the FCG/ASSP (4 – 5 December 2014, Ubon Ratchathani, Thailand), the 47<sup>th</sup> meeting of the Council SEAFDEC (31 March – 3 April 2015, Chiang Rai, Thailand) and the 23<sup>rd</sup> of the ASWGF (10 – 12 June 2015, Nay Pyi Taw, Myanmar).

The Guidelines outlines the possible future actions in the ASEAN region in combating IUU fishing, in accordance with the ASEAN-SEAFDEC Resolution and Plan of Action on Sustainable Fisheries for Food Security for the ASEAN Region towards 2020 adopted in 2011. The Guidelines comprises three main parts. The Introduction as Part 1 includes the objective of ensuring that fish and fishery products in the supply chain do not come from IUU fishing activities. The introduction part also includes the objectives, nature and scope, guiding principle, and definition of terminologies for better understanding of the basic elements and focus of the Guidelines; Part 2 deals with the forms of IUU fishing activities found in the Southeast Asian region; Finally, Part 3 which is the most important part of the Guidelines provides guidance on preventing the entry of fish and fishery products from IUU fishing activities into the supply chain based on the root cause of IUU fishing activities that occur in the region. These Guidelines should be reviewed regularly and update when necessary as proposed by AMS. Annexes are also appended in the Guidelines to expound on matters that need lengthy discussion.

Thus, it is expected that the Guidelines could serve as basis for the AMSs in formulating relevant policies and provide an enabling environment for a clear direction and understanding of the need to prevent the entry of IUU fish and fishery products into the supply chain. In this connection, AMSs are encouraged to develop and/or strengthen strategies and measures based on these Guidelines during the period from 2015 until 2017, for implementation as soon as possible.

**PART I  
INTRODUCTION**

**1. Goals and Objectives**

- 1.1 The Guidelines is intended to provide tools for the ASEAN Member States (AMSs) to ensure that fish and fishery products from the region entering the global supply chain do not come from IUU fishing activities. Thus, the goal of these Guidelines is to enhance the credibility of the region's fish and fishery products.
- 1.2 The specific objectives of the Guidelines are:
  - 1.2.1 To introduce strategies and recommend appropriate measures for the AMSs to prevent the entry of IUU fish and fishery products into the supply chain;
  - 1.2.2 To provide guidance for the AMSs to develop, strengthen and implement effective fisheries management for responsible and sustainable fisheries; and
  - 1.2.3 To promote regional collaboration among the AMSs in strengthening monitoring, control and surveillance systems of fish and fishery products entering in the supply chain.
- 1.3 The goal and objectives could be achieved through the promotion of good fisheries governance with the active participation of all stakeholders in decision-making processes and assuming the responsibilities for sustainable use of fishery resources, and an appropriate catch documentation scheme in place.

**2. Nature and Scope**

- 2.1 The Guidelines is applicable to all marine and inland catch of small-scale/artisanal and large-scale/commercial fisheries, and is intended to be regional and international in scope but with specific focus on the needs of the AMSs.
- 2.2 Voluntary and non-legally binding in nature, the Guidelines provide guidance for the AMSs to strengthen their national efforts in preventing the entry of IUU fish and fishery products into the supply chain.
- 2.3 The Guidelines is directed to the AMSs, sub-regional, regional and international organizations, as well as inter-governmental organizations (IGOs). The Guidelines would also be useful for research and academic institutions, private sector, non-governmental organizations (NGOs), and other stakeholders.
- 2.4 The Guidelines takes into consideration many forms of illegal, unreported and unregulated (IUU) fishing that occur in the Southeast Asian region, such as illegal fishing activities within a country; unauthorized transshipment and landing of fish/catch across borders; poaching in the EEZs of other countries; illegal fishing and



trading practices of live reef food fish, reef-based ornamentals, and endangered aquatic species, and IUU fishing in the high seas and RFMO areas.

**3. Guiding Principle**

3.1 In view of the need to prevent the occurrence of IUU fishing as it hinders the sustainability of fisheries development in the region, this Guidelines is developed based on the principles found in international and regional instruments, such as the FAO Code of Conduct for Responsible Fisheries (CCRF), the International Plan of Action to Prevent, Deter and Eliminate IUU Fishing (IPOA-IUU), the Regional Code of Conduct for Responsible Fisheries for Southeast Asia (RCCRF), the ASEAN-SEAFDEC Resolution and Plan of Action on Sustainable Fisheries for Food Security for the ASEAN Region (2001, 2011), the Regional Plan of Action to Promote Responsible Fishing Practices including Combating Illegal, Unreported and Unregulated Fishing in Southeast Asia (RPOA-IUU). Trade measures introduced by the European Union (EU) such as the European Commission Regulation 1005/2008 (EC-Regulation) is also referred to in the development of the Guidelines.

3.2 These Guidelines also refer to the initiatives undertaken by national, bilateral/multilateral, regional organizations and RFMOs in combating IUU fishing (as appeared in Annex 2)

**4. Definition of Terminologies**

4.1 **Catch Certification** is a flexible instrument that can take into account different situations such as the nature of products, the type of fisheries, existing control systems and other factors. Catch certification scheme are issued at the point of harvesting and cover all fish to be landed or transhipped (FAO Report of the Expert Consultation of Regional Fisheries Management Bodies on Harmonization of Catch Certification, 2002) for both processed and unprocessed marine products to imports, exports and re-exports to and from the ASEAN and/or international markets, irrespective of the means of transport (fishing vessel, other vessel, air or land transportation). The objectives of the catch certification scheme are:

- ensuring product traceability at all production stages, from catch to marketing, including processing and transport;
- enabling flag States to better monitor the fishing activities carried out by its vessels and so support compliance with conservation and management rules; and
- providing a legal basis for cooperation between flag States, countries of processing and of marketing and improving the dissemination of information.

4.2 **Catch Documentation Scheme (CDS)** is defined in the paper on Harmonization of Catch Documentation Schemes presented at the 11<sup>th</sup> Session of FAO Sub-committee on Fish Trade, 2008 as a scheme that combines both catch certification and trade documentation, i.e. it documents verifiable information on fish catch from point of capture to the final destination. A CDS covers selected aquatic species from the point of first capture by a flag State through regional/international trade routes (i.e. imports, exports and re-exports) to the State of final destination. In the CDS, it is necessary for fishing and trading nations to ensure that fish entering the market are harvested in accordance with conservation and management measures. In order to guarantee compliance, the following sets of documents are required:

- Copies of all validated catch documents issued to fishing vessels, and
- Copies of all export or re-export documents issued or received.

4.3 **Catch Documentation System** refers to the specific system or technical approach to support the CDS implementing process, such as the electronic Bluefin Catch Documentation System (eBCD) developed by ICCAT.

4.4 **Coastal State** is a State with a coastline and sovereign right to manage fisheries in waters under its jurisdiction.

4.5 **Double flagging or double registration** refers to fishing vessels that hold more than one flag state of vessel registration.

4.6 **Endangered aquatic species** refer to those aquatic species considered to be at risk of extinction according to the respective national laws and regulations.

4.7 **Fish** means all species of living aquatic resources, whether processed or not.

4.8 **Fishery Products** refer to all living aquatic resources and their derivatives that had been processed.

4.9 **Fishing Vessels** refer to any vessel of any size used or intended for use for the purpose of exploitation of fishery resources, including support ships, fish processing vessels, vessels engaged in transshipment and carrier vessels equipped for the transportation of fishery products, except container vessels.

4.10 **Foreign Fishing Vessels** refer to any fishing vessel other than the country's fishing vessels.

4.11 **Fishing License** refers an authorization given by a country's local/central government to individuals or companies to enable them to conduct fishing in designated areas.

4.12 **Flag State** refers to the State under whose laws the vessel is registered and licensed. The flag state has the authority and responsibility to enforce regulations over vessels registered under its flag, including those relating to inspection and certification. According to FAO website on Voluntary Guidelines on Flag State Performance, a flag state is defined as any country— whether coastal or landlocked — that registers a fishing vessel and authorizes the vessel to fly its flag.

**4.13 Illegal, Unreported and Unregulated (IUU) Fishing (IPOA-IUU, 2001):**

- a. **Illegal Fishing:** refers to fishing activities: conducted by national or foreign vessels in waters under the jurisdiction of a State, without the permission of that State, or in contravention of its laws and regulations; conducted by vessels flying the flag of States that are parties to a relevant regional fisheries management organization but operate in contravention of the conservation and management measures adopted by that organization and by which the States are bound, or relevant provisions of the applicable international laws; or in violation of national laws or international obligations, including those undertaken by cooperating States to a relevant regional fisheries management organization.
- b. **Unreported Fishing:** refers to fishing activities: which have not been reported, or have been misreported, to the relevant national authority, in contravention of national laws and regulations; or undertaken in the area of competence of a relevant regional fisheries management organization which have not been reported or have been misreported, in contravention of the reporting procedures of that organization.
- c. **Unregulated Fishing:** refers to fishing activities: in the area of application of a relevant regional fisheries management organization that are conducted by vessels without nationality, or by those flying the flag of a State not party to that organization, or by a fishing entity, in a manner that is not consistent with or contravenes the conservation and management measures of that organization; or in areas or for fish stocks in relation to which there are no applicable conservation or management measures and where such fishing activities are conducted in a manner inconsistent with State responsibilities for the conservation of living marine resources under international law.

4.14 **Monitoring, Control and Surveillance** refers to activities undertaken by the fishery enforcement system to ensure compliance with fishery regulations (FAO Term Portal).

- a. **Monitoring** is the collection, measurement and analysis of fishing capacity including, but not limited to catch, species composition, fishing effort, by-catch, discards, areas of operation;
- b. **Control** involves the specification of the terms and conditions under which resources can be harvested; and
- c. **Surveillance** involves the regulation and supervision of fishing activity to ensure that national legislations as well as terms and conditions of access and management measures are observed.

4.15 **Poaching** refers to fishing in violation of access restrictions (FAO Term Portal).

4.16 **Port State** is the country which provides landing sites for vessels to land their fish/catch.

4.17 **Port State Measures (PSM)** are requirements established or interventions undertaken by port States for which a foreign fishing vessel must comply with or is subjected to as a condition for use of ports within the port State (FAO website on Port State Measures).

4.18 **Small-scale/Artisanal and Commercial/Large-scale Fisheries** are characterized in accordance with the countries' respective descriptions due to the different legal definitions adopted by each country.

4.19 **Transshipment** refers to the act of transferring the catch from one fishing vessel to either another fishing vessel or to a vessel used solely for the carriage of cargo. (FAO Technical Guidelines for Responsible Fisheries – Fishing Operations).

**PART 2**

**FORMS OF IUU FISHING ACTIVITIES OCCURRING IN THE SOUTHEAST ASIAN REGION**

**5. Common Issues**

- 5.1 It is recognized that IUU fishing brings about negative impacts on the economic, social and ecological attributes of fisheries that affect food security. Specifically, IUU fishing has contributed to the reduction in food supply, lost livelihoods and state revenues, diminishing fish stocks, and damaging ecosystems, with the most devastating effects concentrated in developing countries due to their greater vulnerability. These illegal activities form a complex web – from illegal fishing activities to illegal trade, and finally to persistent catching from unsustainably fished stocks with the underlying objective of getting high profit from illegally caught fish.
- 5.2 Moreover, the driving forces that lead to the rampant occurrence of IUU fishing in the waters of Southeast Asia could include: inadequate regulatory control over national fishers and fishing vessels, insufficient effective management tools to manage fishing capacity, weak enforcement of fishing legislations, evading the payments of fishing fees and taxes, absence of or inadequate maritime boundary agreements, and incompatible legal frameworks for combating IUU fishing.
- 5.3 Furthermore, the need to strengthen regional and sub-regional efforts to combat IUU fishing has been considered as one of the priority actions of the AMSs in parallel with the establishment of the ASEAN Economic Community (AEC) on 31<sup>st</sup> December 2015.

**6. Various Forms of IUU Fishing Activities**

- 6.1 Many AMSs have encountered and experienced IUU fishing in various forms. The Guidelines specifically addresses five (5) major forms of IUU fishing activities occurring in the Southeast Asian region that include the following:
  - 6.1.1 **Illegal fishing activities within a country:**

This includes several root causes of illegal fishing activities such as fishing without valid license or registration document, vessel with specifications different from those indicated in the fishing license, double flagging, fishing in waters outside the permitted or designated fishing areas, operating prohibited fishing gears and methods, landing of fish in unauthorized ports, transferring of catch at sea, and unreporting or misreporting of catch.
  - 6.1.2 **Unauthorized transshipment and landing of fish/catch across borders:**

This includes fishing vessels operating in a country but transshipping or landing their fish/catch across borders without authorization.

**6.1.3 Poaching in the EEZs of other countries:**

This type of IUU fishing practices includes foreign fishing vessels illegally fishing in another country's waters.

**6.1.4 Illegal fishing and trading practices of live reef food fish, reef-based ornamental and endangered aquatic species:**

This includes illegal fishing activities such as the use of chemicals and other unregulated practices to collect and trade live reef food fish, as well as reef-based ornamental and endangered aquatic species for consumption and the aquarium industry.

**6.1.5 IUU fishing in the high seas and RFMO areas:**

In the high seas and RFMO areas, IUU fishing include a range of illicit activities, such as fishing without permission or during out-of-season; using outlawed types of fishing gears; disregarding catch quotas; unreporting and misreporting catch volumes and species. The AMSs should ensure that fish imported or landed from high seas and RFMO areas do not come from IUU fishing activities.

**PART 3**

**PREVENTING THE ENTRY OF FISH AND FISHERY PRODUCTS FROM IUU FISHING ACTIVITIES INTO THE SUPPLY CHAIN**

**7. Managing Fishing Activities within a ASEAN Member States**

- 7.1 Flag States should consider controlling fishing access through proper registration and licensing system for fishing vessels and gears including their accurate specifications e.g. photographs of vessels, standard vessel markings (i.e. color coding of hull, marking system (engraving and use of copper plate) which could be shared with the AMSs. The vessel identification and licensing system of Malaysia (Annex 3) could be used as reference by other AMSs.
- 7.2 States should promote responsible fishing practices and methods based on the Regional Guidelines for Responsible Fisheries in Southeast Asia: Responsible Fishing Operations, and the RPOA-IUU.
- 7.3 States are encouraged to:
  - 7.3.1 Update related laws and regulations as well as system of reporting catch and compiling appropriate logbook information.
  - 7.3.2 Monitor all fishing vessels by maintaining records and their performance with respect to compliance to their national laws and regulations, including current owners and operators authorized to undertake fishing activities at designated fishing areas.
  - 7.3.3 Implement, where appropriate, a Vessel Monitoring System (VMS) for all commercial fishing vessels licensed by the respective States.
  - 7.3.4 Intensify efforts to address IUU fishing, especially destructive fishing (e.g. blast and cyanide fishing) by promoting community-based management approach to prevent, deter and eliminate any violations with support from relevant government agencies and communities.
- 7.4 Coastal States should intensify their respective surveillance during fishing operations where appropriate, as well as port state control at designated landing ports (after landing and at market places by checking market reports).

**8. Regulating Transshipment and Landing of Fish / Catch across Borders**

- 8.1 States should establish formal arrangements with respect to landings between bordering countries.

- 8.2 States should consider conducting regular bilateral/multi-lateral meetings to discuss mutual agreements on licensing system, data recording, and sharing of information on licensing system, regulations, and other relevant information.

- 8.3 Port States should strengthen measures to regulate fishing vessels accessing their ports for transshipping and/or landing catch and collect and exchange relevant data including origin of catch, among neighboring countries.

**9. Preventing Poaching in the EEZs of ASEAN Member States**

- 9.1 Coastal States should take appropriate actions against fishing vessels operating illegally beyond their designated areas, e.g. through flag States measures, port State measures and coastal State measures.
- 9.2 States should cooperate in compiling a list of vessels reported to have been illegally operating (poaching) beyond their respective EEZs, and share this list among the relevant countries.
- 9.3 States should support in regularly updating information for the Regional Fishing Vessels Record (RFVR) endorsed by the Special SOM-34<sup>th</sup> AMAF. The basic requirements for the RFVR database are shown in Annex 4.
- 9.4 States are encouraged to establish mutual bilateral/multilateral agreements among neighboring countries to set terms and conditions (including enforcement, penalties, and other regulations), for permission to fish in each other's fishing areas.

**10. Controlling Illegal Fishing and Trading Practices of Live Reef Food Fish, Reef-based Ornamentals and Endangered Aquatic Species**

- 10.1 States should conduct regular inter- and intra- meetings among relevant authorities (including customs departments) and exporting companies for mutual agreements on harvesting practices and data reporting of live reef food fish, reef-based ornamentals, and endangered aquatic species.
- 10.2 States should have appropriate mechanisms for the monitoring and data collection of live reef food fish and reef-based ornamentals trades.
- 10.3 States should ensure that export of endangered aquatic species is avoided, except for research and experimental purposes for which such export should be accompanied by appropriate documents.
- 10.4 States should encourage participation of small-scale/artisanal fishers, who account for majority of LRFF production, in co-management, and to enhance their awareness of the impacts of illegal fishing and trading of such aquatic species.
- 10.5 States should consider establishing a network between the LRFF importing and exporting countries, to strengthen LRFF management at the regional level.

- 11. Strengthening the Management of Fishing in the High Seas and RFMO Areas**
- 11.1 Port States should strengthen their respective port state measures including control of port entry, use of port services, requirements for pre-port entry notification and designation of ports for fishing vessels.
  - 11.2 Flag States should implement, where appropriate, observer programs in accordance with relevant national, regional or international regulations with respect to high seas fisheries.
  - 11.3 Flag States should cooperate with the relevant RFMOs in complying with their Catch Document Schemes to prevent the landing of fish and fishery products from IUU fishing in the RFMO areas.
- 12. Review of the Guidelines**
- 12.1 These Guidelines should be reviewed regularly when necessary as proposed by AMSs.



**Annex 1**  
**Meetings under the JTF IUU Project 2011 – 2014 for the Development of these Guidelines**

1. The Regional Core Experts Meeting on Fishing License, Boat Registration and Information on Export of Fisheries products in Southeast Asia, 4 – 7 October 2011 in Bangkok, Thailand
2. The Regional Core Expert Meeting on Preventing Export of IUU Fishing Products in Southeast Asia, 20 – 22 November 2012 at Concorde Inn KLIA, Sepang, Malaysia.



3. The Meeting with Malaysian Officials for Preparation of the "Core Expert Meeting on Combating IUU Fishing in Southeast Asian Region through Application of Catch Certification for International Trade in Fish and Fishery Products", 11 – 13 June 2013 at KL International Hotel, Kuala Lumpur, Malaysia.
4. The Regional Core Expert Meeting on Combating IUU Fishing in Southeast Asian Region Through Application of Catch Certification for International Trade in Fish And Fishery Products" 07 – 09 October 2013 at Quality Hotel, Kuala Lumpur, Malaysia.



5. Meeting with Malaysian officials to further develop the regional guidelines from 10 – 11 February 2014 at Empress Hotel, Salak Tinggi, Malaysia.
6. IUU project discussion between officials from SEAFDEC Secretariat and MFRDMD, 28 – 30 April 2014 at SEAFDEC/MFRDMD, Terengganu, Malaysia.
7. The meeting with Singapore (ASEAN Lead Country) on Combating IUU Fishing in Southeast Asian Region 25 Aug, 2014 at Furama Hotel, Kuala Lumpur, Malaysia.
8. The Regional Technical Consultation (RTC) on the Regional Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain, 23 – 25 September 2014 at Horizon Hotel, Kota Kinabalu, Sabah, Malaysia



**Annex 2**

**National, Bilateral / Multi-Lateral and Regional Initiatives to Combat IUU Fishing**

**1. National Initiatives**

In order to strengthen national efforts in combating IUU fishing, the AMS are encouraged to develop their respective National Plan of Action to Prevent, Deter and Eliminate IUU Fishing (NPOA-IUU). Recently several AMSs, namely: Brunei Darussalam, Indonesia, Malaysia, Philippines, and Vietnam have adopted their respective NPOA-IUU Fishing while the remaining AMS are in the developing process. Examples of activities to combat IUU fishing based on some national practices are as follows:

- Improved registration and licensing of fishing vessels to ensure that only licensed vessels are allowed to access the country's fishery resources.
- Intensification of activities and development of the country's capacity for fisheries surveillance including monitoring at sea, from air, and/or in ports.
- Establishment of ad hoc fisheries courts, e.g. Indonesia, in areas where there are more cases of fisheries violations and/or national coordination fora involving relevant government institutions to enhance the effectiveness of enforcement of respective fisheries laws.
- Implementation of a Vessels Monitoring System (VMS) to enhance fisheries management through monitoring and surveillance, and to provide accurate data and information on the activities of fishing vessels.
- Development of community-based fisheries surveillance system as means of enhancing MCS, where community groups undertake observations at sea and on land, and to report to proper authorities in their community fishers' groups about vessels suspected to be conducting illegal fishing activities.
- Strengthening capacity building activities for fishers to enhance their awareness on fisheries regulations.

**2. Bilateral / Multi-lateral Enforcement Activities**

Establishment of the bilateral or multi-lateral arrangements among the AMSs in combating IUU fishing in their common or shared or transboundary waters had been recently carried out through sub-regional programs supported by some donors including SEAFDEC. Some examples of the initiatives of AMSs are as follows:

- Collaborative measures through a Memorandum of Agreement between Cambodia and Vietnam to combat IUU fishing in their shared waters.

- Trilateral arrangements with Malaysia, Singapore and Indonesia (MALSINDO) to conduct collaborative patrol activities and the joint "Eye in the Sky" air patrol to monitor anti-piracy activities and IUU fishing activities in the Strait of Malacca.
- Trilateral arrangement of Indonesia, Malaysia and Philippines to combat IUU fishing in Sulu-Sulawesi Sea including the countries' participation in the World Wide Fund for Nature (WWF) program under the Sulu-Sulawesi Marine Ecoregion initiatives and RPOA-IUU as well as in the joint patrol exercises.

3. Regional and RFMOs Initiatives

a) ASEAN Wildlife Enforcement Network

The ASEAN Wildlife Enforcement Network (ASEAN-WEN) is the world's largest wildlife law enforcement network that involves police, customs and environment agencies of all ASEAN countries, namely: Brunei Darussalam, Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Singapore, Thailand, and Vietnam. ASEAN-WEN is a regional intergovernmental law-enforcement network designed to combat the illegal wildlife trade; a proactive response to Southeast Asia's alarming levels of wildlife trafficking and loss; and a mechanism by which countries can share information and learn from each other's best practices. Through annual meetings, workshops and trainings, ASEAN-WEN facilitates increased capacity and better coordination and collaboration of law enforcement agencies among the Southeast Asian countries, regionally and globally. Links with the Convention of International Trade in Endangered Species of Wild Fauna and Flora (CITES) offices, Interpol, U.S. Fish and Wildlife Service, U.S. Department of Justice and other wildlife law enforcement groups have broadened the Network's reach. Along with an increase in ASEAN-WEN's visibility, the region has also experienced a recent increase in wildlife law enforcement actions in Southeast Asia ([www.asean-wen.org](http://www.asean-wen.org)).

b) Coral Triangle Initiative on Coral Reefs, Fisheries, and Food Security (CTI-CFF)

A multilateral partnership of six countries, namely: Indonesia, Malaysia, Papua New Guinea, Philippines, Solomon Islands and Timor-Leste, the CTI-CFF is aimed at sustaining the extraordinary marine and coastal resources by addressing crucial issues such as food security, climate change and marine biodiversity. In order to support the initiatives of the CTI-CFF, the relevant AMS are encouraged to implement policies that would address regional problems, including measures to mitigate the impacts of climate change and combat IUU fishing in the region. These two aspects are the corner stone of the CTI-CFF in promoting a regional approach towards ocean governance ([www.coraltriangleinitiative.org](http://www.coraltriangleinitiative.org)).

f) RFMOs Initiatives

Some AMS are actively participating in the various RFMOs that implement regulations to combat IUU fishing in the RFMO areas. These include the Commission for the Conservation of Southern Bluefin Tuna (CCSBT), Indian Ocean Tuna Commission (IOTC), and Western and Central Pacific Fisheries Commission (WCPFC).

<sup>4</sup> Sulu Sulawesi Marine Ecoregion Tri-National Committee 2013. Strategic Action Programs for the Sulu-Celebes Sea Large Marine Ecosystem. Prepared for the Sulu-Celebes Sea Sustainable Fisheries Management Project under GEF/UNDP/INOPS. 19 pp.

c) Mekong River Commission

The 1995 Mekong Agreement signed on 5 April 1995 by Lower Mekong Basin countries, namely: Cambodia, Lao PDR, Thailand, and Vietnam, outlines the legal mandate of the Mekong River Commission (MRC). The MRC-Fisheries Programme (MRC-FP) conducts research on inland capture fisheries, trains fisheries managers, promotes aquaculture of indigenous Mekong fish species, and disseminates information to policy makers and planners in the four Lower Mekong countries. MRC-FP is implemented through the national fisheries agency in each country to ensure good alignment of the MRC-FP with national priorities and uptake of its results at national level. The goal of MRC-FP is to achieve coordinated and sustainable development, utilization, management and conservation of the fisheries of the Mekong Basin and to aid the MRC member countries in implementing sustainable fisheries management and development at local, national and regional levels. ([www.mrcmekong.org](http://www.mrcmekong.org)).

d) Regional Plan of Action to Promote Responsible Fishing Practices including Combating Illegal, Unreported and Unregulated Fishing in Southeast Asia (RPOA-IUU)

Represented in the RPOA-IUU are eight (8) of the 10 AMSs, i.e. Brunei Darussalam, Cambodia, Indonesia, Malaysia, Philippines, Singapore, Thailand, and Vietnam, with the overall objectives of enhancing and strengthening the overall level of fisheries management in the region in order to sustain the fisheries resources and marine environment, and optimizing the benefits of adopting responsible fishing practices. The actions under the RPOA-IUU include conservation of fisheries resources and their environment, managing fishing capacity, and combating IUU fishing in the areas of the South China Sea, Sulu-Sulawesi Sea (Celebes Sea) and the Arafuru-Tianar Sea ([www.rpoaiuu.org](http://www.rpoaiuu.org)).

e) Sulu-Sulawesi Marine Ecoregion

The Sulu-Sulawesi Marine Ecoregion (SSME), as the apex of the Coral Triangle, is considered the center of marine biodiversity where the highest number of colorful reef and marine fishes, various sizes of corals and shells, myriad shapes of algae, and protective mangrove forests are found. In order to address threats to SSME's diversity and productivity, an ecoregion conservation plan was forged collaboratively by Indonesia, Malaysia, and the Philippines in 2004. The SSME Ecoregion Conservation Plan has spurred the development of three comprehensive action plans for 2010-2012. These plans are implemented by the subcommittees on Migratory and Threatened Species, Marine Protected Areas and Networks, and Sustainable Fisheries, and guided by the SSME's Tri-National Committee<sup>5</sup>.


<sup>5</sup> Comprehensive action plans of the Sulu-Sulawesi Ecoregion: A priority snapshot of the Coral Triangle Initiative. Manila/Luzon City, Philippines: Asian Development Bank, 2011. 154 pp.

Annex 3

Example of Vessel Identification and Licensing System of Malaysia

1. Licensing of Vessel

Issues	Details or Photographic Examples
1) All vessels engaging in fishing activities in Malaysian waters need a License to operate	
2) A license need to renewed on a yearly basis subject to vessel inspection report	
3) Secured features (protective element) for Fishing License	<ul style="list-style-type: none"> <li>➢ Use scattered watermark</li> <li>➢ Fluorescent on the Fisheries Department logo in each page is only visible under the ultra violet light</li> <li>➢ Serial Number in the front page is of invisible colored and only visible under ultra violet light</li> </ul>
4) Information of fishing vessel registration	<ol style="list-style-type: none"> <li>1) Registration number;</li> <li>2) Name, address and identification card number of owner or owners;</li> <li>3) Where and when built;</li> <li>4) Type of vessel;</li> <li>5) Length, breadth, depth;</li> <li>6) Name and address of operator (manager) or operators (managers) (if any);</li> <li>7) Type of fishing method or methods;</li> <li>8) Gross registered tonnage;</li> <li>9) Power of main engine or engines;</li> <li>10) Nationality and the number of crews to be employed;</li> <li>11) Fishing vessel base.</li> </ol>
5) Validity of Licenses	<ul style="list-style-type: none"> <li>➢ Traditional &lt; 40 GRT 3 YEARS</li> <li>➢ Commercial &lt;= 79GRT 1 YEAR</li> </ul>



State	Color	State	Color
Perlis	Dark Blue	Perlis	Purple
Selangor	Dark Red	Johor	Blue
Pulau Pinang	Light Blue	Perang	Light Yellow
Perak	Dark Yellow	Selangor	Light Green
Selangor	Orange	Kalantan	Dark Red
Negeri Sembilan	Dark Green	Laluan	Red



- Prefix of the Registration No.
  - The permanent letters of the registration no. is according to state :


State	Permanent Letters	State	Permanent Letters
Perlis	PF	Perlis	PL
Selangor	SL	Johor	JH
Pulau Pinang	PP	Perang	PR
Perak	PR	Selangor	SR
Selangor	SL	Kalantan	KL
Negeri Sembilan	NS	Laluan	LP


- Registration Number
  - The Registration number must be carved on both sides of the fore part of the hull of the vessel
  - In the case of the deep sea vessel (> 70 GRT) the number must also be carved on the roof of the wheelhouse
  - The carved number must be painted in white with a black background

**PAF3954 KNF1234**

- Size of registration number
  - Size of the registration number to be carved and painted is based on the size of the vessel

Vessel	Size of the No.	Example
Vessel without engine/with portable engine	6" x 4" x 1.25"	
< 25 GRT	9" x 6" x 1.75"	
25 - < 40 GRT	12" x 6" x 2.5"	
40 - > 40 GRT	18" x 12" x 4"	

- Tin Plate
  - With the department logo and the signature of Director General of the Department, is placed in the inner side of the hull.

- Hammer emblem on the hull
  - The alphabet used as emblem represent the state code eg. JHF 1, where JH stand for Johor, F for fisheries and for number the one district in Johor that is Muar District

In the future COF Malaysia plans to use Radio Frequency Identification (RFID) chips to be embedded in fishing vessel


Annex 4

Basic Requirements of the Regional Fishing Vessels Record (RFVR) for the Vessel of 24m in Length and Over

1. Name of vessel	14. Engine Brand
2. Vessel Registration Number	15. Serial number of engine
3. Owner Name	16. Hull material
4. Type of fishing method/gear	17. Date of registration
5. Port of registry	18. Area (country) of fishing operation
6. Gross tonnage (GRT/GT)	19. Nationality of vessel (flag)
7. Length (L)	20. Previous name (if any)
8. Breadth (B)	21. Previous flag (if any)
9. Depth (D)	22. Name of captain/master
10. Engine Power	23. Nationality of captain/master
11. Shipyard/Ship Builder	24. Number of crew (maximum/minimum)
12. Date of launching	25. Nationality of crew
13. International Radio Call Sign	26. IMO Number (if available)



MARINE FISHERY RESOURCES DEVELOPMENT AND MANAGEMENT DEPARTMENT  
SOUTHEAST ASIAN FISHERIES DEVELOPMENT CENTER



## **ANNEX 4: Recommended Actions to Implement the ASEAN Guidelines for Preventing the Entry of Fish and Fishery Products from IUU Fishing Activities into the Supply Chain**

### **RECOMMENDED ACTIONS TO IMPLEMENT THE ASEAN GUIDELINES FOR PREVENTING THE ENTRY OF FISH AND FISHERY PRODUCTS FROM IUU FISHING ACTIVITIES INTO THE SUPPLY CHAIN**

#### **Action 1: MANAGING FISHING ACTIVITIES WITHIN AN ASEAN MEMBER STATE (AMS)**

##### **1.1 Controlling fishing access**

- Evaluate existing systems that control fishing access
- Conduct capacity building to share / exchange experience among AMSs for controlling fishing access
- Revise policy, fisheries regulation, legal framework and procedures when and where appropriate
- Request SEAFDEC for capacity building on electronic database system
- Encourage AMS to share their experience to help other member states developing their national electronic database system including for fishing license

##### **1.2 Promotion of responsible fishing practices / methods**

- Promote responsible fishing practices / methods in the region in accordance to CCRF
- Consider developing and implementing NPOA – IUU and NPOA – Capacity
- Review and strengthen capacity building for MCS
- Promote awareness program on responsible fishing practices / methods

##### **1.3 States are encouraged to:**

###### **1.3.1 Update related laws and regulations as well as system of reporting catch and compiling appropriate logbook information**

- Evaluate and strengthen the regulations on catch declaration
- Develop, implement and improve a systematic catch declaration through logbook / e-logbook

###### **1.3.2 Monitor all fishing vessels by maintaining records and their performance with respect to compliance to national laws and regulations**

- Strengthen fishing vessel inspection and enforcement program

###### **1.3.3 MCS for implementation of VMS**

- Consider developing the national strategic plan to monitor fishing vessels movement and activities
- Consider equipping appropriate fishing vessels with suitable fishing vessels monitoring system

- Request SEAFDEC for advice on the principle of fishing vessel monitoring systems
- 1.3.4 Intensify efforts to address IUU fishing, including destructive fishing and promote co – management approach**
- Promote co-management approach for fisheries management
  - Strengthen capability of fisheries enforcement staff and agency to combat IUU fishing
- 1.4 Intensify surveillance during fishing operations and port state control at designated landing ports**
- Enhance capacity building for MCS
  - Consider intensifying surveillance during fishing operations by increasing the frequency of inspection at sea
  - Consider implementation of relevant port state measures.
- ACTION 2: REGULATING TRANSSHIPMENT AND LANDING OF FISH / CATCH ACROSS BORDERS**
- 2.1 Establish formal arrangements with respect to landings between bordering countries**
- Strengthen cooperation and collaboration between bordering countries with respect to landing
  - Request assistance from SEAFDEC to facilitate formal arrangement with respect to landing between bordering countries
- 2.2 Regular bilateral / multi- lateral meetings to agree on licensing system / data recording and to share relevant information and fishing vessel registration database**
- Consider active participation in bilateral / multi-lateral meetings with bordering countries in licensing system / data recording and sharing of relevant information
  - Consider sharing relevant information among AMSs especially RFVR program including vessel less than 24 meters in length
- 2.3 Port states should strengthen measures to regulate fishing vessels accessing their ports for trans-shipping and/or landing catch and collect and exchange relevant information including origin of catch, among neighbouring countries**
- Consider developing and implementing an appropriate regional catch documentation scheme (ACDS) including an electronic system
  - Enhance capacity building on port state measures and catch documentation scheme
  - Consider formulating SOP / manual for better understanding and implementation of FSM, PSM and CSM

- Consider strengthening effective monitoring at landing sites including preventing entry of fish and fishery product from IUU fishing

**Action 3: Preventing Poaching in The EEZs Of ASEAN Member States**

**3.1 Actions against fishing vessels operating illegally beyond their designated areas, for example by using some system of vessel monitoring system (VMS), implementation and strengthening of flag states measures, port state measures and coastal state measures**

- Encourage cooperation with other AMSs on VMS data sharing upon request.
- Strengthen inspection and surveillance against fishing vessels operating illegally beyond their designated areas
- Enhance cooperation among national management and enforcement agencies

**3.2 Cooperate in compiling a black list of illegal vessels operating beyond their respective EEZs and sharing the black list among amss**

- Share information among AMSs on the black listed vessels engaged in IUU fishing

**3.3 Regular update of information for the regional fishing vessels record (RFVR)**

- Share and update regularly information for fishing vessels 24 meters in length and over to the Regional Fishing Vessels Record (RFVR) Database System
- Request SEAFDEC to consider developing the RFVR Database System for fishing vessels less than 24 meters in length

**3.4 Establish Bilateral / Multilateral Agreements For Permission To Fish In Each Other's Fishing Areas**

- Consider establishing bilateral / multilateral agreements for permission to fish in AMSs waters

**Action 4: Controlling Illegal Fishing and Trading Practices of Live Reef Food Fish (LRFF), Reef- Based Ornamentals and Endangered Aquatic Species**

**4.1 Conduct regular inter- and intra- meetings among relevant authorities (including customs departments) and exporting companies for agreements on harvesting practices and data reporting of live reef food fish, reef- based ornamentals, and endangered aquatic species**

- Strengthen collaboration among relevant agencies and stakeholders including exporting company for agreements on harvesting practices and data reporting of live reef food fish, reef- based ornamentals, and endangered aquatic species.

**4.2 Appropriate mechanisms for the monitoring and data collection of live reef food fish and reef- based ornamentals trades**

- Apply co-management mechanisms for collecting information on live reef food fish and reef-based ornamentals trades



- Strengthen data collection and analysis of live reef food fish and reef-based ornamentals trades
- 4.3 State should ensure that export of endangered aquatic species is avoided, except for research and experimental purposes for which such export should be accompanied by appropriate documents**
- Strengthen regular monitoring and surveillance on the export of endangered aquatic species
  - Encourage AMSs to review existing regulation to comply with CITES and strengthen awareness building program for stakeholders
  - Enhance collaboration among relevant agencies monitoring and surveillance on the export of endangered aquatic species
- 4.4 Encourage Participation of Small- Scale / Artisanal Fishers, Who Account for Majority of LRFF Production, in Co-Management and to Enhance Their Awareness of The Impacts of IUU Fishing and Trading of Such Aquatic Species**
- Encourage development of co-management program for participation of small – scale or artisanal fishers in LRFF production
  - Create, promote and implement the awareness program on the impact of IUU fishing and trading of such aquatic species
- 4.5 Should Consider Establishing A Network Between The LRFF Importing And Exporting Countries, also to Strengthen LRFFT Management At The Regional Level**
- Request SEAFDEC to expedite establishment of the regional LRFFT network
  - Encourage AMSs to join and actively participate in the regional LRFFT network once it has been established
- 5. Strengthening the Management of Fishing in the High Seas and RFMO Areas**
- 5.1 Strengthening Port State Measures**
- Request capacity building for better understanding and implementation of PSM for relevant AMS officials
- 5.2 Implement, Where Appropriate, Observer Programs In Accordance With Relevant National, Regional Or International Regulations With Respect To High Seas Fisheries**
- Encourage AMSs to develop and implement observer programs in accordance with relevant national, regional or international regulations with respect to high seas fisheries
  - Enhance capacity building for implementation of observer programs
- 5.3 Cooperate with the Relevant RFMOs in Complying with Their Catch Documentation Schemes to Prevent the Landing of Fish and Fishery Products from IUU Fishing in the RFMO Areas**

- Encourage AMSs to cooperate with the relevant RFMOs in complying with the RFMOs Catch Documentation Schemes
- Explore the possibility of harmonizing the Catch Documentation Schemes

## **6. REVIEW OF THE GUIDELINES**

### **6.1 GUIDELINES SHOULD BE REVIEWED REGULARLY WHEN NECESSARY AS PROPOSED BY AMSs**

- The guidelines should be reviewed as requested by AMSs during the annual council meeting

## ANNEX 5: Scoring Mechanism for the Self Evaluation by AMSs

## SCORING MECHANISM FOR THE SELF EVALUATION BY ASEAN MEMBER STATES FOR THE IMPLEMENTATION OF THE GUIDELINES

SELF EVALUATION BY ASEAN MEMBER STATES ON IMPLEMENTATION THE ASEAN GUIDELINES ON PREVENTING ENTRY OF FISH AND FISHERY PRODUCTS FROM IUU ACTIVITIES INTO THE SUPPLY CHAIN	Notes	2018 scores	Remarks	
<b>ACTION 1: MANAGING FISHING ACTIVITIES WITHIN AN ASEAN MEMBER STATE (AMS)</b>				
<b>1.1 Controlling Fishing Access</b>				
a. Evaluate existing systems that control fishing access	0 = Not implemented 1 = 1 - 20 % implemented 2 = 21 - 40 % implemented 3 = 41 - 60 % implemented 4 = 61 - 80 % implemented 5 = 81 - 100 % implemented			
b. Conduct capacity building to share / exchange experience among AMSs for controlling fishing access				
c. Revise policy, fisheries regulation, legal framework and procedures when and where appropriate				
d. Request SEAFDEC or other organisations for capacity building on electronic database system		5 = request or does not request because has own electronic database system, 0 = did not request but required by the country		
e. Encourage AMS to share their experience to help other member states developing their national electronic database system including for fishing license		0 = Not implemented 1 = 1 - 20 % implemented 2 = 21 - 40 % implemented 3 = 41 - 60 % implemented 4 = 61 - 80 % implemented 5 = 81 - 100 % implemented		
<b>1.2 Promotion of Responsible Fishing Practices / Methods</b>				
a. Promote responsible fishing practices / methods in the region accordance to CCRF	0 = Not implemented 1 = 1 - 20 % implemented 2 = 21 - 40 % implemented 3 = 41 - 60 % implemented 4 = 61 - 80 % implemented 5 = 81 - 100 % implemented			
b. Consider developing and implementing NPOA – IUU and NPOA – Capacity				
c. Review and strengthen capacity building for MCS				
d. Promote awareness program on responsible fishing practices / methods				
<b>1.3 States are Encouraged to:</b>				
<b>1.3.1 Update related laws and regulations as well as system of reporting catch and compiling appropriate logbook information</b>				
a. Evaluate and strengthen the regulations on catch declaration	0 = Not implemented 1 = 1 - 20 % implemented 2 = 21 - 40 % implemented 3 = 41 - 60 % implemented 4 = 61 - 80 % implemented 5 = 81 - 100 % implemented			
b. Develop, implement and improve a systematic catch declaration through logbook / e-logbook				

<b>1.3.2 Monitor all fishing vessels by maintaining records and their performance with respect to compliance to national laws and regulations</b>			
a. Strengthen fishing vessel inspection and enforcement program	0 = Not implemented 1 = 1 - 20 % implemented 2 = 21 - 40 % implemented 3 = 41 - 60 % implemented 4 = 61 - 80 % implemented 5 = 81 - 100 % implemented		
<b>1.3.3 MCS for implementation of VMS</b>			
a. Consider developing the national strategic plan to monitor fishing vessels movement and activities	0 = Not implemented 1 = 1 - 20 % implemented 2 = 21 - 40 % implemented 3 = 41 - 60 % implemented 4 = 61 - 80 % implemented 5 = 81 - 100 % implemented		
b. Consider equipping appropriate fishing vessels with suitable fishing vessels monitoring system			
c. Request SEAFDEC for advice on the principle of fishing vessel monitoring systems	5 = request if needed or does not need to request, 0 = did not request but required by the country		
<b>1.3.4 Intensify efforts to address IUU fishing, including destructive fishing and promote co – management approach</b>			
a. Promote co-management approach for fisheries management	0 = Not implemented 1 = 1 - 20 % implemented 2 = 21 - 40 % implemented 3 = 41 - 60 % implemented 4 = 61 - 80 % implemented 5 = 81 - 100 % implemented		
b. Strengthen capability of fisheries enforcement staff and agency to combat IUU fishing			
<b>1.4 Intensify Surveillance during Fishing Operations and Port State Control at Designated Landing Ports</b>			
a. Enhance capacity building for MCS	0 = Not implemented 1 = 1 - 20 % implemented 2 = 21 - 40 % implemented 3 = 41 - 60 % implemented 4 = 61 - 80 % implemented 5 = 81 - 100 % implemented		
b. Consider intensifying surveillance during fishing operations by increasing the frequency of inspection at sea			
c. Consider implementation of relevant port state measures			

<b>ACTION 2: REGULATING TRANSSHIPMENT AND LANDING OF FISH / CATCH ACROSS BORDERS</b>			
<b>2.1 Establish Formal Arrangements with Respect to Landings between Bordering Countries</b>			
a. Strengthen cooperation and collaboration between bordering countries with respect to landing	5 = strengthen if needed or not applicable, 0 = did not but needed by the country		
b. Request assistance from SEAFDEC to facilitate formal arrangement with respect to landing between bordering countries	Y=0, N=5		
<b>2.2 Regular Bilateral / Multi-lateral Meetings to Agree on Licensing System / Data Recording and to Share Relevant Information and Fishing Vessel Registration Database</b>			

a. Consider active participation in bilateral / multi-lateral meetings with bordering countries in licensing system / data recording and sharing of relevant information	0 = Not implemented 1 = 1 - 20 % implemented 2 = 21 - 40 % implemented 3 = 41 - 60 % implemented 4 = 61 - 80 % implemented 5 = 81 - 100 % implemented		
b. Consider sharing relevant information among AMSs especially RFVR program including vessel less than 24 meters in length	0 = Not implemented 1 = 1 - 20 % implemented 2 = 21 - 40 % implemented 3 = 41 - 60 % implemented 4 = 61 - 80 % implemented 5 = 81 - 100 % implemented		
<b>2.3 Port States Should Strengthen Measures to Regulate Fishing Vessels Accessing their Ports for Trans-shipping and/or Landing Catch and Collect and Exchange Relevant Information including Origin of Catch, among Neighbouring Countries</b>			
a. Consider developing and implementing an appropriate regional catch documentation scheme (ACDS) including an electronic system			
b. Enhance capacity building on port state measures and catch documentation scheme	0 = Not implemented 1 = 1 - 20 % implemented 2 = 21 - 40 % implemented 3 = 41 - 60 % implemented 4 = 61 - 80 % implemented 5 = 81 - 100 % implemented		
c. Consider formulating SOP / manual for better understanding and implementation of FSM, PSM and CSM	0 = Not implemented 1 = 1 - 20 % implemented 2 = 21 - 40 % implemented 3 = 41 - 60 % implemented 4 = 61 - 80 % implemented 5 = 81 - 100 % implemented		
d. Consider strengthening effective monitoring at landing sites including preventing entry of fish and fishery product from IUU fishing			
<b>ACTION 3: PREVENTING POACHING IN THE EEZS OF ASEAN MEMBER STATES</b>			
<b>3.1 Actions against Fishing Vessels Operating Illegally beyond their Designated Areas, for Example by Using Some System of Vessel Monitoring System (VMS), Implementation and Strengthening of Flag States Measures, Port State Measures and Coastal State Measures</b>			
a. Encourage cooperation with other AMSs on VMS data sharing upon request	0 = Not implemented 1 = 1 - 20 % implemented 2 = 21 - 40 % implemented 3 = 41 - 60 % implemented 4 = 61 - 80 % implemented 5 = 81 - 100 % implemented		
b. Strengthen inspection and surveillance against fishing vessels operating illegally beyond their designated areas	0 = Not implemented 1 = 1 - 20 % implemented 2 = 21 - 40 % implemented 3 = 41 - 60 % implemented 4 = 61 - 80 % implemented 5 = 81 - 100 % implemented		
c. Enhance cooperation among national management and enforcement agencies			
<b>3.2 Cooperate in Compiling a Black List of Illegal Vessels Operating beyond their Respective EEZs and Sharing the Black List among AMSs</b>			
a. Share information among AMSs on the black listed vessels engaged in IUU fishing	0 = Not implemented 1 = 1 - 20 % implemented 2 = 21 - 40 % implemented 3 = 41 - 60 % implemented 4 = 61 - 80 % implemented 5 = 81 - 100 % implemented		
<b>3.3 Regular Update of Information for the Regional Fishing Vessels Record (RFVR)</b>			
a. Share and update regularly information for fishing vessels 24 meters in length and over to the Regional Fishing Vessels Record (RFVR) Database System	0 = Not implemented 1 = 1 - 20 % implemented 2 = 21 - 40 % implemented 3 = 41 - 60 % implemented 4 = 61 - 80 % implemented 5 = 81 - 100 % implemented		

b. Request SEAFDEC to consider developing the RFVR Database System for fishing vessels less than 24 meters in length	Y=5, N=0		
<b>3.4 Establish Bilateral / Multilateral Agreements for Permission to Fish in Each Other's Fishing Areas</b>			
a. Consider establishing bilateral / multilateral agreements for permission to fish in AMSs waters	Y=0, N=5		
<b>ACTION 4: CONTROLLING ILLEGAL FISHING AND TRADING PRACTICES OF LIVE REEF FOOD FISH (LRFF), REEF-BASED ORNAMENTALS AND ENDANGERED AQUATIC SPECIES</b>			
<b>4.1 Conduct Regular Inter- and Intra-Meetings among Relevant Authorities (including Customs Departments) and Exporting Companies for Agreements on Harvesting Practices and Data Reporting of Live Reef Food Fish, Reef-based Ornamentals, and Endangered Aquatic Species</b>			
a. Strengthen collaboration among relevant agencies and stakeholders including exporting company for agreements on harvesting practices and data reporting of live reef food fish, reef-based ornamentals, and endangered aquatic species.	0 = Not implemented 1 = 1 - 20 % implemented 2 = 21 - 40 % implemented 3 = 41 - 60 % implemented 4 = 61 - 80 % implemented 5 = 81 - 100 % implemented		
<b>4.2 Appropriate Mechanisms for the Monitoring and Data Collection of Live Reef Food Fish and Reef-based Ornamentals Trades</b>			
a. Apply co-management mechanisms for collecting information on live reef food fish and reef-based ornamentals trades	0 = Not implemented 1 = 1 - 20 % implemented 2 = 21 - 40 % implemented 3 = 41 - 60 % implemented 4 = 61 - 80 % implemented 5 = 81 - 100 % implemented		
b. Strengthen data collection and analysis of live reef food fish and reef-based ornamentals trades			
<b>4.3 State Should Ensure that Export of Endangered Aquatic Species is Avoided, Except for Research and Experimental Purposes for which such Export Should be Accompanied by Appropriate Documents</b>			
a. Strengthen regular monitoring and surveillance on the export of endangered aquatic species	0 = Not implemented 1 = 1 - 20 % implemented 2 = 21 - 40 % implemented 3 = 41 - 60 % implemented 4 = 61 - 80 % implemented 5 = 81 - 100 % implemented		
b. Encourage AMSs to review existing regulation to comply with CITES and strengthen awareness building program for stakeholders			
c. Enhance collaboration among relevant agencies monitoring and surveillance on the export of endangered aquatic species			
<b>4.4 Encourage Participation of Small-scale / Artisanal Fishers, who Account for Majority of LRFF Production, in Co-management and to Enhance their Awareness of the Impacts of IUU Fishing and Trading of Such Aquatic Species</b>			
a. Encourage development of co-management program for participation of small – scale or artisanal fishers in LRFF production	0 = Not implemented 1 = 1 - 20 % implemented 2 = 21 - 40 % implemented		

b. Create, promote and implement the awareness program on the impact of IUU fishing and trading of such aquatic species	3 = 41 - 60 % implemented 4 = 61 - 80 % implemented 5 = 81 - 100 % implemented		
<b>4.5 Should Consider Establishing a Network between the LRFF Importing and Exporting Countries, also to Strengthen LRFFT Management at the Regional Level</b>			
a. Request SEAFDEC to expedite establishment of the regional LRFFT network			
b. Encourage AMSs to join and actively participate in the regional LRFFT network once it has been established	5 = request if needed or does not need to request if NA , 0 = did not request but required by the country		
<b>ACTION 5: STRENGTHENING THE MANAGEMENT OF FISHING IN THE HIGH SEAS AND RFMO AREAS</b>			
<b>5.1 Strengthening Port State Measures</b>			
a. Request capacity building for better understanding and implementation of PSM for relevant AMS officials	5 = request if needed or does not need to request if NA , 0 = did not request but required by the country		
<b>5.2 Implement, where Appropriate, Observer Programs in Accordance with Relevant National, Regional or International Regulations with Respect to High Seas Fisheries</b>			
a. Encourage AMSs to develop and implement observer programs in accordance with relevant national, regional or international regulations with respect to high seas fisheries			
b. Enhance capacity building for implementation of observer programs	5 = request if needed or does not need to request if NA , 0 = did not request but required by the country		
<b>5.3 Cooperate with the Relevant RFMOs in Complying with their Catch Documentation Schemes to Prevent the Landing of Fish and Fishery Products from IUU Fishing in the RFMO Areas</b>			
a. Encourage AMSs to cooperate with the relevant RFMOs in complying with the RFMOs Catch Documentation Schemes			
b. Explore the possibility of harmonizing the Catch Documentation Schemes	5 = request if needed or does not need to request if NA , 0 = did not request but required by the country		
<b>TOTAL SCORE</b>	250		
<b>% of score aginst total score</b>			

## ANNEX 6: Remarks by AMSs against Self-Evaluation Scores

REMARKS FOR SELF-EVALUATION ON STATUS OF IMPLEMENTATION OF THE ASEAN GUIDELINES TO PREVENT ENTRY OF FISH AND FISHERY PRODUCTS FROM IUU FISHING ACTIVITIES INTO THE SUPPLY CHAIN (2018)								
	Cambodia	Indonesia	Lao PDR	Malaysia	Myanmar	Philippines	Thailand	Viet Nam
<b>ACTION 1: MANAGING FISHING ACTIVITIES WITHIN AN ASEAN MEMBER STATE (AMS)</b>								
<b>1.1 Controlling Fishing Access</b>								
a. Evaluate existing systems that control fishing access	For inland fisheries, it is open access for fishing communities but must use only the legal, non-destructive gear and method. Also implemented area restriction in inland waters (conservation area). For marine fisheries, all fishing vessels and gears must be registered and licensed but only 60 - 70% fishing vessels and gears already registered	Regulation about the SLO (Notification of Deserve to Operate) and SPB (Notification on Fishing Approval) Permit has regulated and implementated very well in MMAF Indonesia.	Existing legal framework e.g. Fisheries Law. Registration of boat at some areas e.g. Khammouan province (Nam Then 2 - NT2 hydropower ), only certain type of fishing gear are allowed, destructive fishing method not allowed e.g. electric fishing and using poison.	Malaysia still developing FMP. Malaysia NPOA Fishing Capacity Plan 2 will complete in end 2018.	Myanmar stop issuing fishing license for new fishing vessels. All fishing and carrier vessels must be registered and all fishing gears must be licensed for small and commercial s fishing vessels.	92% of commercial fishing vessel, fishermen and fish workers were registered . Fisheries electronic licensing system,	On-going. Every 2 years renewing the fishing gear licenses.	Existing system for boat registration and fishing gear licensing in place, close season, mesh size regulations , fishing ground.
b. Conduct capacity building to share / exchange experience among AMSs for controlling fishing access	Sharing experience with other AMSs through regional meetings / consultations / trainings.	Indonesia has shared / received experiences on controlling fishing access through regional and international forum.	Lao PDR officials attending meeting organizes by SEAFDEC, RPOAs.	Malaysia is the lead country for the implementation of ASEAN RPOA Fishing Capacity.	Myanmar have MOU with DOF, Thailand for the fishery cooperation especially for the IUU fishing.	.	Always attending capacity building program / meeting for controlling fishing access	Viet Nam officials attends many SEAFDEC meetings.
c. Revise policy, fisheries regulation, legal framework and procedures when and where appropriate	Marine Fisheries Law already ammended to align with the international and regional instruments	Some regulation are still under revisions process.	Constantly revising policy, fisheries regulation, legal framework and procedures when and where appropriate	Malaysia (DOF) is continuously revising Fisheries Policy and Regulation.	Myanmar willing to revise the policy, fisheries regulation, legal framework and procedures when ever necessary.	Ongoing initiative to strengthen regulation with the municipal government	On-going.	New law and under laws regulation will be affective in 1 January 2019.
d. Request SEAFDEC or other organisations for capacity building on electronic database system	Cambodia didn't have database yet just in microsoft excel forms. Cambodia planned to request SEAFDEC	Indonesia has established own electronic database system i.e. DSS (Database Sharing System).	The database only for some areas.	Malaysia has established own electronic database system.	Myanmar already requested SEAFDEC	Already have an electronic database licensing system.	The DOF Thailand has it own database system and request the capacity building from RFMOs	VN Fishbase for registration and licensing, fishing fleet management and for



	for capacity building.							issuing catch certificates
e. Encourage AMS to share their experience to help other member states developing their national electronic database system including for fishing license	Cambodia willing to learn from other AMSs through technical support from SEAFDEC.	Indonesia is available to share experience on developing electronic database system.	Sharing experience through attendances at regional meetings.	Malaysia has shared her experienced during the RFVR RTC.	Myanmar already developed the electronic software for the database but not started yet.	Philippines open to share experience with other AMSs.	The DOF Thailand has Fisheries Monitoring Center (FMC) and are proactively sharing their experience with other AMSs.	On-going
<b>1.2 Promotion of Responsible Fishing Practices / Methods</b>								
a. Promote responsible fishing practices / methods in the region accordance to CCRF	Cambodia already have a Cambodian CCRF (CamCode)	Indonesia committed to continue effort in promoting responsible fishing practices through its role as regional secretariat of RPOA-IUU.	Awareness program conducted by DLF to local communities.	Promote responsible fishing practices through the Fisheries Act 1985	On-going program	Philippines promoting the responsible fishing practices for the last 7-8 years.	Thailand always promoting responsible fishing practices / methods, also some bilateral arrangement regarding this with Viet Nam, Malaysia, Cambodia, Myanmar.	
b. Consider developing and implementing NPOA – IUU and NPOA – Capacity	Cambodia is developing NPOA-IUU. Cambodia interested to develop NPOA-Capacity.	Indonesia already have Ministerial Regulation about NPOA-IUU, and NPOA-Capacity	In future	Malaysia has her own NPOA-IUU and NPOA-Capacity	NPOA-IUU already developed and implemented but for NPOA-Capacity still on-going.	Already have NPOA-IUU but not yet for NPOA-Capacity	Thailand is already implement the NPOA-IUU and will be revised the NPOA-IUU in 2019. Thailand still doesn't have NPOA-Capacity but implement the Fisheries Management Plan (FMP) to reduce and control the fishing capacity.	NPOA-IUU and NPOA-Capacity already approved by prime minister.
c. Review and strengthen capacity building for MCS	Cambodia is starting developing the National Plan of Action to Control and Inspection (NPCI).	Indonesia still need capacity building on MCS. Some activity conducted through RPOA-IUU Forum.	Existing MCS activities at Khammouan province (Nam Then 2 - NT2 hydropower) and reservoirs.	DOFM continuously send officials for training and capacity building	On-going program	Continuing of the capacity building program for MCS	On-going	Viet Nam officials attended many SEAFDEC meeting on MCS.

d. Promote awareness program on responsible fishing practices / methods	Cambodia already have a Cambodian CCRF (CamCode)	Indonesia has promoted continually in National, regional, and International level.	Awareness program conducted by DLF to local communities.	Continuously conduct awareness program	On-going program	Continuing program	On-going	On-going
<b>1.3 States are Encouraged to:</b>								
<b>1.3.1 Update related laws and regulations as well as system of reporting catch and compiling appropriate logbook information</b>								
a. Evaluate and strengthen the regulations on catch declaration	Catch declaration is already on-going.	The regulations is possible to be revised based on necessity.	For certain projects and waterbodies .		Will use eACDS in future	The rules already ammended to include the reported for every month	On-going	Details regulation on the usage of logbook and catch declaration , port inspection.
b. Develop, implement and improve a systematic catch declaration through logbook / e-logbook	Already using the logbook but not fully comply by fishermen.	Indonesia already established and implemented regulation about logbook system.	For certain projects e.g. with IFRDMD and MRC and waterbodies .		Will use eACDS in future	Include use of logsheet for EU	Logbook and Marine Catch Purchasing Document (MCPD) are mandatory for all commercial fishing vessels. For the small scale fishing boats, the catch data in MCPD is required only if selling to factory.	Implementing the pilot electronic catch documentation scheme.
<b>1.3.2 Monitor all fishing vessels by maintaining records and their performance with respect to compliance to national laws and regulations</b>								
a. Strengthen fishing vessel inspection and enforcement program	On-going program	MMAF Indonesia already established Fisheries Inspector, Monitoring and Surveillance Vessel, and also collaborate with related office to conduct capacity building.	On-going and strengthening in future.	Continuously conduct enforcement and yearly inspection of fishing vessel	On-going program	Continuing program	The DOF Thailand already have team to conduct fishing vessel inspection involved various related agencies. Thailand also have Fishing Info System shared among the related agencies for support fishing vessel inspection and	

							enforcement program.	
<b>1.3.3 MCS for implementation of VMS</b>								
a. Consider developing the national strategic plan to monitor fishing vessels movement and activities	Draft of Cambodian Marine Fisheries Law required all fishing vessel to be equipped with some sort Mobile Tracking Unit (MTU).	Indonesia has implemented Ministerial Regulations on VMS.	NA	Monitoring fishing vessels movement and activities is part of NPOA-IUU	On-going program	Philippines is developing the program to monitor the domestic fishing vessel movement.	On-going	Compulsory regulation in the new law for VMS installation for vessels more than 15m in length. Have the specific road map to install VMS for fishing vessels larger than 24 m in length before 1 April 2019 and spesific road map for fishing vessels for 15- 24m.
b. Consider equipping appropriate fishing vessels with suitable fishing vessels monitoring system	All Cambodian fishing vessels don't have VMS yet.	Every fishing vessel within size >30 GT, must install VMS.	NA	Currently ongoing installation of AIS units for zone B trawl vessels	VMS program for foreign fishing vessels since 2012 and for local vessel to startin 2019. On-going PDS (Pelagic Detection System) program for smaller vessels.	Philippines is planning to equip fishing vessel with the monitoring system	All commercial fishing vessels (larger than 30GT) (30 GT and over) must be equipped with VMS and try to find out suitable monitoring system for small scale fishing vessels. Any size of fishing vessels that operated the purse seine, anchovies purse seine and trawl net must be equipped with VMS. For Thai flagged fishing vessels (include fishing carrier vessel) operating in	

							waters beyond national jurisdiction must be equipped with VMS, electronic monitoring system and electronic reporting system (ERS).	
c. Request SEAFDEC for advice on the principle of fishing vessel monitoring systems	Cambodia requested SEAFDEC for advice on the principle of fishing vessel monitoring systems.	Indonesia does not need advice on VMS.	NA	Malaysia does not need advice from SEAFDEC on the principle of fishing vessel monitoring systems	Already received the information from DOF Thailand and DANIDA project.	Philippines already have meeting with other AMS to share experience for fishing vessel monitoring system.	Thailand already used fishing vessel monitoring systems.	Already have infrastructure.
<b>1.3.4 Intensify efforts to address IUU fishing, including destructive fishing and promote co – management approach</b>								
a. Promote co-management approach for fisheries management	On-going program by community fishery (Cfi) to patrol and report to Fisheries Administration Cantonment (FiAC).	Promotion through fisheries community surveillance group (Pokmaswas).	Three organizers helping to implement co-management i.e. World Bank, WWF and SEAFDEC.	Formation of Kumpulan Keselamatan Nelayan (KESAN) for search and rescue activities, and to monitor and report encroachment activities	Co-management and MCS project by DANIDA, WCS (Wildlife Conservation Society) and FFI (Flora and Fauna International).	Philippines promote the co-management and EAFM	Thailand established a National Fisheries Committee in national level and Provincial Fisheries Commission in regional level to promote comanagement at national and regional and local levels.	On-going program for MCS.
b. Strengthen capability of fisheries enforcement staff and agency to combat IUU fishing	On-going program by FiA.	MMAF Indonesia has conducted some capacity building activity for Fisheries Inspector through cooperation with AFMA and NOAA.	On-going	All government agencies cooperate to combat IUU fishing	On-going program by DOF Myanmar	Continuing program	On-going	Establishing the inspection and control office at the fishing port, telegram of prime minister on inspection cooperation by different forces at sea (723, 1275).
<b>1.4 Intensify Surveillance during Fishing Operations and Port State Control at Designated Landing Ports</b>								

a. Enhance capacity building for MCS	On-going program by FiA. There are no foreign vessels landing fish in Cambodia.	MMAF Indonesia has conducted some capacity building activity for Fisheries Inspector through cooperation with AFMA and NOAA.	On-going	Mostly for tuna fisheries at IOTC and commercial ports.	PSM training under SEAFDEC and FAO.	Continuing program	On-going. From 2015 - 2018, Thailand invested 2.5 million Euro for the MCS capacity building, Fisheries Monitoring Centers, VMS, ERS, EM, observer program, Fishing Info, electronic PIPO, Common Risk Assessment and training.	On-going program for MCS.
b. Consider intensifying surveillance during fishing operations by increasing the frequency of inspection at sea	On-going program by FiA.	Monitoring and surveillance activity conducted through water and aerial. Indonesia is the 1st country who Joined Global Fishing Watch.	On-going	Mostly by MMEA	On-going program by Maritime Police and Navy.	Intensifying all efforts	Thailand Maritime Enforcement Coordinating Center (Thai-MECC) compose of DOF Thailand Fisheries Patrol, Navy, Marine Police, Customs Department, and DMCR conduct regular inspection at sea and also urgent inspection on request by FMC	Establishing the inspection and control office at the fishing port, telegram of prime minister on inspection cooperation by different forces at sea (723, 1275).
c. Consider implementation of relevant port state measures	Cambodia under the process to ratify the PSMA.	Indonesia has ratify PSMA through presidential regulations, and also as contracting parties in several RFMO's (IOTC, WCPFC, and CCSBT) implemented PSMA principle.	NA	Mostly for tuna fisheries at IOTC and commercial ports.	Myanmar already signed for PSMA since 2010	Already ratified the PSMA	On-going implementing PSM.	Integration PSMA articles in the new laws and under laws regulation.
<b>ACTION 2: REGULATING TRANSSHIPMENT AND LANDING OF FISH / CATCH ACROSS BORDERS</b>								

2.1 Establish Formal Arrangements with Respect to Landings between Bordering Countries								
a. Strengthen cooperation and collaboration between bordering countries with respect to landing	Cambodia already have MOU with Viet Nam and Lao PDR, and draft MOU with Thailand.	According to the Indonesian Fisheries Law No.45 2009, Every single fish catch should be landed in Fishing Port.	Collaboration with Thailand, Cambodia and Myanmar in the Mekong region.	Malaysia requested Thai authorities to deny landing of catches from Malaysian fishing vessels at Thai port	All Myanmar fishing vessels should landed catches at Myanmar port. No foreign fishing vessels were allowed to fish in Myanmar waters. No foreign fishing vessels were allowed to land in Myanmar fishing ports.	Collaboration with Malaysia to disallow Malaysian flagged vessel from landing their catch in Philippines ports.	Thailand have bilateral cooperation and collaboration between bordering countries.	Viet Nam have new regulation on landing of fish at designated port for fishing vessels larger than 15m length.
b. Request assistance from SEAFDEC to facilitate formal arrangement with respect to landing between bordering countries	Depending on MOU with bordering country by legal framework.		NA	Malaysia did not seek assistance from SEAFDEC to facilitate formal arrangement with respect to landing between bordering countries	No request		No request	Viet Nam have new regulation on designated port for fishing vessels larger than 15m length.
2.2 Regular Bilateral / Multi-lateral Meetings to Agree on Licensing System / Data Recording and to Share Relevant Information and Fishing Vessel Registration Database								
a. Consider active participation in bilateral / multi-lateral meetings with bordering countries in licensing system / data recording and sharing of relevant information	Cambodia actively sharing and updating information to the RFVR.	The mechanism of sharing relevant information has been conducted through RPOA-IUU, ASEAN-SEAFDEC cooperations.	Only in Mekong region with MRC and SEAFDEC	Malaysia will continue to participate in bilateral / multi-lateral meeting with bordering countries	Myanmar cooperate with SEAFDEC and AMSs in licensing system / data recording	Philippines actively participated and updating information to the RFVR	ASEAN SEAFDEC RFVR program, RFMOs as sharing platform.	Viet Nam officials regularly attending SEAFDEC meeting.
b. Consider sharing relevant information among AMSs especially RFVR program including vessel less	Cambodia actively sharing and updating information to the RFVR.	Indonesia has submitted RFVR data for vessel more than 24 meters in length to SEAFDEC Training Department twice a year.	NA	Malaysia will share relevant information to the RFVR program	Myanmar cooperate with SEAFDEC and AMSs in RFVR program	Philippines updating information to the RFVR for vessel more than 24 meters in length	Thailand willing to share information upon request for vessel less than 24 meters in length.	On-going

than 24 meters in length								
<b>2.3 Port States Should Strengthen Measures to Regulate Fishing Vessels Accessing their Ports for Trans-shipping and/or Landing Catch and Collect and Exchange Relevant Information including Origin of Catch, among Neighbouring Countries</b>								
<b>a. Consider developing and implementing an appropriate regional catch documentation scheme (ACDS) including an electronic system</b>	Cambodia support the development and implementation of the ACDS by SEAFDEC.	Indonesia has implemented paper based CDS since 2010 with many improvement until present, the electronic CDS are still on going process to be implemented.	Consider implementing ACDS for inland fisheries.	Malaysia will implement the eACDS when the system for Malaysia completed and endorsed	On-going program	Philippines is in the process of development of electronic catch documentation system	Thailand already have own catch documentation scheme.	Viet Nam consider implementing regional catch documentation scheme when it is ready.
<b>b. Enhance capacity building on port state measures and catch documentation scheme</b>	Cambodia under the process to ratify the PSMA. Cambodia support the development and implementation of the ACDS by SEAFDEC.	Many officer and fisheries Inspector from Indonesia has followed various capacity building in national, regional, and international level.	Consider implementing ACDS for inland fisheries.	Malaysia continuously conduct capacity building on port state measures and catch documentation scheme	On-going program	Philippines request capacity building on port state measures from FAO	Thailand already ratify the PSMA and participated on PSM and CDS capacity building.	Viet Nam already acceded the PSMA and integrated PSMA articles in the new laws and under laws regulation.
<b>c. Consider formulating SOP / manual for better understanding and implementation of FSM, PSM and CSM</b>	On-going	Formulation of SOP to Implement FSM, PSM, and CSM is on going process. Applicable to FSM dan PSM.	NA	Malaysia has implemented the SOP for Landing of Tuna Vessel at Port	On-going program	Ongoing	Thailand already develop the SOP for FSM, PSM and CSM.	On-going
<b>d. Consider strengthening effective monitoring at landing sites including preventing entry of fish and fishery product from IUU fishing</b>	On-going	Indonesia has implemented paper Based CDS since 2010 with many improvement until present, the electronic CDS are still on going process to be implemented.	Future activities	Malaysia continuously monitor and prevent entry of fish and fishery product from IUU fishing at landing sites	On going program	Philippines already issued circular that prevent landing of IUU fish	On-going	On-going
<b>ACTION 3: PREVENTING POACHING IN THE EEZS OF ASEAN MEMBER STATES</b>								
<b>3.1 Actions against Fishing Vessels Operating Illegally beyond their Designated Areas, for Example by Using Some System of Vessel Monitoring System (VMS), Implementation and Strengthening of Flag States Measures, Port State Measures and Coastal State Measures</b>								
<b>a. Encourage cooperation with other AMSs on</b>	Cambodia strongly support cooperation with other	Data Sharing on VMS is possible as long as it is requested	NA	Malaysia continuously cooperate with	On-going program	Philippines willing to share the information	On-going	Viet Nam have hotline with Philippines

VMS data sharing upon request	AMSs on VMS data sharing.	officially from member countries and not open sources.		other AMSs on VMS data sharing		on subject to regulation upon request.		and later with Thailand. Viet Nam also fully attend SEAFDEC meeting on VMS.
<b>b. Strengthen inspection and surveillance against fishing vessels operating illegally beyond their designated areas</b>	Cambodia has Marine Fishery Management Area (MFMA) for the coral reefs and seagrass beds including fishery refugia.	Cooperation with related unit such as Water Police, Navy, and Coast Guard, has been initiated and conducted	For inland fisheries in the Mekong region.	Regular inspection and surveillance of fishing vessels in Malaysia waters	On-going program	Continuous relentless enforcement by Philippines authorities	On-going	On-going under the new law and regulations.
<b>c. Enhance cooperation among national management and enforcement agencies</b>	On-going inter-agencies cooperation.	Through establishment of Special Presidential taskforce on combating illegal Fishing.	On-going activities with Environment, Water and Forestry Departments	Close cooperation among national management and enforcement agencies in Malaysia	On-going program	At present, there is ongoing inter-agencies cooperation (5 agencies)	On-going	Already have the MOU with all enforcement agencies and conduct regular meetings and joint operations.
<b>3.2 Cooperate in Compiling a Black List of Illegal Vessels Operating beyond their Respective EEZs and Sharing the Black List among AMSs</b>								
<b>a. Share information among AMSs on the black listed vessels engaged in IUU fishing</b>	Continuous sharing of information on black listed vessel.	Bilateral, RFMO, RPOA-IUU	NA	For RFMO IUU vessels	On-going program	Continuous sharing the information on black listed vessel in IUU fishing	On-going	Viet Nam have IUU black listed vessels on the website.
<b>3.3 Regular Update of Information for the Regional Fishing Vessels Record (RFVR)</b>								
<b>a. Share and update regularly information for fishing vessels 24 meters in length and over to the Regional Fishing Vessels Record (RFVR) Database System</b>	Cambodia actively sharing and updating information to the RFVR.	Updated twice a year (April and October).	NA	Malaysia regularly update information for RFVR Database System	On-going program	Continuous sharing and updating	DoF Thailand shared and regularly update information on fishing vessels 24 meters in length and over to RFVR Database System. The more update data, the more precision data.	On-going changing the database from HP to length
<b>b. Request SEAFDEC to consider developing</b>	Cambodia and other AMSs requested	Indonesian fisheries dominated by SSF 90%.	NA	Malaysia request SEAFDEC to	On-going program	Strong request to SEAFDEC on	The DoF did request SEAFDEC to	Viet Nam have IUU black listed



the RFVR Database System for fishing vessels less than 24 meters in length	SEAFDEC to consider developing the RFVR Database System for fishing vessels less than 24 meters in length.	Indonesia still updating their database of small vessel that less than 10 GT.		develop the RFVR Database System for fishing vessels less than 24 meters in length		developing the database system	consider developing the RFVR Database system through the previous Council Meeting	vessels on the website.
<b>3.4 Establish Bilateral / Multilateral Agreements for Permission to Fish in Each Other's Fishing Areas</b>								
a. Consider establishing bilateral / multilateral agreements for permission to fish in AMSs waters	Cambodia not allow foreign vessels to fish in Cambodia waters except for the research vessels.	Sovereignty	Thai fishermen not allow to catch fish in the Lao PDR Mekong region. Everybody cannot catch fish in Conservation Zones. The giant catfish is protected by CITES.	Malaysia does not permit other foreign fishing vessels to fish in Malaysia waters	Not considering to do so	Philippines not allowing other foreign vessel to fish in Philippines waters	No request from Thailand	Not allowed
<b>ACTION 4: CONTROLLING ILLEGAL FISHING AND TRADING PRACTICES OF LIVE REEF FOOD FISH (LRFF), REEF- BASED ORNAMENTALS AND ENDANGERED AQUATIC SPECIES</b>								
<b>4.1 Conduct Regular Inter- and Intra- Meetings among Relevant Authorities (including Customs Departments) and Exporting Companies for Agreements on Harvesting Practices and Data Reporting of Live Reef Food Fish, Reef- based Ornamentals, and Endangered Aquatic Species</b>								
a. Strengthen collaboration among relevant agencies and stakeholders including exporting company for agreements on harvesting practices and data reporting of live reef food fish, reef-based ornamentals, and endangered aquatic species.	On-going and strongly willing to develop guidelines and cooperate with relevant agencies for quarantine activities for endangered species and ornamentals fish.	MMAF has conducted several FGD with Indonesian Institute of Science, Endangered Fish Exported, and Association of Coral Fish Indonesia. This FGD discuss to formulate about recommendation to regulate some particular species that need to protected.	On-going activities with Environment, Water and Forestry Department and fishery communities in local areas.	Close cooperation among national relevant agencies and stakeholders in Malaysia to implement the CITES ACT (686 Act)	On-going program	Ongoing	Thailand's Royal Ordinance on Fisheries B.E.2558 has been launched since 2015, covering importing and exporting issues of which relevant agencies and stakeholders have involved.	On-going
<b>4.2 Appropriate Mechanisms for the Monitoring and Data Collection of Live Reef Food Fish and Reef- based Ornamentals Trades</b>								
a. Apply co-management mechanisms for collecting information on live reef	Strongly willing to apply co-management mechanisms for collecting	Collecting information mechanism has been applied in all area.	On-going	*to refer to Jabatan Taman Laut,	On-going program	Established MPA involving communities and agencies.	Fisheries Single Window (FSW) has	Already implemented CITES convention

<b>food fish and reef-based ornamentals trades</b>	information on live reef food fish and reef-based ornamentals trades.			Jabatan Laut			been initiated to monitor the application, license and certificate system for import and export of fisheries product. Database has been monitored by the DoF and the Customs Department	
<b>b. Strengthen data collection and analysis of live reef food fish and reef-based ornamentals trades</b>	On-going and willing to strengthen data collection and analysis of live reef food fish and reef-based ornamentals trades.	Managed by MMAF.	On-going	*to refer to Jabatan Taman Laut, Jabatan Laut, MAQIS, Biosecurity	On-going program	Continue program to strengthen data collection	All kinds of fish and fisheries product to be traded must be permitted by the DoF, so the DoF has its system to collect data efficiently.	On-going
<b>4.3 State Should Ensure that Export of Endangered Aquatic Species is Avoided, Except for Research and Experimental Purposes for which such Export Should be Accompanied by Appropriate Documents</b>								
<b>a. Strengthen regular monitoring and surveillance on the export of endangered aquatic species</b>	On-going and strongly willing to develop guidelines for monitoring and surveillance on the export of endangered aquatic species.	Regular monitoring and surveillance has conducted under CITES management.	On-going monitoring and surveillance on the Mekong Giant Catfish and Freshwater Stingray but at present not exporting them.	Custom Department prohibition import and export of CITES species	On-going program	Continue monitoring	Relevant laws and regulations have been revised when appropriate, in accordance with the CITES CoP's agreement.	On-going
<b>b. Encourage AMSs to review existing regulation to comply with CITES and strengthen awareness building program for stakeholders</b>	Cambodia start to review existing regulation to comply with CITES and strengthen awareness building program for stakeholders.	Indonesia actively improve and encourage all AMS to comply with CITES compliance principle.	On-going activities	Malaysia continuously review the existing regulation for complying the CITES Act and conduct awareness program for stakeholders	On-going program	Regular updating	The DoF always participates in regional meetings and plays an important role to support, cooperate and bring up the attitude to the CITES's regulation.	On-going
<b>c. Enhance collaboration among relevant agencies</b>	Strongly willing to collaborate with relevant agencies for	MMAF has conducted several FGD with Indonesian	On-going activities	Close cooperation among national	On-going program	Regular updating	DoF (Fisheries Resources Management	On-going

monitoring and surveillance on the export of endangered aquatic species	monitoring and surveillance on the export of endangered aquatic species.	Institute of Science (LIPI), Endangered Fish Exporter, and Association of Coral Fish Indonesia. This FGD discuss to formulate about recommendation to regulate some particular species that need to be protected.		relevant agencies for monitoring and surveillance on the export of endangered aquatic species			and Measure Determination Division, Fish Quarantine and Inspection Division), The Customs Department and Royal Thai Police also collaborate in monitoring and surveillance on the export of endangered aquatic species.	
<b>4.4 Encourage Participation of Small- scale / Artisanal Fishers, who Account for Majority of LRFF Production, in Co-management and to Enhance their Awareness of the Impacts of IUU Fishing and Trading of Such Aquatic Species</b>								
a. Encourage development of co-management program for participation of small – scale or artisanal fishers in LRFF production	At least 1 MFMA in each community fisheries.	Through establishment of fisheries community surveillance group and Local Marine Conservation Area.	NA	Malaysia continuously conduct EAFM program	On-going program	Continuing program	Development Projects have been implemented in accordance with the Master Plan of Fisheries Management of Thailand, including Provincial Fisheries Management Promotion that Fisheries Management Activities have been implemented by Communities and Marine and Coastal Aquatic Stock Enhancement	On-going
b. Create, promote and implement the awareness program on the impact of IUU fishing	Continuous program	Through establishment of fisheries community surveillance group and Local Marine	NA	Malaysia continuously conduct awareness program	On-going program	Continuing program	Development Projects have been implemented in accordance with the	On-going

and trading of such aquatic species		Conservation Area		on the impact of IUU fishing through EAFM			Master Plan of Fisheries Management of Thailand, including Provincial Fisheries Management Promotion that Fisheries Management Activities have been implemented by Communities and Marine and Coastal Aquatic Stock Enhancement	
<b>4.5 Should Consider Establishing a Network between the LRFF Importing and Exporting Countries, also to Strengthen LRFFT Management at the Regional Level</b>								
<b>a. Request SEAFDEC to expedite establishment of the regional LRFFT network</b>	Cambodia and other AMSs requested SEAFDEC the establishment of LRFFT network.	Indonesia encourage SEAFDEC to establish the network.	NA	Malaysia and other AMSs request SEAFDEC to develop the regional LRFFT network	Agreed during the RTC on ASEAN Guidelines	Philippines and other AMSs request SEAFDEC to establish the regional LRFFT network	-	Request
<b>b. Encourage AMSs to join and actively participate in the regional LRFFT network once it has been established</b>	Cambodia and other AMSs strongly willing to actively participate in LRFFT network.	Indonesia encourage SEAFDEC to establish the network.	NA	Malaysia will actively participate in the regional LRFFT network once it has been established	Agreed during the RTC on ASEAN Guidelines	Philippines and other AMSs willing to join and actively participate in the regional LRFFT network once it has been established	absolutely	Agree to actively participate in the LRFFT network
<b>ACTION 5: STRENGTHENING THE MANAGEMENT OF FISHING IN THE HIGH SEAS AND RFMO AREAS</b>								
<b>5.1 Strengthening Port State Measures</b>								
<b>a. Request capacity building for better understanding and implementation of PSM for relevant</b>	At present, Cambodia doesn't have fishing vessels in the high seas.	Indonesia propose capacity building activity in various meeting/forum.	NA	Malaysia request capacity building for better understanding and implementation of	Two Myanmar participants attended the PSM training conducted by SEAFDEC.	The Philippines will request help from FAO for operation of PSM	Thailand already ratify the PSMA	

AMS officials				PSM for relevant officials				
<b>5.2 Implement, where Appropriate, Observer Programs in Accordance with Relevant National, Regional or International Regulations with Respect to High Seas Fisheries</b>								
<b>a. Encourage AMSs to develop and implement observer programs in accordance with relevant national, regional or international regulations with respect to high seas fisheries</b>	At present, Cambodia doesn't have fishing vessels in the high seas. Cambodia and other AMSs encouraged development and implementation of observer program in the high seas fisheries.	MMAF Indonesia already have Observer Program for Fishing Vessel with size >30 GT and <30 GT as part of Port Sampling activity in RFMO compliance.	NA		At present, Myanmar not a member of any RFMO organisations. For future, Myanmar willing to develop the observer program in collaboration with other AMSs.	Continuing program	Thailand have the national regulation to have the observer onboard for fishing and transshipment in the high seas.	Compulsary regulation for observer onboard with RFMOs requirement and other countries regulations (under law regulations).
<b>b. Enhance capacity building for implementation of observer programs</b>	At present, Cambodia doesn't have fishing vessels in the high seas. Cambodia and other AMSs agree to enhance implementation of observer program in the high seas fisheries.	MMAF Indonesia already have Observer Program for Fishing Vessel with size >30 GT and <30 GT as part of Port Sampling activity in RFMO compliance.	NA					Cooperation with WCPFC on for observer and application training onboard. Cooperation with WWF on observer for Fisheries Improvement Program (FIP) for tuna.
<b>5.3 Cooperate with the Relevant RFMOs in Complying with their Catch Documentation Schemes to Prevent the Landing of Fish and Fishery Products from IUU Fishing in the RFMO Areas</b>								
<b>a. Encourage AMSs to cooperate with the relevant RFMOs in complying with the RFMOs Catch Documentation Schemes</b>	At present, Cambodia doesn't have fishing vessels in the RFMO areas. Cambodia and other AMSs agree to cooperate with the relevant RFMOs in complying with the RFMOs Catch Documentation Schemes.	Indonesia has implemented CDS in fisheries sector consistently	NA	Malaysia cooperate with the relevant RFMOs in complying with the RFMOs Catch Documentation Schemes		On-going	Thailand is contracting party to IOTC and South Indian Ocean Fisheries Agreement (SIOFA) and cooperating non-member of Western Central Pacific Fisheries Commission (WCPFC). Thailand consider to be	Viet Nam is a non member cooperating party of WCPFC.

					any RFMO organisations. In the future, Myanmar consider to fish in the RFMO areas.		non-contracting parties cooperating with CCAMLR for traceability system	
<b>b. Explore the possibility of harmonizing the Catch Documentation Schemes</b>	Cambodia agree to explore the possibility of harmonizing the Catch Documentation Schemes.	Indonesia has implemented CDS in fisheries sector consistently	Na			On-going	Thailand explore the possibility of harmonizing the Catch Documentation Schemes through the RFMOs.	Viet Nam willing to explore

## ANNEX 7: Scores of Self-Evaluation (2017, 2018 &amp; 2019)

Self-evaluation scores during 2nd RTC on prootion of implementation of the ASEAN Guidelines in 2017		Brunei DS	Cambodia	Indonesia	Lao PDR	Malaysia	Myanmar	Philippines	Singapore	Thailand	Viet Nam
Actions	Action 1: MANAGING FISHING ACTIVITIES WITHIN AN ASEAN MEMBER STATE (AMS)										
1	1. Controlling fishing access	5	4	5	3	5	4	4	4	5	4
	2. Existing systems that control fishing access	5	4	5	2	5	4	4	4	5	4
	3. Capacity building by sharing / exchanging experience among AMSs for controlling fishing access	4	3	4	3	5	5	5	4	5	4
	4. Revision of policy, fisheries regulation, legal framework and procedures when and where appropriate	4	4	4	2	5	4	5	4	5	4
	5. Request SEAFDEC for capacity building on electronic database system	5	5	3	5	4	5	3	0	2	5
	6. Encourage AMS to share their experience to help other member states developing their national electronic database system including for fishing license	5	5	5	5	4	5	5	4	5	5
1.2	7. Promote responsible fishing practices / methods in accordance to CCRF	5	4	4	2	5	4	4	4	5	4
	8. Developing and implementing NPOA – IUU and NPOA – Capacity	5	3	5	2	5	4	4	1	5	5
	9. Review and strengthen capacity building for MCS	4	4	5	2	5	4	5	3	5	3
	10. Promote awareness program on responsible fishing practices / methods	5	5	5	3	5	5	5	3	5	5
1.3	States are encouraged to:										
1.3.1	11. Update related laws and regulations as well as system of reporting catch and compiling appropriate logbook information	4	3	5	2	5	4	5	4	5	4
	12. Evaluate and strengthen the regulations on catch declaration	5	3	5	2	4	3	4	4	4	3
	13. Develop, implement and improve a systematic catch declaration through logbook / e-logbook	4	2	4	0	3	3	4	4	4	2
1.3.2	14. Monitor all fishing vessels by maintaining records and their performance with respect to compliance to national laws and regulations	5	4	4	3	5	4	3	5	5	3
	15. Strengthen fishing vessel inspection and enforcement program	5	4	5	3	5	4	4	4	4	4
1.3.3	MCS for implementation of VMS	1	1	5	0	5	2	4	2	5	2
	Developing the national strategic plan to monitor fishing vessels movement and activities	3	1	5	0	5	4	4	3	5	3
	Equipping appropriate fishing vessels with suitable fishing vessels monitoring system	1	1	5	0	5	2	4	5	5	2
	Request SEAFDEC for advice on the principle of fishing vessel monitoring systems	3	1	0	0	2	2	1	0	1	2
1.3.4	Intensify efforts to address IUU fishing, including destructive fishing and promote co – management approach	4	4	5	4	5	4	5	4	5	4
	Promote co-management approach for fisheries management	4	4	5	4	5	5	5	4	5	4
	Strengthen capability of fisheries enforcement staff and agency to combat IUU fishing	4	3	5	2	5	3	5	4	5	3
1.4	Intensify surveillance during fishing operations and port state control at designated landing ports										
	Enhance capacity building for MCS	3	3	5	0	5	3	5	3	5	2
	Consider intensifying surveillance during fishing operations by increasing the frequency of inspection	3	4	5	3	5	3	4	2	5	4
	Consider implementation of relevant port state measures	1	3	5	2	5	4	5	5	5	4

ACTION 2:	REGULATING TRANSSHIPMENT AND LANDING OF FISH / CATCH ACROSS BORDERS											
2.1	Establish formal arrangements with respect to landings between bordering countries	0	3	0	3	0	5	2	0	3	5	
	Strengthen cooperation and collaboration between bordering countries with respect to landing	0	3	0	3	0	5	2	0	4	5	
	Request assistance from SEAFDEC to facilitate formal arrangement with respect to landing between bordering countries	0	3	0	2	0	5	0	0	0	0	
2.2	Regular bilateral / multi- lateral meetings to agree on licensing system / data recording and to share relevant information and fishing vessel registration database	3	4	4	3	5	4	4	0	5	4	
	Consider active participation in bilateral / multi-lateral meetings with bordering countries in licensing system / data recording and sharing of relevant information	3	4	5	4	5	4	5	5	5	5	
	Consider sharing relevant information among AMSS especially RFVR program including vessel less than 24 meters in length	5	5	5	5	5	5	5	5	5	5	
2.3	Port states should strengthen measures to regulate fishing vessels accessing their ports for trans-shipping and/or landing catch and collect and exchange relevant information including origin of catch, among neighbouring countries	4	2	5	1	5	4	4	4	4	4	
	Consider developing and implementing an appropriate regional catch documentation scheme (ACDS) including an electronic system	3	3	5	3	5	3	5	5	5	5	
	Enhance capacity building on port state measures and catch documentation scheme	3	3	5	3	5	4	4	5	5	4	
	Consider formulating SOP / manual for better understanding and implementation of FSM, PSM and CSM	1	2	5	0	5	4	4	5	5	4	
	Consider strengthening effective monitoring at landing sites including preventing entry of fish and fishery product from IUU fishing	5	3	5	3	5	5	4	5	5	5	
ACTION 3:	PREVENTING POACHING IN THE EEZS OF ASEAN MEMBER STATES											
3.1	Actions against fishing vessels operating illegally beyond their designated areas, for example by using some system of vessel monitoring system (VMS), implementation and strengthening of flag states measures, port state measures and coastal state measures	0	1	5	0	5	5	3	4	5	3	
	Encourage cooperation with other AMSS on VMS data sharing upon request.	2	3	4	1	5	5	5	3	5	4	
	Strengthen inspection and surveillance against fishing vessels operating illegally beyond their designated areas	1	4	5	3	5	5	4	3	5	4	
	Enhance cooperation among national management and enforcement agencies	5	4	5	3	5	5	5	5	5	5	
3.2	Cooperate in compiling a black list of illegal vessels operating beyond their respective EEZs and sharing the black list among amss											
	Share information among AMSSs on the black listed vessels engaged in IUU fishing	3	3	5	1	5	5	4	4	5	1	
3.3	Regular update of information for the regional fishing vessels record (RFVR)											
	Update of information for the regional fishing vessels record (RFVR)	5	0	5	0	5	5	5	5	5		
	Request SEAFDEC to consider developing the RFVR Database System for fishing vessels less than 24 meters in length	5	5	5	5	5	5	5	5	5	5	
3.4	ESTABLISH BILATERAL / MULTILATERAL AGREEMENTS FOR PERMISSION TO FISH IN EACH OTHER'S FISHING AREAS											
	Consider establishing bilateral / multilateral agreements for permission to fish in AMSSs waters	0	2	0	0	0	0	0	0	0	2	





SELF EVALUATION SCORES FOR IMPLEMENTATION THE ASEAN GUIDELINES ON PREVENTING ENTRY OF FISH AND FISHERY PRODUCTS FROM IUU ACTIVITIES INTO THE SUPPLY CHAIN IN AMSs (2018)								
Recommended actions	Cambodia	Indonesia	Lao PDR	Malaysia	Myanmar	Philippines	Thailand	Viet Nam
<b>ACTION 1: MANAGING FISHING ACTIVITIES WITHIN AN ASEAN MEMBER STATE (AMS)</b>								
<b>1.1 Controlling Fishing Access</b>								
a. Evaluate existing systems that control fishing access	4	5	2	4	4	4	5	5
b. Conduct capacity building to share / exchange experience among AMSs for controlling fishing access	4	5	3	5	5	5	5	5
c. Revise policy, fisheries regulation, legal framework and procedures when and where appropriate	4	4	4	5	5	5	5	5
d. Request SEAFDEC for capacity building on electronic database system .....Score : 5= request or does not request because has own electronic database system, 0= did not request but required by the country	5	5	5	5	5	5	5	5
e. Encourage AMS to share their experience to help other member states developing their national electronic database system including for fishing license... Yes=5, No= 0	5	5	5	5	5	5	5	5
<b>1.2 Promotion of Responsible Fishing Practices / Methods</b>								
a. Promote responsible fishing practices / methods in the region accordance to CCRF	3	5	3	5	5	5	5	4
b. Consider developing and implementing NPOA – IUU and NPOA – Capacity	4	5	2	5	4	4	5	5
c. Review and strengthen capacity building for MCS	2	4	2	4	4	5	5	4
d. Promote awareness program on responsible fishing practices / methods	3	5	3	5	5	5	5	5
<b>1.3 States are Encouraged to:</b>								
<b>1.3.1 Update related laws and regulations as well as system of reporting catch and compiling appropriate logbook information</b>								
a. Evaluate and strengthen the regulations on catch declaration	3	5	2	4	4	5	5	4
b. Develop, implement and improve a systematic catch declaration through logbook / e-logbook	2	3	2	3	4	5	5	3
<b>1.3.2 Monitor all fishing vessels by maintaining records and their performance with respect to compliance to national laws and regulations</b>								
a. Strengthen fishing vessel inspection and enforcement program	4	5	3	5	5	5	5	4
<b>1.3.3 MCS for implementation of VMS</b>								
a. Consider developing the national strategic plan to monitor fishing vessels movement and activities	1	5	0	5	4	5	5	5
b. Consider equipping appropriate fishing vessels with suitable fishing vessels monitoring system	1	5	0	5	4	5	5	5
c. Request SEAFDEC for advice on the principle of fishing vessel monitoring systems .....Score : 5= request if needed or does not need to request, 0= did not request but require by country	5	5	5	5	5	5	5	5
<b>1.3.4 Intensify efforts to address IUU fishing, including destructive fishing and promote co – management approach</b>								
a. Promote co-management approach for fisheries management	4	5	4	5	5	5	5	5
b. Strengthen capability of fisheries enforcement staff and agency to combat IUU fishing	3	5	3	5	4	5	5	4
<b>1.4 Intensify Surveillance during Fishing Operations and Port State Control at Designated Landing Ports</b>								
a. Enhance capacity building for MCS	3	5	2	5	4	5	5	3
b. Consider intensifying surveillance during fishing operations by increasing the frequency of inspection at sea	4	5	3	5	4	5	5	4
c. Consider implementation of relevant port state measures	3	5	0	5	4	5	5	4

SELF EVALUATION ON IMPLEMENTATION THE ASEAN GUIDELINES ON PREVENTING ENTRY OF FISH AND FISHERY PRODUCTS FROM IUU ACTIVITIES INTO THE SUPPLY CHAIN (2019)

ASEAN GUIDELINES ACTIONS	Notes	B r u n e i D S	C a m b o d i a	I n d o n e s i a	L a o P D R	M a l a y s i a	M y a n m a r	P h i l i p p i n e s	S i n g a p o r e	T h a i l a n d	V i e t N a m
<b>ACTION 1: MANAGING FISHING ACTIVITIES WITHIN AN ASEAN MEMBER STATE (AMS)</b>	0 = Not implemented 80 % implemented	1 = 1 - 20 % implemented 5 = 81 - 100 % implemented		2 = 21 - 40 % implemented		3 = 41 - 60 % implemented		4 = 61 -			
<b>1.1 Controlling Fishing Access</b>											
a. Evaluate existing systems that control fishing access											
		4.0	5.00	5.00	2.00	4.00	4.00	5.00	4.00	5.00	5.00
b. Conduct capacity building to share / exchange experience among AMSs for controlling fishing access											
		4.0	4.00	5.00	3.00	5.00	5.00	5.00	5.00	5.00	5.00
c. Revise policy, fisheries regulation, legal framework and procedures when and where appropriate											
		4.0	4.00	5.00	4.00	5.00	5.00	5.00	5.00	5.00	5.00
d. Request SEAFDEC for capacity building on electronic database system											
	5 = request or does not request because has own electronic database system, 0 = did not request but required by the country	5.0	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00
e. Encourage AMS to share their experience to help other member states developing their national electronic database system including for fishing license											
	5 = Yes, 0 = No	4.0	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00
<b>1.2 Promotion of Responsible Fishing Practices / Methods</b>											
a. Promote responsible fishing practices / methods in the region accordance to CCRF											
		4.0	4.00	5.00	3.00	5.00	5.00	5.00	4.00	5.00	5.00
b. Consider developing and implementing NPOA – IUU and NPOA – Capacity											
		3.0	4.00	5.00	2.00	5.00	4.00	4.00	4.00	5.00	5.00
c. Review and strengthen capacity building for MCS											
		4.0	3.00	5.00	2.00	4.00	4.00	5.00	5.00	5.00	5.00
d. Promote awareness program on responsible fishing practices / methods											
		4.0	3.00	5.00	3.00	5.00	5.00	5.00	4.00	5.00	5.00
<b>1.3 States are Encouraged to:</b>											
<b>1.3.1 Update related laws and regulations as well as system of reporting catch and compiling appropriate logbook information</b>											
a. Evaluate and strengthen the regulations on catch declaration											
		4.0	3.00	5.00	2.00	4.00	4.00	5.00	5.00	5.00	4.00
b. Develop, implement and improve a systematic catch declaration through logbook / e-logbook											
		4.0	2.00	4.00	2.00	4.00	4.00	5.00	4.00	5.00	4.00
<b>1.3.2 Monitor all fishing vessels by maintaining records and their performance with respect to compliance to national laws and regulations</b>											
a. Strengthen fishing vessel inspection and enforcement program											
		4.0	4.00	5.00	3.00	5.00	5.00	5.00	5.00	5.00	4.00
<b>1.3.3 MCS for implementation of VMS</b>											
a. Consider developing the national strategic plan to monitor fishing vessels movement and activities											
		4.0	1.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00
b. Consider equipping appropriate fishing vessels with suitable fishing vessels monitoring system											
		3.0	1.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00
c. Request SEAFDEC for advice on the principle of fishing vessel monitoring systems											
	5 = request if needed or does not need to request, 0 = did not request but required by the country	5.0	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00
<b>1.3.4 Intensify efforts to address IUU fishing, including destructive fishing and promote co – management approach</b>											
a. Promote co-management approach for fisheries management											
		4.0	4.00	5.00	4.00	5.00	5.00	5.00	5.00	5.00	5.00
b. Strengthen capability of fisheries enforcement staff and agency to combat IUU fishing											
		4.0	3.00	5.00	3.00	5.00	4.00	5.00	4.00	5.00	4.00
<b>1.4 Intensify Surveillance during Fishing Operations and Port State Control at Designated Landing Ports</b>											
a. Enhance capacity building for MCS											
		4.0	3.00	5.00	5.00	5.00	4.00	5.00	4.00	5.00	4.00
b. Consider intensifying surveillance during fishing operations by increasing the frequency of inspection at sea											
		4.0	4.00	5.00	5.00	5.00	4.00	5.00	3.00	5.00	3.00
c. Consider implementation of relevant port state measures											
		4.0	4.00	5.00	5.00	5.00	4.00	5.00	5.00	5.00	4.00
<b>ACTION 2: REGULATING TRANSSHIPMENT AND LANDING OF FISH / CATCH ACROSS BORDERS</b>											
<b>2.1 Establish Formal Arrangements with Respect to Landings between Bordering Countries</b>											
a. Strengthen cooperation and collaboration between bordering countries with respect to landing											
	Y=5, N=0	5.0	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00
b. Request assistance from SEAFDEC to facilitate formal arrangement with respect to landing between bordering countries											
	Y=0, N=5	5.0	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00
<b>2.2 Regular Bilateral / Multi-lateral Meetings to Agree on Licensing System / Data Recording and to Share Relevant Information and Fishing Vessel Registration Database</b>											
a. Consider active participation in bilateral / multi-lateral meetings with bordering countries in licensing system / data recording and sharing of relevant information											
		4.0	4.00	5.00	4.00	5.00	5.00	5.00	5.00	5.00	5.00
b. Consider sharing relevant information among AMSs especially RFVR program including vessel less than 24 meters in length											
		4.0	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00
<b>2.3 Port States Should Strengthen Measures to Regulate Fishing Vessels Accessing their Ports for Trans-shipment and/or Landing Catch and Collect and Exchange Relevant Information including Origin of Catch, among Neighbouring Countries</b>											
a. Consider developing and implementing an appropriate regional catch documentation scheme (ACDS) including an electronic system											
		5.0	4.00	5.00	3.00	5.00	5.00	5.00	5.00	5.00	5.00
b. Enhance capacity building on port state measures and catch documentation scheme											
		5.0	5.00	5.00	3.00	5.00	4.00	5.00	5.00	5.00	5.00
c. Consider formulating SOP / manual for better understanding and implementation of FSM, PSM and CSM											
		4.0	4.00	5.00	5.00	5.00	4.00	5.00	5.00	5.00	5.00
d. Consider strengthening effective monitoring at landing sites including preventing entry of fish and fishery product from IUU fishing											
		4.0	4.00	5.00	3.00	5.00	5.00	5.00	5.00	5.00	5.00

<b>ACTION 3: PREVENTING POACHING IN THE EEZS OF ASEAN MEMBER STATES</b>											
<b>3.1 Actions against Fishing Vessels Operating Illegally beyond their Designated Areas, for Example by Using Some System of Vessel Monitoring System (VMS), Implementation and Strengthening of Flag States Measures, Port State Measures and Coastal State Measures</b>											
a. Encourage cooperation with other AMSs on VMS data sharing upon request		4.0	5.00	5.00	5.00	5.00	5.00	5.00	4.00	5.00	5.00
b. Strengthen inspection and surveillance against fishing vessels operating illegally beyond their designated areas		4.0	5.00	5.00	3.00	5.00	5.00	5.00	5.00	5.00	5.00
c. Enhance cooperation among national management and enforcement agencies		4.0	5.00	5.00	3.00	5.00	5.00	5.00	5.00	5.00	5.00
<b>3.2 Cooperate in Compiling a Black List of Illegal Vessels Operating beyond their Respective EEZs and Sharing the Black List among AMSs</b>											
a. Share information among AMSs on the black listed vessels engaged in IUU fishing		4.0	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00
<b>3.3 Regular Update of Information for the Regional Fishing Vessels Record (RFVR)</b>											
a. Share and update regularly information for fishing vessels 24 meters in length and over to the Regional Fishing Vessels Record (RFVR) Database System		4.0	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00
b. Request SEAFDEC to consider developing the RFVR Database System for fishing vessels less than 24 meters in length	Y=5, N=0	4.0	5.00	0.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00
<b>3.4 Establish Bilateral / Multilateral Agreements for Permission to Fish in Each Other's Fishing Areas</b>											
a. Consider establishing bilateral / multilateral agreements for permission to fish in AMSs waters	Y=0, N=5	5.0	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00
<b>ACTION 4: CONTROLLING ILLEGAL FISHING AND TRADING PRACTICES OF LIVE REEF FOOD FISH (LRFF), REEF- BASED ORNAMENTALS AND ENDANGERED AQUATIC SPECIES</b>											
<b>4.1 Conduct Regular Inter- and Intra- Meetings among Relevant Authorities (including Customs Departments) and Exporting Companies for Agreements on Harvesting Practices and Data Reporting of Live Reef Food Fish, Reef- based Ornamentals, and Endangered Aquatic Species</b>											
a. Strengthen collaboration among relevant agencies and stakeholders including exporting company for agreements on harvesting practices and data reporting of live reef food fish, reef- based ornamentals, and endangered aquatic species.		4.0	5.00	5.00	3.00	5.00	5.00	5.00	5.00	5.00	5.00
<b>4.2 Appropriate Mechanisms for the Monitoring and Data Collection of Live Reef Food Fish and Reef- based Ornamentals Trades</b>											
a. Apply co-management mechanisms for collecting information on live reef food fish and reef-based ornamentals trades		4.0	5.00	5.00	3.00	5.00	4.00	5.00	5.00	5.00	5.00
b. Strengthen data collection and analysis of live reef food fish and reef- based ornamentals trades		4.0	5.00	5.00	2.00	5.00	4.00	5.00	5.00	5.00	4.00
<b>4.3 State Should Ensure that Export of Endangered Aquatic Species is Avoided, Except for Research and Experimental Purposes for which such Export Should be Accompanied by Appropriate Documents</b>											
a. Strengthen regular monitoring and surveillance on the export of endangered aquatic species		4.0	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00
b. Encourage AMSs to review existing regulation to comply with CITES and strengthen awareness building program for stakeholders		4.0	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00
c. Enhance collaboration among relevant agencies monitoring and surveillance on the export of endangered aquatic species		4.0	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00
<b>4.4 Encourage Participation of Small- scale / Artisanal Fishers, who Account for Majority of LRFF Production, in Co-management and to Enhance their Awareness of the Impacts of IUU Fishing and Trading of Such Aquatic Species</b>											
a. Encourage development of co-management program for participation of small – scale or artisanal fishers in LRFF production		4.0	5.00	5.00	3.00	5.00	5.00	5.00	5.00	5.00	5.00
b. Create, promote and implement the awareness program on the impact of IUU fishing and trading of such aquatic species		4.0	4.00	5.00	2.00	5.00	5.00	5.00	5.00	5.00	5.00
<b>4.5 Should Consider Establishing a Network between the LRFF Importing and Exporting Countries, also to Strengthen LRFF Management at the Regional Level</b>											
a. Request SEAFDEC to expedite establishment of the regional LRFFT network	Y=5, N=0	5.0	5.00	5.00	5.00	5.00	5.00	5.00	5.00	0.00	5.00
b. Encourage AMSs to join and actively participate in the regional LRFFT network once it has been established	Y=5, N=0	5.0	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00
<b>ACTION 5: STRENGTHENING THE MANAGEMENT OF FISHING IN THE HIGH SEAS AND RFMO AREAS</b>											
<b>5.1 Strengthening Port State Measures</b>											
a. Request capacity building for better understanding and implementation of PSM for relevant AMS officials	Y=5, N=0	5.0	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00
<b>5.2 Implement, where Appropriate, Observer Programs in Accordance with Relevant National, Regional or International Regulations with Respect to High Seas Fisheries</b>											
a. Encourage AMSs to develop and implement observer programs in accordance with relevant national, regional or international regulations with respect to high seas fisheries	Y=5, N=0	5.0	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00
b. Enhance capacity building for implementation of observer programs	Y=5, N=0	5.0	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00
<b>5.3 Cooperate with the Relevant RFMOs in Complying with their Catch Documentation Schemes to Prevent the Landing of Fish and Fishery Products from IUU Fishing in the RFMO Areas</b>											
a. Encourage AMSs to cooperate with the relevant RFMOs in complying with the RFMOs Catch Documentation Schemes	Y=5, N=0	5.0	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00
b. Explore the possibility of harmonizing the Catch Documentation Schemes	Y=5, N=0	5.0	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00
<b>TOTAL SCORE</b>		212.0	216.00	244.00	200.00	246.00	237.00	249.00	240.00	245.00	241.00
<b>%</b>		84.8	86.40	97.60	80.00	98.40	94.80	99.60	96.00	98.00	96.40



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