

**QUESTIONNAIRE to be used for biennial reporting
on the application of the IUU Regulation**

Reporting period 2016-2017 (deadline for submission 30 April 2018)

Member State:	Sweden
Organisation:	Swedish Agency for Marine and Water management (SWaM)
Date:	27/04/2018
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May the Commission provide a copy of this questionnaire to other Member States?	
Yes:	X
Yes except for questions (list):	
No:	

Please state your notified authorities under the IUU Regulation in accordance with:

Article 15.2 (exportation of catches):
SWaM

Article 17.8 (verification of catch certificates):
SWaM

Article 21.3 (re-exportation):
SWaM

Article 39.4 (nationals):
SWaM

Section 1. Information on legal framework¹

Since the last reporting exercise covering the period 2014-2015, has your country adopted/modified national law or any administrative guides for the application of Council Regulation (EC) No 1005/2008 on illegal, unreported and unregulated fishing (IUU Regulation)?

Yes *No*

If yes, please detail and provide copies or provide link to the official national database

From 01/08/2016 Sweden has adapted its level of administrative sanctions, see the attached file.

Section 2. Information on administrative organisation²

2.1. Does your country have different authorities/services to deal with the implementation of the IUU Regulation?

Yes *No*

2.2. If different authorities/services are involved, please distinguish between:

- the control of direct landings of third country fishing vessels;
- validation of catch certificates upon exports;
- verification of catch certificates for imports under direct landing;
- verification of catch certificates for imports arriving by other means than fishing vessels (e.g. by containers, trucks);
- validation and verifications of re-exports.

a) internal co-operation (between local/regional authorities and head-quarter);

Please explain and describe this cooperation:

SWaM is the responsible authority for fisheries control. Within the Department of Fisheries Management, three separate units perform the implementation of the IUU regulation. Units for Fisheries Inspections (west/east) inspection in ports, FMC is performing the administrative controls. Unit for Data monitoring and analysis has a coordinating role.

b) co-operation with other authorities and allocation of tasks for various authorities in the implementation of the IUU Regulation (Fisheries, Health, Customs, Coast Guard, Navy, etc.);

Please explain and describe this cooperation:

Sweden has established on-going cooperation with National Food Agency (health), the Swedish Customs and meet on a regular basis in order to discuss relevant issues.

c) How many officials are involved in the implementation of the catch certification scheme?

Please specify the number of officials expressed in Full Time Equivalent (FTE):

1.5 FTE

¹ This section 1 is to be filled-in by all Member States i.e. coastal and landlocked Member State.

² This section 2 is to be filled-in by all Member States i.e. coastal and landlocked Member State.

d) Do the authorities of your country have the possibility to audit/verify a company for the purposes laid down in the IUU Regulation?

Yes

No

If yes, which and how many audits/verifications have they undertaken since the last reporting exercise covering the period 2014-2015? Please detail the results:

0

2.3. Does your country have freezones/freeports³ in which activities relevant to importation/exportation/processing of fishery products are authorised?

Yes

No

Section 3. Information on direct landings and transshipments of fishery products by third country fishing vessels⁴ (including information on port inspections and infringements)⁵

3.1. Does your country have designated ports for direct landings or transshipment operations of fishery products and port services of third country fishing vessels (Article 5 of the IUU Regulation⁶)?

Yes

No

If yes, please list your country's designated ports (including ports designated under Regional Fisheries Management Organisations requirements) and answer to questions 3.2. to 3.7.:

- Strömstad,
- Smögen,
- Lysekil,
- Wallhamn,
- Rönnäng,
- Göteborg,
- Trelleborg,
- Simrishamn,
- Nordersund,
- Karlskrona Saltö,
- Karlskrona Handelshamnen,
- Västervik
- Slite

3.2. How many landings and transshipments in designated ports of third country vessels have been recorded by your country between 1 January 2016 until 31 December 2017? How many inspections has your country carried out and how many infringements have been detected?

Please fill-in the table below (2016):

Inspections of third country vessels in Member States ports (2016)

³ https://ec.europa.eu/taxation_customs/business/customs-procedures/what-is-importation/free-zones_en

⁴ Fishing vessels as defined in article 2.5 of the IUU Regulation

⁵ This section 3 refers to Chapter II (Articles 4 to 11) of the IUU Regulation and is applicable to coastal Member States. Landlocked Member States should not fill in this section.

⁶ Please note that ports designated under Regional Fisheries Management Organisations must also be designated under the IUU Regulation with restrictions if necessary (species etc.)

Type of operation	Vessels	Figures (2016)	Flag of the third country vessel(s)*					
			<i>Ex. NO</i>	<i>NO</i>	<i>FS2</i>	<i>FS3</i>	<i>FSx</i>	Total
Landings	Non-EU vessels using MS designated ports	Number of landings	100	157				157
		Number of inspections	10	9				9
		% of inspections / landings	10%	5,7%				5,7%
		Number of infringements	3	N/A				N/A
Transhipments	Non-EU vessels using MS designated ports	Number of transhipments in ports	2	To be completed				To be completed
		Number of inspections	0					
		% of inspections / transhipments	0					
		Number of infringements	0					

*Use ISO Alpha-2 country codes

Please fill-in the table below (2017):

Inspections of third country vessels in Member States ports (2017)								
Type of operation	Vessels	Figures (2017)	Flag of the third country vessel(s)*					
			Ex. NO	NO	FS2	FS3	FSx	Total
Landings	Non-EU vessels using MS designated ports	Number of landings	100	214				214
		Number of inspections	10	11				11
		% of inspections / landings	10%	5,1%				5,1%
		Number of infringements	3	N/A				N/A
Transshipments	Non-EU vessels using MS designated ports	Number of transshipments in ports	2	To be completed				To be completed
		Number of inspections	2					
		% of inspections / transshipments	100%					
		Number of infringements	0					

*Use ISO Alpha-2 country codes

3.3. From the figures above, in the cases where your country detected infringements by third country vessels between 1 January 2016 and 31 December 2017, please specify the flag, the vessel's name, the type of infringement and the measures taken (Article 11 of the IUU Regulation).

Please fill-in the table below (2016):

Flag of the third country vessel*	Name of the third country fishing vessel	Type of infringements	Measures taken
FS1			
FS2			
...			
FSx			

*Use ISO Alpha-2 country codes

Please fill-in the table below (2017):

Flag of the third country vessel*	Name of the third country fishing vessel	Type of infringements	Measures taken
FS1			
FS2			

...			
FSx			

*Use ISO Alpha-2 country codes

3.4. Has your country had any problems with third country fishing vessels when implementing Articles 6 (prior notice) and 7 (authorisation) of the IUU Regulation?

Yes *No*

If yes, please detail the nature of the problems:

In 2016:

In 2017:

3.5. Since January 2016, has your country denied access to its ports to a fishing vessel for port services, activities of landing or transhipment of fishery products based on the conditions of the IUU Regulation?

Yes *No*

If yes, please detail the nature of the problem, the number of vessels concerned and their flags:

In 2016:

In 2017:

3.6. Do you have third country fishing vessel landings in transit in your country with final destination in another Member State? [Article 19.3 of the IUU Regulation]

Yes *No*

If yes, please indicate the number of landings in transit per year:

In 2016:

In 2017:

3.7. In order to determine the cases for port inspection, does your country use risk assessment criteria [cf. benchmarks for port inspections, Article 4 of Regulation (EC) No1010/2009]?

Yes *No*

Not applicable (e.g. in the absence of landings/transhipments from third countries)

If yes, please detail:

Section 4. Information on catch certification scheme for importation for the purpose of the IUU Regulation⁷

4.1. How many catch certificates from non-EU countries were presented to the authorities of your country from 1 January 2016 until 31 December 2017?

Flag State (non-EU)	2016	2017
<i>ALB</i>	1	2
<i>ARE</i>		1
<i>ARG</i>	4	1
<i>ATG</i>	1	1
<i>CAN</i>	247	255
<i>CHN</i>	20	15
<i>COL</i>	14	16
<i>ECU</i>	12	4
<i>FRO</i>	223	164
<i>GIN</i>		3
<i>GRL</i>	27	101
<i>HKG</i>	1	
<i>IDN</i>	7	3
<i>IND</i>	9	7
<i>ISL</i>	131	170
<i>ISR</i>		1
<i>KOR</i>	18	13
<i>LBR</i>		2
<i>MAR</i>	14	12
<i>MDV</i>	33	1
<i>MHL</i>		1
<i>MUS</i>	19	17
<i>MYT</i>	12	4
<i>NOR</i>	14998	15328
<i>NZL</i>	61	40
<i>PAN</i>	7	2
<i>PER</i>	1	1
<i>PHL</i>	13	18
<i>PNG</i>	15	30
<i>PRT</i>	3	1

⁷ Section to be filled-in by all Member States. Article 2.11 of the IUU Regulation – "importation means the introduction of fishery products into the territory of the Union, including for transshipment purposes at ports in its territory"

Flag State (non-EU)	2016	2017
RUS	433	248
SYC	22	20
THA	66	41
TUR	2	4
TWN	23	61
USA	220	227
VNM	30	55
ZAF	16	17
Total	16 703	17 098

4.2. From the number above, how many recognised RFMO catch certificates accompanied imports into your country? Please detail per RFMO certificate and year.

RFMO document	2016	2017
ICCAT (electronic)-bluefin tuna catch document	0	0
Dissostichus spp. (CCAMLR)	N/A	N/A
CCSBT CDS	0	4
Total	0	4

4.3. Has your country received processing statements from 1 January 2016 until 31 December 2017?

Yes No

If yes, how many processing statements under Article 14.2 accompanied imports into your country? If possible, please provide details per year and per processing country. Please only report processing statements received from non-EU countries:

Processing non-EU State	2016	2017
Total	1 672	1 429

The following table presents the number of processing statements stored in our database as separate files. In some cases, the importer enclose the processing statement within the same file as the catch certificate. See 4.1.

4.4. Please indicate if the information in processing statements referring to the corresponding catch certificates is retained and recorded:

Yes No

Not applicable (e.g. in the absence of processing statements received from non-EU countries in 2016-2017)

Processing statements refers to a specific catch certificate number and is stored in our database.

4.5. Has your country received requests to authorise APEO⁸s in 2016-2017?

Yes *No*

If yes, how many requests has your country received and how many APEOs have been authorised?

.....

4.6. Has your country adopted administrative rules referring to the management and control of APEO in 2016-2017?

Yes *No*

Not applicable (e.g. absence of APEO request)

If yes, please detail:

.....

4.7. Has your country validated re-export certificates for products imported from 1 January 2016 until 31 December 2017?

Yes *No*

If yes, how many re-export certificates? Please detail per year and, if possible, per destination country:

Destination country (non-EU)	2016	2017
<i>Third Country 1</i>		
<i>Third Country 2</i>		
...		
<i>Third Country x</i>		
Total		

4.8. Does your country monitor if the catches for which your country has validated a re-export certificate actually leave the EU?

Yes *No*

Not applicable (e.g. in the absence of validation of re-export certificates in 2016-2017)

If yes, please detail:

.....

⁸ Approved Economic Operators – IUU Regulation, Article 16 and Implementing Regulation (EC) 1010/2009, Chapter II

4.9. Has your country established any IT tools to monitor the catch certificates and processing statements accompanying imports?

Yes *No*

If yes, does it include a module for re-exportation of imported catches?

Yes *No*

On the client side, a web application enables importers to register catch certificates and any relevant enclosed documents. On the server side, a database with a user interface enables authority administrators to verify and validate any documents provided.

4.10. Does your country implement the provisions regarding transit under Article 19.2 at the point of entry or the place of destination?

At the point of entry *At the place of destination* *Not implemented*

Section 5. Information on catch certification scheme for exportation⁹

5.1. Has your country established a procedure for validation of catch certificates for exportation of catches from own vessels in accordance with Article 15?

Yes No

Not applicable (e.g. in the absence of validation of catch certificates for exportation in 2016-2017)

If yes, please explain briefly the established procedure and answer questions 5.2 to 5.5.

FMC expedites catch certificates for exportation on demand. The exporter fill in the export-certificate and sends it to FMC. After verifying the information, FMC stamps the certificate and sends it back to the exporter and keep a copy.

5.2. Has your country validated catch certificates for exportation in 2016-2017?

Yes No

If yes, how many catch certificates did your country validate from 1 January 2016 to 31 December 2017? If possible, please provide details per requesting third country/country of destination in the following table:

Destination State	Year	
	2016	2017
Total	4	10

5.3. Has your country established any IT tool to monitor the catch certificates validated for exports stemming from own vessels?

Yes No

5.4. Does your country monitor that the catches for which your country has validated catch certificates actually leave the EU?

Yes No

Not applicable (e.g. in the absence of validation of catch certificates for exportation in 2016-2017)

5.5. Has your country refused the validation of a catch certificate between 1 January 2016 and 31 December 2017?

Yes No

Not applicable (e.g. in the absence of request for validation of catch certificates for exportation in 2016-2017)

If yes, please detail:

Number (per year):

Reason:

⁹ Section to be filled-in by flag Member States.

Follow-up:

Section 6. Information on verifications of catch certificates for importation according to Article 17.1 to 5 of IUU Regulation¹⁰

6.1. Has your country established a procedure for verification of catch certificates for importation in accordance with Article 17.2?

Yes *No*

If yes, please detail:

Sweden's IT-system automatically verifies the mandatory information; no other verifications are carried out.

6.2. How many catch certificates have been verified by your administration from 1 January 2016 until 31 December 2017?

None

Please specify, separately for each year:

Flag State of origin (EU or non-EU)	Number of verifications 2016		Number of verifications 2017	
	No of basic document-based verifications ¹¹	No of in-depth verifications ¹²	No of basic document-based verifications	No of in-depth verifications
<i>Country 1</i>				
<i>Country 2</i>				
...				
<i>Country x</i>				
Total				

6.3. Does your country use a risk assessment approach for verification of catch certificates in accordance with Article 17?

Yes *No*

If yes, please detail (e.g. EU criteria for verifications (Article 31 of Commission Regulation 1010/2009); EFCA risk assessment methodology; national criteria).

¹⁰ Section to be filled-in by all Member States

¹¹ See fields CC1 to CC6 (*Preliminary overview checks "helicopter view"*) of the EFCA Common methodology for IUU catch certificates verification and cross-checks.

¹² See fields CC7 to CC32 (*Verify and cross-check information related to the form, flag state, validating authority, fishing vessel, product(s), transshipment operations*) of the EFCA Common methodology for IUU catch certificates verification and cross-checks.

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6.4. Does your country also physically verify the consignments?

Yes No

However National Food Agency carries out health verifications at the B.I.P.

Number (per year):

Method of selection:

Follow-up:

Section 7. Verification requests to flag States¹³

7.1. Has your country sent requests for verifications under Article 17.6 of the IUU Regulation to other countries authorities in 2016-2017?

Yes No

If yes, how many requests for verifications? *Note: please provide separate data for 2016 and 2017:*

Flag States	No of requests for verifications 2016	Justifications (Articles 17.4 and 17.6 of the IUU Regulation)-	No of requests for verifications 2017	Justifications (Articles 17.4 and 17.6 of the IUU Regulation
<i>Country 1</i>				
<i>Country 2</i>				
...				
<i>Country x</i>				
Total				

7.2. How many requests for verification were not replied to by the other countries' authorities within the deadline provided in Article 17.6 of the IUU Regulation? Does your country in these situations send a reminder to the authorities of the country in question? [Please provide separate data for 2016 and 2017]

N/A

2016

2017

¹³ Section to be filled-in by all Member States

7.3. Was the quality of the answers provided overall sufficient to satisfy the request?

Yes

No

N/A

Section 8. Information on refusal of importations (Article 18 of the IUU Regulation)¹⁴

8.1. Has your country refused any imports from 1 January 2016 until 31 December 2017? *Note: please only consider refusals based on the IUU Regulation, not for other reasons e.g. Food Safety, Customs legislation, etc.*

Yes

No

If yes, please provide details in the table below:

Reason for refusal of importation	2016		2017	
	Flag State	No.	Flag State	No.
Non-submission of a catch certificate for products to be imported.				
The products intended for importation are not the same as those mentioned in the catch certificate.				
The catch certificate is not validated by the notified public authority of the flag State				
The catch certificate does not indicate all the required information.				
The importer is not in a position to prove that the fishery products comply with the conditions of Article 14.1 or 2.				
A fishing vessel figuring on the catch certificate as vessel of origin of the catches is included in the Union IUU vessel list or in the IUU vessel lists referred to in Article 30.				
The catch certificate has been validated by the authorities of a flag State identified as a non-cooperating State in accordance with Article 31				

¹⁴ Section to be filled-in by all Member States

Reason for refusal of importation	2016		2017	
	Flag State	No.	Flag State	No.
Further to the request for verification (Article 18.2)				

8.2. If the answer to 8.1 is yes, what measures were taken by your authorities towards the refused fishery products?

.....

8.3. In case of refusal of importation, did the operators contest the decision of the authorities of your country?

Yes No

If yes, please detail:

Section 9. Information on trade flows¹⁵

9.1. Did your country note a change¹⁶ of imports of fishery products since the last reporting exercise covering the period 2014-2015?

Yes No

If yes, please detail:

The five countries where most of the consignment comes from are Norway, China, Thailand, Iceland and Canada. This has not changed since 2014.

Over the last two years, (2016-2017), Sweden has started to import from ALB, ECU and TUR.

The import from CAN, FRO, GRL, MUS and USA has increased and the one from KOR, RUS and TWN has decreased.

9.2. Please provide information, deriving from your country's statistical data, concerning change of trade patterns in imports of fishery products into your country:

Countrycode	2014	2015	2016	2017	Comment
MAR	14	22	32	19	
ALB			5	26	New country
ARG	3	4	4	1	
CAN	97	112	206	185	Increase
CHL	2	3		1	
CHN	466	707	641	604	
COL	12	9	14	16	
ECU			18	5	New country
FRO	4	4	14	17	Increase
GRL	1		9	12	Increase

¹⁵ Section to be filled-in by all Member States

¹⁶ For example: new kinds of fishery products, new trade patterns or significant and sudden increase in trade volume for a certain species and/or certain third countries.

IDN	1	3	7	3	
IND	2	13	8	7	
ISL	105	176	126	162	
ISR				1	
KOR	26	2	1	1	Decrease
MDV	1	1			
MUS	20	49	55	57	Increase
NOR	14 302	14 823	15 413	14 241	
NZL	13	13	20	14	
PHL	13	21	9	18	
PNG	1	2	3		
RUS	7	1	3	1	Decrease
SLB	2				
SYC	1				
THA	224	255	221	224	
TUR		2	2	4	New country
TWN	25	10	2	4	Decrease
USA	70	106	111	118	Increase
VNM	23	24	21	24	
ZAF	13	17	15	17	

Section 10. Information on mutual assistance¹⁷

10.1. Since the last reporting exercise covering the period 2014-2015, how many mutual assistance messages of the Commission has your country replied to?

Please provide separate data for 2016 and 2017 (if any)

2016

2

2017

8

10.2. Since the last reporting exercise covering the period 2014-2015, has your country sent any mutual assistance message to the Commission/other Member States?

Please provide separate data for 2016 and 2017 (if any)

2016:

0

2017:

0

¹⁷ Section to be filled-in by all Member States

Section 11. Information on cooperation with third countries¹⁸

11.1. Apart from verifications and refusals under Articles 17 and 18, has your country had information exchange with third countries on issues related to the implementation of the IUU Regulation, such as follow-up of cases concerning nationals, consignments, trade flows, operators, private fishing licencing, as well as the investigation of criminal activities and serious infringements (Article 42)?

Yes *No*

If yes, please detail (please provide separate data for 2016 and 2017, if any).

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Section 12. Information on nationals¹⁹

12.1. Since the last reporting exercise covering the period 2014-2015, has your country implemented or modified existing measures to ensure that your country can take appropriate action with regards to nationals involved in IUU fishing in accordance with Article 39 of the IUU Regulation?

Yes *No*

If yes, please detail:

12.2. What measures has your country taken to encourage nationals to notify any information on interests in third country vessels (Article 40.1)?

None

12.3. Has your country endeavoured to obtain information on arrangements between nationals and third countries allowing reflagging of their vessels in accordance with Article 40.4?

Yes *No*

If yes, please detail:

12.4. If yes to any of the above, how many cases have your country dealt with and which administrative or penal follow-up was given?

Please provide details:

12.5. Has your country put in place procedures to ensure that nationals do not sell or export any fishing vessels to operators involved in the operation, management or ownership of fishing vessels included in the Union IUU vessel list (Article 40.2)?

Yes *No*

If yes, please provide details:

12.6. Has your country made use of Article 40.3 and removed public aid under national aid regimes or under Union funds to operators involved in the operation, management or ownership of fishing vessels included in the Union IUU vessel list?

Yes *No*

¹⁸ Section to be filled-in by all Member States

¹⁹ Section to be filled-in by all Member States

If yes, please detail:

Section 13. Infringements (Chapter IX of the IUU Regulation) and Sightings (Chapter X of the IUU Regulation)²⁰

13.1. Has your country detected serious infringements as defined in Article 42 of the IUU Regulation from 1 January 2016 until 31 December 2017?

Yes No

If yes, please detail separately for each year the number of serious infringements, nature and sanctions applied:

Flag State of the vessel or nationality of the operator (EU and non-EU)	Serious infringements detected in 2016:			Serious infringements detected in 2017:		
	Number	Nature	Sanctions applied	Number	Nature	Sanctions applied
<i>Country 1</i>						
<i>Country 2</i>						
...						
<i>Country x</i>						
<i>Total</i>						

13.2. Has your country applied or adapted its levels of administrative sanctions in accordance with Article 44?

Yes No

If yes, please detail:

See section 1.

13.3. Has your country issued sighting reports from 1 January 2016 until 31 December 2017?

Yes No

If yes, how many sighting reports were issued by your country from 1 January 2016 until 31 December 2017?

Flag State of the sighted vessel (EU and non-EU)	No of sighting reports issued in 2016	No of sighting reports issued in 2017
<i>Country 1</i>		

²⁰ Section to be filled-in by all Member States

Flag State of the sighted vessel (EU and non-EU)	No of sighting reports issued in 2016	No of sighting reports issued in 2017
<i>Country 2</i>		
...		
<i>Country x</i>		
<i>Total</i>		

13.4. Since the last reporting exercise covering the period 2014-2015, has your country received any sighting reports for its own vessels from other competent authorities?

- Yes* *No*

If yes, please detail follow-up (in accordance with Article 50 of the IUU Regulation).

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Section 14. General

14.1. In the reporting period 2016/2017, what have been the main difficulties that your country has encountered in implementing the IUU Regulation, including the catch certification scheme?

Implementing the catch certification scheme is time-consuming as verifying and validating all data, contacts with relevant operators, cooperation with relevant authorities can take a considerable amount of time.

14.2. Which improvements would your country suggest to the Regulation that would make implementation smoother?

A minimum level of verification should be agreed at EU level, i.e. which parts of the catch certificate should be checked by MS. It should also be clear to MS what type of evidence should be requested from third countries as part of the verification process.

There should be clear benchmarks for the verification of catch certificates and import controls, but the benchmarks should not be quantitative targets decided at EU level but should be adapted to the risks characterizing a MS trade flow

Section 15. Any other comments

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