

QUESTIONNAIRE to be used for biennial reporting

on the application of the IUU Regulation

Member State:	UNITED KINGDOM
Organisation:	MARINE MANAGEMENT ORGANISATION
Date:	16 th May 2016
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May the Commission provide a copy of this questionnaire to other Member States?	
Yes:	x

Section 1: Legal framework

- 1. Since the last reporting exercise in 2014, has your country 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)?**

In Scotland The Sea Fishing (IUU) (Scotland) Order 189/2013 which came into force on 29 June 2013 amended with The Sea Fishing (EU Control Measures) (Scotland) Order 320/2015 which came into force on 5 October 2015. This recent legislation introduced a number of technical amendments to the 2013 IUU Order, all listed in Part 5, section 30 (*please refer to annexes 1 and 2 respectively*).

Section 2: Administrative Organisation

2.1 How has your country organised its services to deal with the implementation of the IUU Regulation (verification of catch certificates, validation of catch certificates for own vessels, etc.)?

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

The UK has three functional administrations for the implementation of the IUU regulations; England and Wales, Scotland, and Northern Ireland. The overarching competent authority for the UK is the Marine Management Organisation reporting to the Department for Environment Food and Rural Affairs (Defra). The main functions have been split between Marine Scotland and the Marine Management Organisation (MMO).

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

Cooperation, coordination & allocation

Enforcement responsibility at the border is allocated to Port Health Authorities, fisheries authorities, and the MMO. Working in parallel with the UK Customs these bodies all form part of the UK's delivery partnership. From time to time this partnership involves Trading Standards officers and the Food Fraud Unit of the UK Food Standards Agency.

Roles, responsibilities and powers

These are set out in the Sea Fishing Order of 2009 (IUU order No 3391) for England and Wales. UK Crown Dependencies (Isle of Man, and Bailiwicks of Jersey and Guernsey) are part of the EU customs union and IUU functions are administered on their behalf by the MMO IUU team. UK Overseas Territories are regarded as third countries.

The MMO Illegal Unreported Unregulated (IUU) Fishing Team

The team is sub divided into the UK Catch Certificate Centre (UKCCC) and the MMO UK Single Liaison Office (UKIUUSLO).

Port State Control: Marine Scotland

The UK **Fisheries Call Centre** (UKFCC) is based in Marine Scotland in Edinburgh. There are 10 members of staff that deal with direct landings of 3rd Country vessels. The UKFCC receive all third country fishing vessel notifications and allocate them to the appropriate administration.

Imports: Port State Control and import controls on third country fishing vessel landings

The **UK Catch Certificate Centre** is responsible for the verification of import catch certificates accompanying third country fishing vessel landings into England whereas landings into Scotland are administered by Marine Scotland. Prior to providing the necessary IUU import clearance to Customs an inspection may be carried out on a risk managed basis. The **Port State Control** inspection functions are carried out either by warranted officers in the MMO IUU team or coastal officers working for other UK administrations at any UK IUU designated port. Imports will not be cleared until the inspectors are satisfied and they have liaised with the IUU Catch Certificate Centre that all is well. Wales and Northern Ireland do not receive any direct third country landings.

Imports: Validation of UK freight imports: Port Health Authorities Enforcement Officers

At the UK border Port Health Authority officers are responsible for the administration of veterinary and health controls for food imports from third countries and for the validation of certification for consignments notified for import.

The Customs Authorities are responsible for ensuring that consignments within the scope of the Regulation are not cleared for import until the results of the verification have been confirmed and provide IUU release forms to our Customs authorities to allow the goods to be imported.

A 100% documentary and physical inspections of all IUU containerised or air freighted imports are carried out (for third country imports excluding fish from a European Economic Area (EEA) or a European Free Trade Association (EFTA) country), to ensure that the documentation is valid and relates to the consignment presented. More in-depth documentary checks are carried out on a risk basis.

Fish from EEA or EFTA countries are not routinely subject to physical inspections (as veterinary controls are not required) however, catch certificates are subject to verification.

The Port Health Office is the first point of contact for the submission of IUU documents (catch certificates, article 14 (1) and 14 (2) documents). Port Health Authorities are empowered under the national legislation to enforce the IUU regulation and specific powers are in place to reject consignments, and controlled movements of goods.

Port Health officers carry out informal verifications with importers/exporters where necessary, and will refer more complex queries or Article 17(6) verifications to the UK Single Liaison Office. These are then dealt with by the MMO IUU Team.

Exports: Validation of UK freight exports

The **UK Catch Certificate Centre** is responsible for the validation of **all** UK catch certificates for catches exported as freight to 3rd countries. Checks are done on a

risk managed basis some of which are compulsory and will include looking at all the Monitoring Control and Surveillance information necessary to confirm the legality of the catches.

Exports: Validation of UK landings into third countries

Marine Scotland, through the UK Fisheries Call Centre, validates certificates for all catches of UK vessels landed directly into a third country.

Mutual Assistance

The **UK Single Liaison Office (SLO)** is the first point of contact for official IUU communications with the Commission, other Member States SLOs and other third country enforcement authorities in respect of verifications, investigations, and Mutual Administrative and Legal Assistance. The SLO is also used for communications with other UK departments, external agencies and international organisations. The SLO is responsible for informing Port Health officers and MMO regional offices of any serious issues with regards to compliance of third countries and their vessels. Mutual Assistance requests and other intelligence reports are communicated to Port Health officers in the form of UK Alerts. Port Health officers in turn communicate any import queries or risks regarding countries or importers to the SLO who then feed this into the national risk register or directly communicate concerns to the Commission and Other Member States Single Liaison Offices. Marine Scotland administers their own Mutual Legal Assistance.

c. how many persons are involved in the implementation of the catch certificate?

Imports (freight)

For containerised trade or airfreight informal verifications and validations are carried out by Port Health officers. The number of staff at each location varies depending on the volume of trade. There are approximately 50 port health officers located at around 20 import locations in the UK.

Formal article 17(6) verifications are carried out by the MMO IUU Team. In the former part of 2014 the team decreased from 5 to 2 team members who are both qualified to conduct formal verifications with 3rd countries and other Member States. This is overseen by a senior manager of the MMO.

Imports (fishing vessels)

Routine paperwork can usually be handled by one or two people in each administration. If any escalation is required, for example to conduct verifications, then additional staff may be involved. The 24/7 UK Fisheries Call Centre also notifies MMO and Marine Scotland of prior notifications of third landings as well as notifies the UKSLO of third country inspections.

Exports

Between 2014 and 2015 validation of catch certificates for UK exports (freight and direct landings) was controlled by 1 person within the MMO (with other staff available if needed) and 7 in the UK Fisheries Call Centre (UK FCC, Marine Scotland).

2.2 Do the authorities of your country have the possibility to audit/verify a company for the purposes laid down in the IUU Regulation? If yes, which audits/verifications have they undertaken since the last reporting exercise in 2014? Please detail.

Marine Enforcement Officers have the power to verify and inspect importer's premises (including IUU related documents). The UK investigation noted to in the last report is ongoing and therefore cannot be discussed in any detail in this report.

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

No

Section 3: Direct landings of third country fishing vessels (only applicable if designated ports)

There are 20 designated ports. They are:

Aberdeen

Dundee

Falmouth

Fraserburgh

Grangemouth

Greenock

Grimsby

Hull

Immingham

Invergordon

Kinlochbervie

Leith

Lerwick

Lochinver

Methel

Peterhead

Plymouth

Scrabster

Stornoway

Ullapool

3.1 How many landings and transhipments of third country vessels have been recorded by your country between 1 January 2014 until 31 December 2015?

Table 1: Landings of 3rd country vessels in to UK ports.

Port name*	No. of landings	Comments	No. of transhipments	Comments
ABERDEEN	62	All carriers	0	
GRIMSBY (NAFO)	120	All carriers	0	
LERWICK	52	all catchers	0	
PETERHEAD	278	277 catchers and 1 carrier	0	
SCRABSTER	62	all catchers	0	
Total	574	--		

** If the port is designated also for an RFMO, please indicate which RFMO in brackets.*

3.2 Approximately, what percentage of the third country fishing vessel landings arrives in transit in your country?

20%.

3.2 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 .

If yes, please detail:

- a. **in which ports:** Predominantly Scrabster and Peterhead
- b. **the nature of problem:** Prior Notification period of 4 hours not being fully met by catching vessels landing fresh fish.
- c. **vessel details (name, flag, master, etc.):** Norwegian vessels

3.3 Since January 2014, has your country refused access to its port services to a fishing vessel for activities of landing or transshipment of fishery products? Was this refusal based on the conditions of the IUU Regulation?

No 3rd country fishing vessel has been allowed access.

3.4 Do third country fishing vessels accessing your country's ports use the templates for prior notifications and pre-landing/pre-transshipment provided by the Implementing Regulation 1010/2009 or those used in RFMOs? Please detail, when RFMO forms are used.

Yes. They use the templates for prior notification and pre landing/pre transshipment provided by the Implementing Regulation 1010/2009. No RFMO documents are used.

Section 4: Port inspections in accordance with Section 2 of the IUU Regulation

4.1 Between 1 January 2014 and 31 December 2015, how many fishing vessels of third countries had access to the designated ports for landing or transshipment of fishery products?

In England, there were 120 carrier vessels that landed into the port of Grimsby.

In Scotland, 52 third country 'fishing' vessels made 456 landings into Scottish designated ports

4.2 How many fishing vessels were inspected between 1 January 2014 and 31 December 2015?

In England there were 7 inspections on Foss boat landings into Grimsby. These carriers offload fishery products caught by mainly Russian and Norwegian flagged vessels that are destined for the UK retail trade.

In Scotland there were 112 routine inspections of 43 fishing vessels. The vast majority of landings were into the port of Peterhead for their market. Marine Scotland Fishery Officers inspected all the fish landed here.

Reason for inspection :	Flag State
Sighted at sea in activities that may be considered illegal, unreported and unregulated	
Based on the EU IUU vessel list	
Other (please detail)	Routine compliance inspections

4.3 In accordance with Article 9.1, has your country carried out inspections in its designated ports of at least 5% of landing and transshipment operations by third country fishing vessels each year?

Overall the UK carried out 119 routine inspections between England and Scotland. This equates to 20% of the 3rd country vessels landings between 2014 and 2015.

4.4 Does your country use risk assessment criteria for the port inspections?

Yes.

The UK already carries out risk based inspections of fishing vessels under NEAFC and NAFO Port State Control measures as well as other CFP port state control regimes (pelagic landings). The IUU regulation has extended the definition of fishing vessel and now includes side port vessels built specifically for the Norway to EU liner trade carrying palletised frozen fish products and unloaded through the side of the vessel by forklifts. The inspection of these side port vessels is carried out using risk based analysis which makes use of the benchmarks laid out in EC Regulation 1010/2009 as well as other risk criteria based on a grouping of the benchmarks into six categories (Species, Country, Trade, Business, Documents and Vessels).

4.5 Has your country detected any infringements between 1 January 2014 and 31 December 2015?

Yes

If yes, how many and of what nature? Please specify.

One Faroese vessel CHRISTIAN Í GROTNUM OW2207 8/11/2014 Breach of Art. 32 & 42 of 850/98 (initial detection at sea).

did your country apply the procedure in case of infringements as foreseen in Article 11?

Yes

Section 5: Catch certification scheme for importation for the purpose of the IUU Regulation¹

Please state your notified authorities under Articles 17.8 and 21.3

Article 17(8):

Marine Scotland

Marine Management Organisation

Department of Agriculture and Rural Development Northern Ireland

Port Health Authorities

Local authority enforcement officers

Article 21(3):

Marine Management Organisation

5.1 How many catch certificates were presented to the authorities of your country from 1 January 2014 until 31 December 2015?

Flag State	Catch Certificates
Argentina	105
Australia	22
Bangladesh	46
Belize	20
Brazil	348
Cambodia	1
Canada	4761
Chile	139
China	1440
Curacao	23
Denmark	1
Ecuador	509

¹ 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*"

Egypt	2
El Savlador	15
Estonia	3
Faroe Islands	1099
Fiji	3
France	523
French Southern Territories	1
Gambia	3
Germany	3
Ghana	688
Greenland	34
Grenada	6
Guatamala	5
Iceland	7772
India	2739
Indonesia	3636
Italy	1
Ivory Coast	29
Korea	177
Madagascar	33
Malaysia	62
Maldives	6407
Mauritania	3
Mauritius	635
Mayotte	4
Mexico	209
Morocco	658
Mozambique	11
Myanmar	79
Namibia	12
New Zealand	358
Nicaragua	36
Nigeria	1
Norway	1158
Oman	20
Pakistan	32
Panama	97
Papua New Guinea	66
Peru	95
Philippines	2077
Portugal	14
Russia	1183
Saint Helena	2
Senegal	87
Seychelles	1194
Solomon Islands	12
South Africa	355
Spain	2093

Sri Lanka	2579
Suriname	3
Switzerland	1
Taiwan	275
Thailand	1597
Tunisia	2
Turkey	21
United Kingdom	6
Ukraine	4
Uruguay	2
USA	3249
Vietnam	417
Yemen	10
TOTAL	49313

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

RFMO \ Year	2014	2015
ICCAT BFT	0	5
Dissostichus spp. (CCAMLR)	0	0
Total	0	5

5.3 How many processing statements under Article 14.2 accompanied imports into your country?

FLAG STATE	YEAR	
	2014	2015
Belize	0	15
Canada	118	34
China	2481	2556
Ecuador	105	95
El Salvador	0	4
France	0	20
Ghana	105	142
Greenland	0	9
Iceland	251	1
India	1	4

Indonesia	14	46
Ivory Coast	6	7
Korea	54	28
Madagascar	4	22
Malaysia	48	83
Maldives	45	0
Mauritius	230	199
Mexico	18	0
Morocco	0	1
Myanmar	12	8
Namibia	0	3
New Zealand	5	4
Nicaragua	0	3
Norway	10	2
Panama	0	12
Papua New Guinea	140	80
Peru	0	8
Philippines	72	101
Russia	10	0
Senegal	3	1
Seychelles	205	241
Singapore	2	11
South Africa	4	34
Spain	0	9
Sri Lanka	192	74
Taiwan	12	40
Thailand	670	738
Turkey	1	1
Uruguay	0	1
USA	236	497
Vietnam	60	86
Total	5114	5220

5.4 Please explain if the information in processing statements referring to the corresponding catch certificates is retained and recorded.

There are not any national requirements to record this information. Individual port health offices do not currently record the weight used from each certificate as set out on the processing statement. The full weight of the consignment exported is recorded.

Port data returns record each Annex IV processing statement, noting the consignment weight, the main 2 species and total number of contributing catch certificates, specifying the flag state and corresponding catch certificate numbers.

Port Health officers check and verify that the products and quantities on the accompanying catch certificates are related to the Annex IV Processing statements. These are cross checked with other documents such as the health certificates and invoices.

5.5 How many requests to authorise APEO²s has your country received and how many APEOs have been authorised?

There was 1 tentative application made in 2014 which was unsuccessful.

5.6 Please explain briefly the administrative rules referring to the management and control of APEO.

The administrative rules will not have changed since the last report. Please refer to the text below:

The initial application will be sent to our Customs department who will assess the applicant's eligibility for AEO status (basic and full AEO) before referring the application to the UK IUU Team for verification of compliance with Common Fisheries Policy rules. The UK IUU Team will then assess the application against the requirements laid down in Art 16 (3) a-e of EC 1005/2008 and Art 10 to 14 of EC 1010/2010.

In the event there is a successful application the UK will develop a process to monitor and audit the management of records and risk assess security levels of successful APEOs premises. These would form part of a list of components for an APEO performance review.

5.7 How many re-export certificates were validated by your country for imported products from 1 January 2014 until 31 December 2015? Please detail per year and, if possible, per destination country.

There were 2 re export certificates issued in 2014, 1 for China, the 2nd was for an unknown destination.

There were no re export certificates issued in 2015.

² Approved Economic Operators – IUU Regulation, Article 16 and Implementing Regulation (EC) 1010/2009, Chapter II

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

Except in the case of rejected consignments the UK Catch Certificate Centre and Port Health do not physically check that consignments leave the EU. The exporting company provides the UK Catch Certificate Centre with the bill of lading listing the goods prior to validation of the re-export documents. In most cases the goods are booked onto a container with the port authorities.

5.9 Has your country established any IT tools to monitor the catch certificates and processing statements accompanying imports? Does it include a module for re-exportation of imported catches?

No bespoke IT systems have been developed for the monitoring of catch certificates at a National level.

Tools to specifically monitor the weights used from catch certificates on processing statements for imports have not been developed – this would be of limited value at an UK level as parts of catches processed may be imported through other MS.

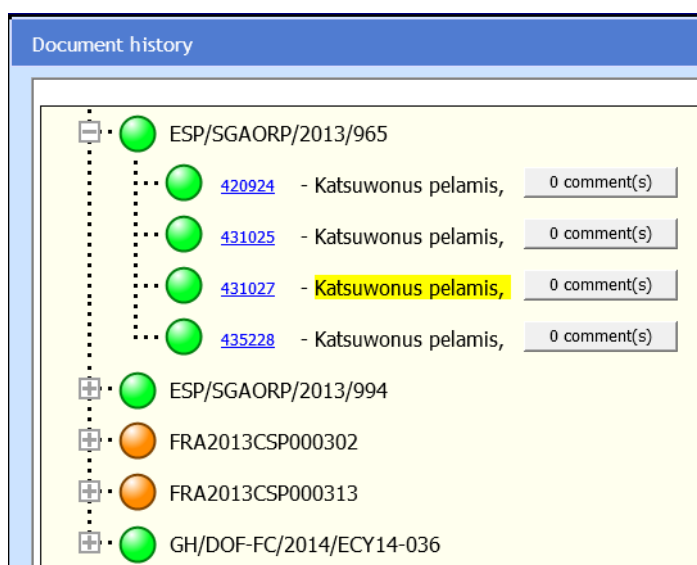
The delivery of controls is carried out by existing authorities, the monitoring of imports and certification is carried out in conjunction with other official controls and details recorded on local border control systems. UK ports use a variety of internal systems for recording fishery imports.

The PHILIS System

The larger seaports of Felixstowe, Southampton and London (Tilbury, Thamesport and Gateway) all use the PHILIS information management system, which is able to log catch certificate numbers and details about the consignment.

The system has a feature that allows a catch document's history to be viewed so that any repeat use can be identified as well as any comments regarding previous imports.

This system is currently being developed to enable a scan copy of all the catch documents to be retained as part of the electronic record. Further developments are being planned which may include recording/ monitoring the weights used from the Annex IV, and will include the more intelligent use of risk information.



All the certificates relating to the consignment can be seen in the history tool. Green indicates that there were no issues with the consignment and amber indicates that there was an issue.

Expanding the tree allows all imports where the certificate was reference to be viewed along with any relevant comments. Comments can be made on a per certificate basis and can be viewed in any new consignment 'job record.'

At seaports imports are monitored through the electronic manifest systems Destin8 and CNS, imports are screened to assess whether the products require a catch certificate. The import/consignment is then risk assessed against UK alerts/MA requests and local port health intelligence in respect of importers, trade pattern, species, etc (risk assessment tool box).

In Northern Ireland there is only 1 place where 3rd country fish imports arrive, Belfast Airport. A summary electronic spreadsheet of IUU imports is maintained, a checklist has been developed for reconciling catch certificates and processing statements.

The Customs Handling of Import and Export Freight (CHIEF) system carries out the final profiling for consignments. Customs tariff controls through document codes are in place to ensure that verifications have been carried out for products in scope for the Regulation. The CHIEF system controls the release onto the EU market. From the 1st May 2014 the outcome of IUU verifications for fishery products subject to veterinary examination will be confirmed within box 42 of the CVED. This will be rolled out UK wide via an electronic checking system - the Automatic Licence Verification System (ALVS) which will automatically match the results of the CVED check and any IUU checks for imports.

The MMO are responsible for verification in respect of Re-exported consignments. Certificates and all supporting documentation are simply scanned and recorded electronically.

Direct third country fishing vessel landings

England and Wales

Details of the catch certificates and landing declaration for all imports directly landed by 3rd country vessels are recorded onto an excel spreadsheet as a cumulative ongoing list. In addition an audit checklist is completed for each landing.

The spreadsheet records name of vessel, date of landing, processing statement reference, catch certificate document number, species, importer name, presentation of species, net weight, live weight, and transit goods.

Duplicate catch certificate document numbers are flagged. This regularly occurs for Russian catch certificates that accompany transit goods from Velsen; further checking is carried out to ensure that the weight of goods imported to date does not exceed the weight in the catch certificate.

Scotland

Scotland has developed a purpose built access database for the inputting of all information contained on a catch certificate for a UK landing. Please see screen shot of the database in Figure 1 for the data fields recorded.

The operators of the United Kingdom Fisheries Call Centre (UKFCC) are responsible for entering all information and processing the catch certificate. If it is necessary they will contact the sender of the certificate if incomplete information has been provided to ensure all required data has been collected.

All received documentation is forwarded to the port of landing to assist any inspections that take place and all documents are scanned and stored within a Scottish Government electronic recording and data management system.

An officer (British Sea Fisheries Officer) within the Marine Monitoring Centre is then responsible for checking over the final detail of the catch certificate, prior notification of landing and pre landing declaration before validating the catch certificate and authorising the vessel to land.

Scotland does not have any re-export trade, so there is no module for recording this information.

Northern Ireland

No designated ports for 3rd country fishing vessels in Northern Ireland.

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

Yes, checks in accordance with Article 19.2 are carried out at the point of entry in the UK.

There are very few consignments that transit the UK as there are no road borders. There are occasional 3rd country to 3rd country transits by road between airports (Gatwick and Heathrow). There is no requirement for the catch certificate to be validated for these consignments as they are not for import. The control/monitoring of these consignments from a Customs perspective is managed by the New Computerised Transit System (NCTS).

Consignments transshipping within the UK are not required to be accompanied by a catch certificate. Checks on transshipments are carried out by port health officers at seaports by monitoring the electronic manifest control systems. Where transshipment is to another UK port the consignment will not be permitted to move there unless the port is authorised to complete catch certificate checks.

Section 6: Catch certification scheme for exportation

Please state your notified authorities under Article 15.2.

IUU Catch Certificate Centre, Marine Management Organisation

UK Fisheries Call Centre (UKFCC)

6.1 Has your country established a procedure for validation of catch certificates for exportation of catches from own vessels?

Yes

If yes, please explain briefly the established procedure and answer questions 6.2 to 6.5.

The UK Fisheries Call Centre validates export catch certificates where the UK fishing vessel is to land in a notified 3rd country or a processing state. The UKFCC operators will check to ensure all applicable information has been received for a UK vessel landing into a third country before validation of the catch certificate is carried out.

The IUU Catch Certificate Centre team validates freight export catch certificates where the UK fishing vessel has landed in the UK or the EU. An Audit check list is completed for each catch certificate.

Verifications are carried out by the appropriate UK administrations. England and Wales together by the Marine Management Organisation (MMO), Scotland by Marine Scotland (MS) and Northern Ireland by Department of Agriculture and Rural Development (DARDNI)

A risk check is carried out by reference to the 6 IUU benchmark categories; Business, Country, Documents, Species, Trade & Vessel. The overall risk factor then determines the frequency and depth of verification to be carried out against the catch certificate details. Some checks will always be carried out e.g. have there been any infringements?

The tools used in this verification are listed in the audit checklist and are broken down into 3 areas, internal monitoring databases held in a system called CITRIX, public PSC databases such as RMFO websites and intelligence from the SLO or coastal office.

Overall low risk: One in five catch certificates from the same importer are verified.

Overall medium risk: One in 3 catch certificates from the same importer are verified.

Overall high risk: All catch certificates from the same importer are verified.

Certain facts in any risk category automatically override any low risks in other categories. For example: infringements by a vessel or business, new traders, or just new species being traded, exports to new countries or inconsistencies between catch certificates and any supporting documentation.

The depths of the checks are focused on the categories which have been highlighted medium or high risk, most commonly this involves quota species, vessels with infringement records or distant water vessels. In all cases the vessel prosecution file is checked, the logbook will be checked depending on the species exported. For fishing vessels in external waters, full checks and intelligence is verified.

6.2 How many catch certificates did your country validate from 1 January 2014 to 31 December 2015? If possible, please provide details per requesting country/country of destination in the following table.

Destination State	IUU Regulation (Art. 14.2 / Art. 15)	Year	
		2014	2015
Bosnia		1	2
Canada			1
China		64	18
Ghana			12
Honduras		1	2
Iceland			2
India		18	21
Indonesia		2	
Korea			2
Mayanmar			1
Moldova			2
Morocco		60	49

Norway		161	183
Thailand		4	23
Tunisia		5	6
Ukraine		46	7
Vietnam		36	43
Total		238	208

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

The UK has a strong monitoring system and enforcement measures for UK local waters and all fishing vessels landing in the UK. UK vessels that are flagged medium and high risk are checked on MCSS held within the CITRIX system mentioned in 6.1 for any offences or prosecutions, before validating the export catch certificate.

For the IUU Catch certificate centre, all catch certificates are manually validated, they are then saved electronically as a scanned copy in a pdf format and the hard copy sent to the exporter.

For the UKFCC the access database has also been designed to be able to output validated catch certificates.

The UKFCC operators upon receipt of the information from the master of the UK vessels landing abroad will input the information into the database, select to validate the catch certificate and send it directly to the vessel and representative that sent the initial information notifying of the landing into a third country.

6.4 Does your country monitor that the catches for which your country has validated Catch Certificates actually leave the EU?

No.

6.5 Has your country refused the validation of a catch certificate between 1 January 2014 and 31 December 2015?

No.

Section 7: Verifications of catch certificates for importation

7.1 Has your country established a procedure for verification of catch certificates for importation?

In the UK, catch certificates are checked and verified by Port Health officers at the point of import.

The guidance documents that set out the arrangements for the conducting of checks are *Guidance Note for Enforcement Authorities* on the application of the IUU regulations (**provided in the previous report**). These guidance documents are followed when carrying out verifications at the point of import.

7.2 How many catch certificates have been verified from 1 January 2014 until 31 December 2015?

Port Health officers routinely carry out numerous minor verifications during IUU document checks. These will include (but are not exhaustive to) phone calls to UK importers for clarification, web based searches on RFMO's, vessel identification and vessel activity and direct correspondence to RFMO's (where possible). All catch certificates, article 14(1) and 14(2) documents are checked using a generic process that has been modified by each Port Health team to cater for their specific trades.

There were 81 Art 17(4) or 17(6) flag state verifications carried out by the UKSLO.

7.3 Does your country use a risk assessment approach for verification of catch certificates?

The UK carries out 100% checks on IUU documents but further verifications will be based on a risk assessment of the consignment.

The UK has developed a simple risk management tool that delivery partners at our borders can use to assign a level of risk for a particular consignment/cargo so as to apportion resources according to the level of risk (60% to high, 30% to medium and 10% to low risk).

The model assumes a normal distribution representing 100% of resources which is divided into 3: low, medium & high risk rating. The benchmarks for inspection, Art 4 of EC 1010/2009, have been allocated to 6 broad risk categories: Business, Country, Documents, Species, Trade and Vessel. We have populated each risk category with objective sources of information (website databases, links to trade data analysis, etc) that will help port health authorities determine the risk rating of a consignment.

7.4 Does your country also physically verify the consignments?

Port Health authorities verify 100% of consignments for sanitary and veterinary purposes and cross check information on the health certificate with that of the catch certificate.

Section 8: Verification requests to flag States

8.1 How many requests for verifications have been sent to third country authorities?

There were 81 article 17(6) verifications sent to Member State and 3rd country flag state authorities.

What were the main reasons for these requests? Please specify by using the reasons provided in Articles 17.4 and 17.6 of the IUU Regulation.

- Confirmation of valid fishing licence
- Confirmation of SMS data (stamp/signatory)
- Missing/bad quality documents
- Electronic catch certificate validation failures
- Fishing vessels not on RFMO authorised vessel list
- Species mismatch between catch certificate and health certificate
- Suspected document tampering
- No SMS data on flag state
- Document proforma mismatch with SMS copy
- Routine compliance check on vessel activity (request for VMS data, valid fishing licenses and logsheets). This was carried out retrospectively to allow trade to continue

8.2 How many requests for verification were not replied to by the third country authorities within the deadline provided in Article 17.6 of the IUU Regulation? Does your country in these situations send a reminder to the third country authorities?

We do not record the quantity of formal verification requests that were not replied to with 15 days or a further extension requested (in accordance with article 17(6b)). However in such cases a reminder is sent out to the flag state competent authority for a response.

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

In most cases the quality of the response was sufficient enough for the team to make a decision on the fate of a consignment. In the rare case that the response was not enough to proceed with then the flag state competent authority would be contacted either via email or a second formal verification request.

Section 9: Refusal of Importations

9.1 Has your country refused any imports from 1 January 2014 until 31 December 2015?

Reason for refusal of importation	2014		2015	
	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.	India	1	Argentina	1
The catch certificate is not validated by the notified public authority of the flag State	USA	1	USA	1
			Mexico	1
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.	Panama	1		
A fishing vessel figuring on the catch certificate as vessel of origin of the catches is included in the Community IUU vessel list or in the IUU vessel lists referred to in Article 30.				
Further to the request for verification (Article 18.2)	Ghana	5	Ghana	1
			Maldives	1
			Spain	1
			France	1

9.2 If the answer to 9.1 is yes, what did your country do with the fishery products?

Fishery products that are refused importation were either re exported back to source country or donated to charity. In accordance with section 268 of the Marine and Coastal Access Act 2009. There can only be forfeiture of fishery products from a UK importer in the event of a court conviction.

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

In our national legislation (Art 7(4) of the Sea Fishing Order 2009) there is an appeal route for importers who wish to contest a refusal of importation. The MMO did not receive any appeals.

Section 10: Trade flows

Did your country note a change of imports of fishery products since the last reporting exercise in 2014? Please provide information, deriving from your country's statistical data, concerning change of trade patterns in imports of fishery products into your country.

Trade patterns have changed within the Ports of London over 2014 and 2015 as all international trade at Thamesport ceased in Autumn 2013. Over the course of the last 2 years trade has shifted from Tilbury to London Gateway. In addition London Gateway have started receiving regular ad-hoc vessels diverted from Felixstowe (September 2015 onwards). These vessels carry trade that were not previously received at the Ports of London and comprises mainly Far Eastern imports. Therefore the port has seen an increase in consignments accompanied by Chinese processing statements and catch certificates from Russia, Greenland, Norway, Thailand and Indonesia.

The port is not currently in a position to provide statistical data on these trade changes.

Section 11: Mutual Assistance

11.1 How many mutual assistance messages of the Commission has your country replied to?

The UK Single Liaison office responded to 7 Mutual Assistance Requests.

11.2 Has your country sent any mutual assistance message to the Commission/other Member States?

The following Mutual Assistance Requests (MARs) were sent:

17th July 2014 to Holland: A request for information relating to an ongoing UK investigation.

6th October 2014 to Spain: A request for information relating to a Spanish flagged fishing vessel. (linked to the UK's ongoing investigation).

14th October 2014 to Holland: Request for information on a UK flagged vessel.

In addition to the MARs above at the start of 2015 the UK started to utilise the Mutual Assistance function and the Single Liaison Office as a formal point of contact with Member states when requesting salesnotes, elogs or logsheets for UK and other Member States fishing vessels landing into the UK. In 2015 the UK sent 6 to Ireland, 5 each to France and Holland and 11 to Belgium.

Section 12: Cooperation with third countries

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). In 2014 and 2015 Mutual Assistance Requests were sent to 3rd countries in relation to an ongoing investigation into suspected IUU fishery products that were detained at the UK border in 2012 and 2013.

Section 13: Nationals

Please state your country's notified authorities under Article 39.4.

Illegal Unreported Unregulated (IUU) Fishing Team, Marine Management Organisation

13.1 Since the last reporting exercise in 2014, 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?

No. The national legislation remains as The Sea Fishing (Illegal, Unreported and Unregulated Fishing) Order 2009.

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

No direct measures have been put into place however UK fleet operators will typically notify coastal fisheries officers if any 3rd country flagged vessels have been seen.

13.3 Has your country endeavoured to obtain information on arrangements between nationals and third countries allowing reflagging of their vessels? If yes, please list vessels.

No.

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

Not applicable.

13.5 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?

No.

Section 14: Infringements (Chapter IX of the IUU Regulation) and Sightings (Chapter X of the IUU Regulation)

14.1 How many infringements did your country record from 1 January 2014 until 31 December 2015?

The UK prosecuted 37 cases in the criminal courts and had 90 actions pending. The first figure does not include Administrative Penalties or Official Written Warnings, and the outcomes of 'Actions Pending' may not lead to a prosecution.

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

Our Crown courts have always had unlimited fines available.

14.3 How many sighting reports were issued by your country from 1 January 2014 until 31 December 2015?

None

14.4 Has your country received any sighting reports for its own vessels from other competent authorities?

No.

Section 15: General

15.1 What have been the main difficulties that your country has encountered in implementing the catch certification scheme?

RFMO websites not being up to date thus leading to the detention of legal consignments whilst proof of vessel authorisations are sought for example via the UK importer and/or the flag state of the catch certificate.

Not having direct access to RFMO administrations for queries on vessel authorisations or provisions within their conservation and management measures.

SMS data not always being disseminated to the UK data handlers for use by the IUU team

15.2 What improvements would your country suggest to the Regulation that would make implementation smoother?

Direct Member State access to RFMO administrations.

Section 16: Any other comments

None to add.

Thank you for your cooperation!