

## Audit Items and Criteria

Version date: August 7, 2018

## Item 1. Code of Conduct for purchasing and selling catches or fisheries products

Criteria
(I) Requirements for exporters of distant water fisheries products:
1. In case that the fish species of the catches or fisheries products is under the management of the international fisheries organization(s) (as shown in the annex), such catches or fisheries products shall come from the fishing vessel(s) authorized by relevant international fisheries organization(s).
2. Catches or fisheries products shall not come from any fishing vessel listed on the IUU fishing vessels list promulgated by the competent authority pursuant to Article 13, paragraph 2 of the Act.
3. Catches or fisheries products shall not be the catches or fisheries products under trade sanction from any country under trade sanction imposed by the international fisheries organization(s).
4. The supplying fishing vessel(s) of the Republic of China shall not violate the provisions in Article 13, paragraph 1 of the Act.
5. The supplying fishing vessel(s) of foreign flag(s) shall not violate relevant laws or regulations of the flag State(s) or conservation and management measures.
6. The catches or fisheries products purchased, transported, stored, processed, or sold shall come from legitimate sources and be traceable.
7. Respective SOP in case of self-detecting or being notified by a client or the competent authority that catches or fisheries products have involved in IUU fishing shall be established. The SOPs shall include manners to deal with circumstances such as receiving notifications, self notifications, stopping or suspending transactions or compensation.
8. A management unit or personnel in charge of supervising and ensuring the execution of the Code of Conduct and the SOP shall be established or assigned.
(1) Any exporter of distant water fisheries products whose employees are 30 persons or above shall establish a management unit, and any exporter with less than 30 persons of employees shall assign personnel in charge.
(2) The management unit or the assigned personnel shall receive, at least for 12 hours in every three years, education/training courses organized by the

competent authority on regulations combating IUU fishing.
(3) Any exporter of distant water fisheries products shall comply with its own Code of Conduct and SOP, and shall conduct internal audit at least once a year.
9. The purchase and sales information of each batch of catches or fisheries products, checklist(s), annual internal audit reports, and education/training records shall be archived for at least five years.
(II) Catches or fisheries products purchased or sold meet the requirements imposed by the corresponding trading country on the production and storage of the fisheries products imported as well as the sanitary requirements on processing premises.

Item 2. SOP for purchasing and selling catches or fisheries products

Criteria
(I) The catches or fisheries products purchased shall come from legitimate sources and be traceable:
1. In case that the fish species of the catches or fisheries products is under the management of the international fisheries organization(s) (as shown in the annex), such catches or fisheries products shall come from the fishing vessel(s) authorized by relevant international fisheries organization(s). *
2. Catches or fisheries products shall not come from any fishing vessel listed on the IUU fishing vessels list promulgated by the competent authority pursuant to Article 13, paragraph 2 of the Act. *
3. Catches or fisheries products shall not be the catches or fisheries products under trade sanction from any country under trade sanction imposed by the international fisheries organization(s). *
4. The supplying fishing vessel(s) of the Republic of China shall not violate the provisions in Article 13, paragraph 1 of the Act. *
5. The supplying fishing vessel(s) of foreign flag(s) shall not violate relevant regulations of the flag State(s) or conservation and management measures. *
6. The supplying fishing vessel has obtained the IMO ship identification number or Lloyd's Register (LR) number in accordance with the applicable conservation and management measures adopted by the international fisheries organizations. *
7. The supplying fishing vessel of the catches or fisheries products exported to the EU shall fly the flag of the country approved pursuant to Article 20 of Council Regulation (EC) No. 1005/2008, and not the IUU fishing

non-cooperating country identified and announced by the EU.
8. Catches or fisheries products exported to countries such as the EU, Vietnam, Russia, Mainland China or Brazil shall meet the sanitary requirements on production premises imposed by those countries.
9. The purchase information of each batch of catches or fisheries products and checklist(s) shall be archived for at least five years.
(II) The catches or fisheries products transported shall come from legitimate sources and be traceable:
1. Any fishing vessel of the Republic of China or carrier vessel of foreign flag that transports the catches or fisheries products shall not be the IUU fishing vessel as promulgated by the competent authority pursuant to Article 13, paragraph 2 of the Act.*
2. The transporting documents/bills of each batch of purchased or sold catches or fisheries products and checklist(s) shall be archived for at least five years.
(III) The catches or fisheries products stored shall come from legitimate sources and be traceable:
1. Catches or fisheries products exported to the EU shall meet the sanitary requirements on storage premises imposed by the EU.
2. The warehouse shall establish a mechanism to store and manage the catches or fisheries products, including recording in detail the raw material in and out of the warehouse, the finished products and quantities, dates of in and out of the warehouse, areas of stocking, supplying fishing vessels, fishing areas, fishing dates, etc.
3. The storage record of each batch of catches or fisheries products and the checklist(s) shall be archived for at least five years.
(IV) The catches or fisheries products processed shall come from legitimate sources and be traceable:
1. Catches or fisheries products exported to countries such as the EU, Vietnam, Russia, Mainland China or Brazil shall meet the sanitary requirements on processing premises imposed by those countries.
2. In case that fisheries products exported to the EU are made from imported raw materials, the EUHC issued by the competent authority of the exporting country and the EUCC issued by the competent authority of the flag State of the supplying fishing vessel shall be obtained for the imported raw materials.
3. The processing plant shall establish a mechanism to store and manage the catches or fisheries products, including recording in detail the raw material in and out of the warehouse, the finished products and quantities, dates of in and

out of the warehouse, areas of stocking, supplying fishing vessels, fishing areas, fishing dates, used volume of the raw fish, the weights of finished products, etc.
4. Processing plants shall record in detail the declaration of catch origin and sales flow chart as required by the relevant authorities concerned, so as to tell apart the sources of catches and shipping quantities of finished products.
5. The processing record of each batch of catches or fisheries products and checklist(s) shall be archived for at least five years.
(V) The catches or fisheries products sold shall come from legitimate sources and be traceable:
1. Exporters of distant water fisheries products shall declare the information on the purchased, sold, and stocked catches or fisheries products as listed in Appendix 1 in accordance with these Regulations. *
2. In the event that a catch certificate has been applied for the catches or fisheries products in accordance with the Regulations for Issuing Distant Water Fisheries Catch Certificates, the write-off shall be conducted in accordance with such Regulations. *
3. The sales record of each batch of catches or fisheries products shall be archived for at least five years.

Notes: those with “\*” mean major defects, and those without “\*” mean minor defects.

Annex: Fish species managed by the international fisheries organizations

International fisheries organization	Fish species managed
Western and Central Pacific Fisheries Commission (WCPFC)	Highly migratory species (except saury)
Inter-American Tropical Tuna Commission (IATTC)	Tuna and tuna-like species
International Commission for the Conservation of Atlantic Tunas (ICCAT)	Tuna and tuna-like species
Indian Ocean Tuna Commission (IOTC)	Yellowfin tuna, skipjack, bigeye tuna, albacore tuna, southern bluefin tuna, Longtail tuna, Kawakawa, Frigate tuna, Bullet tuna, Narrow barred Spanish Mackerel, Indo-Pacific king mackerel, Blue Marlin, Black Marlin, Striped Marlin, Indo-Pacific Sailfish, Swordfish
Commission for the Conservation	Southern bluefin tuna

of Southern Bluefin Tuna (CCSBT)	
South Pacific Regional Fisheries Management Organization (SPRFMO)	Non-highly migratory species (non-tuna) not covered by other international fisheries organizations
Northern Pacific Fisheries Commission (NPFC)	The bottom fisheries in the north Pacific Ocean and fish species not covered by other international fisheries organizations