

## Appendix 6

## Risk Criteria

Item	Criteria	Point
Compliance record	Any serious infringement listed in subparagraph (11), (14), (15) or (17) to (19) of Article 13, paragraph 1 of the Act in the past one year, or more than three violations other than serious infringement in the past three years.	6
	Any serious infringement listed in subparagraph (11), (14), (15) or (17) to (19) of Article 13, paragraph 1 of the Act or violation other than serious infringement in the past three years, or more than three violations other than serious infringement in the past five years.	5
	Any audit has been conducted in the past three years and the rating was "C".	4
	Any audit has been conducted in the past three years and the rating was "B".	3
	Any audit has been conducted in the past three years and the rating was "A", or no audit has been conducted in the past three years.	2
	Any audit has been conducted in the past three years and the rating was "A plus".	0
Sources of fisheries products	From the affected catches or fisheries products by any country under trade sanction imposed by the international fisheries organization(s); or from any IUU fishing vessel listed on the IUU fishing vessels list promulgated pursuant to Article 13, paragraph 2 of the Act; or from any fishing vessel(s) registered in the IUU fishing non-cooperating (red card) country identified and announced by the European Union (EU)	8
	From any fishing vessel listed on the sanction list pursuant to the Act for Distant Water Fisheries	6
	From any foreign flagged fishing vessel	4
	From any national fishing vessel with the distant water fisheries permit	2
Supplier	Any foreign fishing vessel (fisheries company), foreign supplier	6
	Any national fishing vessel (fisheries company), or national supplier but not an exporter of distant water fisheries product	3
	Any exporter of distant water fisheries product	1
Traded fish species	Bluefin tuna, southern bluefin tuna	6
	Bigeye tuna, albacore tuna, yellowfin tuna, swordfish	5
	Skipjack, sharks, other marlins	4
	Argentine shortfin squid, jumbo flying squid, neon flying squid, saury	3
	Shark fins	2
Trade pattern	Exporting directly from abroad the catches or fisheries products as listed in Appendix 1 of these Regulations	6
	Exporting from the Republic of China the catches or fisheries	4

	products as listed in Appendix 1 of these Regulations	
	Selling within the Republic of China the catches or products as listed in Appendix 1 of these Regulations	0
Volume exported	Exporting the catches or fisheries products as listed in Appendix 1 of these Regulations with the export volume over 100,000 metric tons in the preceding year.	4
	Exporting the catches or fisheries products as listed in Appendix 1 of these Regulations with the export volume over 10,000 metric tons and of 100,000 metric tons or less in the preceding year.	3
	Exporting the catches or fisheries products as listed in Appendix 1 of these Regulations with the export volume over 1,000 metric tons and of 10,000 metric tons or less in the preceding year.	2
	Exporting the catches or fisheries products as listed in Appendix 1 of these Regulations with the export volume of 1000 metric tons or less in the preceding year.	1
Market (destination of products sold)	The EU	6
	The United States of America, Japan	3
	Any other country except the EU, the United States of America, and Japan	1

Note: The ranking of point(s) for risk items is decided on the criteria that the transactions conducted by exporters of distant water fisheries products are related to. The point zero will be given if no risk item is involved.

#### Categories of Risk Level

Risk level	High	Medium	Low
Range of points	45 points or above	21 points or above but less than 45 points	Less than 21 points