



NORTH-EAST ATLANTIC  
FISHERIES COMMISSION

*Managing Fisheries in the North-East Atlantic*

# NEAFC SCHEME OF CONTROL AND ENFORCEMENT

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# CHAPTER I - General Provisions

## Article 1 - Definitions

For the purpose of this Scheme:

- a. "Convention Area" means the waters of the Convention Area as defined in Article 1(1) of the Convention;
- b. "Regulatory Area" means the waters of the Convention Area, which lie beyond the waters under the fisheries jurisdiction of Contracting Parties;
- c. "fisheries resources" are those referred to in Article 1 (2) of the Convention;
- d. "regulated resources" are those of the fisheries resources which are subject to recommendations under the Convention and are listed in Annex I;
- e. "fishing activities" means fishing, including joint fishing operations, fish processing operations, the transshipment or landing of fisheries resources or products thereof and any other commercial activity in preparation for, or related to, fishing; including *inter alia*, packaging, transporting, refuelling or re-supplying;
- f. "fishing vessel" means any vessel used or intended for use for the purposes of the commercial exploitation of fisheries resources, including fish processing vessels and vessels engaged in transshipment;
- g. "foreign fishing vessel" means a fishing vessel flying the flag of another Contracting Party;
- h. "non-Contracting Party vessel" means any vessel engaged in fishing activities that is not flagged in a Contracting Party of NEAFC, including vessels for which there are reasonable grounds for suspecting them to be without nationality;
- i. "transshipment operation" means the transfer, over the side, of any quantity of fisheries resources or products thereof retained on board, from one fishing vessel to another;
- j. "joint fishing operation" means any operations between two or more vessels where catch is taken from the fishing gear of one fishing vessel to another;
- k. "port" means any place on shore used for landing or for the provision of services in relation to, or in support of, fishing activities or place on or close to the shore designated by a Contracting Party for transshipping of fisheries resources;
- l. "IUU" means illegal, unreported and unregulated fishing activities as referred to in paragraph 3 of the FAO International Plan of Action to prevent, deter and eliminate illegal, unreported and unregulated fishing.
- m. The IMO number is a number allocated by the IMO or other agency which has been given that authority at the time of build or when a ship is first included in the registry of ships, with the prefix IMO.

## **Article 2 - Scope**

Unless otherwise stated, this Scheme shall apply to all vessels used or intended for use for fishing activities conducted on fisheries resources in the Regulatory Area.

## **Article 3 - Co-operation and Contact Points**

1. Contracting Parties shall consult, co-operate and exchange information with other Contracting Parties and the Secretary in order to facilitate the implementation of this Scheme.
2. Contracting Parties shall designate the competent authority which shall act as the contact point for the purposes of receiving surveillance and inspection reports in accordance with Articles 14, 17, 18 and 27 and for receiving notifications and issuing authorisations in accordance with Articles 22 and 23. Contact points for receiving notifications and issuing authorisations in accordance with Articles 22 and 23 shall be available 24 hours a day. Each Contracting Party shall send to the Secretary the telephone number, e-mail address and fax number of the designated contact point before 1 February 2007. Any subsequent changes to the list shall be notified to the Secretary at least fifteen days before the change shall come into force. The Secretary shall put the details of the contact points and any changes thereto on the NEAFC website without delay.
3. In addition, where the Scheme provides for the use of an online application on the NEAFC website, the following information shall be required: name, organisation, job title, role/s within the organisation and individual email addresses.

## CHAPTER II - Control Measures

### Article 4 - Authorisation to Fish

1. Each Contracting Party shall:
  - a. authorise the use of fishing vessels flying its flag for fishing activities only where it is able to exercise effectively its responsibilities in respect of such vessels;
  - b. ensure that only authorised fishing vessels flying its flag conduct fishing activities;
  - c. ensure that fishing vessels flying its flag comply with applicable recommendations adopted under the Convention;
  - d. undertake to manage the number of authorised fishing vessels and their fishing effort commensurate to the fishing opportunities available to that Contracting Party;
2. A master of a fishing vessel shall not engage in transshipment or joint fishing operations with vessels of non-Contracting Parties which have not been granted the status of active cooperating non-Contracting Parties in accordance with Article 34b.
3. A master of a fishing vessel engaged in transshipment operations which on-loads quantities on board shall not engage in any other fishing activity, including joint fishing operations, during the same trip.

### Article 5 - Notification of Fishing Vessels

1. Each Contracting Party shall notify, in computer readable form, to the Secretary prior to 1 January of each year if possible, or in any case before the vessel's entry into the Regulatory Area, all fishing vessels authorised to fish and notably whether the vessel is authorised to fish one or more regulated resource. No fishing vessel shall conduct fishing activities in the Regulatory Area unless it is listed as a notified vessel. The notification shall include for each fishing vessel the information listed in the format of Annex II. Each Contracting Party shall notify any modifications to this information without delay.
2. The Secretary shall make available to all Contracting Parties the information notified under paragraph 1.
3. The Secretary shall make the lists of all fishing vessels notified and all fishing vessels authorised to fish in the NEAFC Regulatory Area publicly available on the NEAFC website by providing the following information:
  - Vessel Name
  - Vessel IMO Number (where available)
  - Flag State
  - External Registration Number (where available)
  - IRCS
  - Vessel Type (where available)
  - Vessel Tonnage

- Vessel Length
- Vessel Power

The list of authorised vessels shall include the regulated resources, start date and end date of the authorisation.

## **Article 6 - Vessel Requirements**

1. Each Contracting Party shall ensure that its fishing vessels are marked in such a way that they can be readily identified in accordance with generally accepted standards, such as the FAO Standard Specifications for the Marking and Identification of Fishing Vessels.
2. Each Contracting Party shall ensure that its fishing vessels shall carry on board documents issued by the appropriate certifying authority of the State in which it is registered showing at least the elements referred to in Annex III.
3. Each Contracting Party shall ensure that its fishing vessels over 24 metres in length overall shall keep on board up-to-date drawings or descriptions of their fish rooms and refrigerated sea water tanks, including an indication of their storage capacity in cubic metres. Fishing vessels with refrigerated sea water tanks shall keep on board a document indicating the calibration of tanks in cubic metres at intervals of 10 cm.
4. The documents referred to in paragraph 3 above shall be checked at regular intervals by an appropriate authority of the Contracting Party concerned.
5. Any modifications to the characteristics contained in the documents referred to in paragraphs 2 and 3 shall be certified by such appropriate authority.

## **Article 7 - Marking of Gear**

1. Each Contracting Party shall ensure that gear used by its fishing vessels in the Regulatory Area is marked consistent with the Convention on Conduct of Fishing operations in the North Atlantic signed in London on 1 June 1967.
2. Marker buoys or similar objects floating on the surface and intended to indicate the location of fixed fishing gear shall display the registration number of the fishing vessel to which they belong.

## **Article 7a – Removal and Disposal of Unmarked or Illegal Gear**

Contracting Parties shall have the right to remove and dispose of gear that is not marked, if marking of gear is required in accordance with Article 7 or in any other way contravenes other Recommendations adopted by NEAFC as well as fish that is found in the gear.

## **Article 7b – Garbage at Sea and Retrieval of Lost Gear**

1. Each Contracting Party shall require that its fishing vessels do not deliberately abandon or discard fishing gear, and prohibit them from discharging garbage into the sea, in accordance with MARPOL Annex V on Regulations for the Prevention of Pollution by Garbage from Ships.
2. Fishing vessels shall have equipment on board to retrieve its gear, if that gear is lost.
3. A vessel that has lost gear shall attempt to retrieve it as soon as possible.
4. If the lost gear cannot be retrieved the master of the vessel shall notify the competent authorities of its flag State within 24 hours of the following:
  1. the name and call sign of the vessel;
  2. the type and quantity of lost gear;
  3. the time when the gear was lost;
  4. the position where the gear was lost;
  5. if the vessel has tried to retrieve the gear.
5. The Contracting Party shall without delay notify the Secretary of NEAFC of the information referred to in a-e. The Secretary shall without delay put this information on the secure part of the NEAFC website.
6. Contracting Parties shall on a regular basis undertake to retrieve lost fixed gears. If gear is retrieved that has not been reported as lost, the Contracting Party that retrieved the gear may recover the cost from the master of the vessel that has lost the gear.

## **Article 8 - Labelling of Frozen Fish**

When frozen all fish caught in the Convention Area shall be identified with a clearly legible label or stamp. On the label or stamp, which shall be placed on each box or block of frozen fish, the following shall be indicated: the 3-alpha FAO code of the species, production date in numerals, the ICES sub-area and division where the catch was taken and the name of the vessel which caught the fish.





## CHAPTER III - Monitoring of Fisheries

### Article 9 - Recording of Catch and Fishing Effort

1. Each Contracting Party shall ensure that all fishing vessels flying its flag and conducting fishing activities under Article 2 keep either a bound fishing logbook with numbered pages or an electronic logbook and, where appropriate, a production logbook and stowage plan. However, a Contracting Party may exempt from keeping a fishing logbook a vessel engaged in transshipment operations which on-loads quantities on board.
2. Fishing logbooks shall contain the following recordings in accordance with the specifications set out in Annex IV:
  - a. each entry into and exit from the Regulatory Area and the cumulative catches retained on board;
  - b. on a daily basis and/or for each haul, by species in live weight kilograms:
    - catches retained on board;
    - the estimated cumulative catch since the entry into the Regulatory Area;
    - the type of gear (number of hooks, length of gill nets, etc);
    - the number of fishing operations per day (where appropriate);
    - the small statistical rectangle or fishing location (longitude and latitude);
    - the amount of fish discarded.
    - the fishing depth (where appropriate)
  - c. on each occasion when fish is transhipped, where appropriate, the quantities by species on-loaded and off-loaded.
  - d. on each occasion a vessel engaged in a joint fishing operation shall record:
    - where the catch is taken on board:
      - the date and time (UTC);
      - the location (longitude/latitude);
      - catches taken on board and any catch discard from the vessel;
      - the name and international radio call sign of the fishing vessel from whose gear the catch has been taken.
    - where the catch is not taken on board:
      - the date and time (UTC);
      - the location (longitude/latitude);
      - that no catch has been taken on board;
      - the name and international radio call sign of the fishing vessel which has taken the catch.
3. After each communication of a report pursuant to Articles 11(4), 12 and 13, the following details are to be immediately entered in the logbook:
  - a. date and time (UTC) of transmission of a report;
  - b. in case of radio transmission, name of radio station through which the report is transmitted.

4. Fishing vessels engaged in fishing activities conducted on fisheries resources which process and/or freeze their catch shall, in accordance with specifications in Annex IV:
  - a. record their cumulative production by species and product form in a production logbook; and
  - b. stow in the hold all processed catch in such a way that the location of each species can be identified from a stowage plan maintained by the master of the fishing vessel;
5. Fishing vessels, with frozen catch on board of fisheries resources caught in the Convention Area by more than one fishing vessel, may stow the fish from each of these vessels in more than one part of the hold but shall keep it clearly separate (for example by plastic, plywood, netting etc) from fish caught by other vessels. Similarly, all catches taken inside the NEAFC Convention Area shall be stowed separately from all catches taken outside the area.
6. Vessels exempt from keeping a fishing logbook pursuant to paragraph 1 shall record in a production logbook and stowage plan:
  - o the information under paragraph 3 a) and b);
  - o the date and time (UTC) of the transshipment operation;
  - o the location (longitude/latitude) of the transshipment operation;
  - o the quantities of species on-loaded;
  - o the location in the hold of frozen fish referred to under paragraph 5;
  - o the name and international radio call sign of the fishing vessel from which the catch has been off-loaded.

The quantities recorded in accordance with this Article shall correspond accurately to the quantities kept on board. The original recordings contained in the logbook shall be kept on board the fishing vessel for period of at least 12 months.

## **Article 10 - Reporting of Catch and Fishing Effort**

Each Contracting Party shall report to the Secretary provisional monthly statistics of catches of Regulated Resources. These reports shall be made and transmitted in accordance with specific recommendation approved by the Commission.

## Article 11 - Vessel Monitoring System

1. Each Contracting Party shall implement a vessel monitoring system (VMS) for its fishing vessels exceeding 20 metres between perpendiculars or 24 metres overall length which fish, or plan to fish, in the Regulatory Area and:
  - a. require its fishing vessels, fishing in the Regulatory Area, to be equipped with an autonomous system able to automatically transmit messages to a land-based fisheries monitoring centre (FMC) allowing a continuous tracking of the position of a fishing vessel by the Contracting Party of that fishing vessel in conformity with the specifications and schedule set out in Annex VII a);
  - b. ensure that the satellite device shall enable a fishing vessel to communicate by satellite to the Contracting Party messages relating to the following data:
    - the vessel identification;
    - the most recent geographical position of the vessel (longitude, latitude) with a position error which shall be less than 500 metres, with a confidence interval of 99%;
    - the date and time of the fixing of the said position of the vessel;
    - the speed and course at the time of fixing of the said position of the vessel;
    - where applicable, data relating to the catch on board;
    - where applicable, data relating to transshipment.
2. Each Contracting Party shall take the necessary measures to ensure that the FMC receives through the VMS the messages requested in paragraph 1(b).
3. Each Contracting Party shall ensure that the masters of fishing vessels flying its flag shall ensure that the satellite tracking devices are at all times fully operational and that the information in paragraph 1(b) is transmitted. In the event of a technical failure or non-operation of the satellite tracking device fitted on board a fishing vessel, the device shall be repaired or replaced within one month. After this period, the master of a fishing vessel shall not be authorised to commence a fishing trip with a defective satellite tracking device. Where a device stops functioning and a fishing trip lasts more than one month, the repair or the replacement has to take place as soon as the vessel enters a port, the fishing vessel shall not be authorised to continue or commence a fishing trip without the satellite tracking device having been repaired or replaced.
4. Each Contracting Party shall ensure that a fishing vessel with a defective VMS tracking device shall communicate, at least every 4 hours, reports containing the information in paragraph 1(b) to the FMC in accordance with the format set out in Annex VIII (5).
5. Contracting Parties shall, for the purposes of this Scheme, cooperate with the Secretary in order to maintain a database delimiting the Regulatory Area by latitude and longitude co-ordinates. Changes to these co-ordinates shall without delay be notified to the Secretary in a computer readable form according to the procedures described in Annex VII b) in order to keep this database up to date. The co-ordinates shall be without prejudice to each Contracting Party's position concerning the delimitation of sea areas under their sovereignty and jurisdiction. The Secretary shall

notify all Contracting Parties, and active cooperating non-Contracting Parties, of any changes by providing them with updated co-ordinates in the format described in Annex VII b) without delay.

6. In respect of bottom fishing in the Regulatory Area, the following additional provisions shall apply:
  - a. Each Contracting Party shall implement an automatic system able to monitor and detect possible bottom fishing in areas outside the existing bottom fishing areas, and possible fishing inside closed areas.
  - b. The NEAFC Secretary shall keep a record of all closed areas, including their coordinates, date and time of implementation, unique name and number and validity as applicable. The Secretary shall notify all Contracting Parties at least one month in advance of any changes or additions to the existing list.
  - c. Each Contracting Party shall ensure that delimitations of closed areas are installed in their Vessel Monitoring Systems according to coordinates contained in Recommendations in force.

## Article 12 - Communication of Catches

1. Each Contracting Party shall ensure that its fishing vessels engaged in fishing activities conducted on regulated resources shall communicate catch reports in accordance with the specification and format set out in Annex VIII by electronic means to their FMC:
  - a. the quantities on board when entering the Regulatory Area. This report shall be made no more than 12 hours and at least 2 hours in advance of each entry into the Regulatory Area;
  - b. daily catches<sup>1</sup>. This report shall be transmitted on a daily basis at the latest at 1200 UTC the following day after commencement of the fishery. This report shall include information on the number of fishing days and catch taken in the Regulatory Area since the commencement of fishing, or since the last catch report. On days when no catch has been taken a nil catch shall be reported.
  - c. when exiting the Regulatory Area. This report shall be made no more than 8 hours and at least 2 hours in advance of each exit from the Regulatory Area. It shall include, where appropriate, the number of fishing days and the catch taken in the Regulatory Area since the commencement of fishing, or since the last catch report.
2. The reports on catches referred to in this Article shall be given in kilograms (rounded to the nearest 100kg) total round weight by species using the FAO code. The total quantity of species for which the total round weight by species is less than 50kg may be reported under the 3-alpha code MZZ (marine fish not specified).

<sup>1</sup>EU objected to an amendment to the Scheme to require daily reporting of catches and so is not bound by the amendment. EU remains bound by the previous text which reads as below;

"b. weekly catches. This report shall for the first time be transmitted at the latest at the end of the seventh day after the entry into the Regulatory Area or, when fishing trips take more than 7 days, the fishing vessel shall transmit by the latest Monday noon the catches taken in the Regulatory Area during the preceding week ending Sunday midnight. This report shall include information on the number of fishing days since the commencement of fishing, or since the last catch report;"

## **Article 13 - Communication of Transhipments and of Port of Landing**

1. Each Contracting Party shall ensure that its fishing vessels engaged in transhipment operations involving regulated resources shall communicate reports of transhipments in accordance with the specification and format set out in Annex VIII by electronic means to their FMC.

These reports shall include the quantities on-loaded and off-loaded for each transhipment during the vessel's stay in the Regulatory Area. Donor vessels shall make this report at least 24 hours in advance, and concerning receiving vessels this report shall be made no later than one hour after transhipment. The report shall include the date, time, geographical position of the planned transhipment and total round weight by species to be off-loaded or which have been on-loaded in kilograms and the call signs of vessels transhipped to or from respectively.

Without prejudice to Chapter V, each Contracting Party shall ensure that its fishing vessels, subsequent to having been involved in a transhipment operation involving regulated resources in the Regulatory Area as receiving vessel shall report total catch onboard, total weight to be landed, name of port and date and time of landing at least 24 hours in advance of any landing, regardless of whether the landing is to take place in a port inside or outside the Convention Area. Each Contracting Party shall ensure that the report of port of landing is communicated in accordance with the specification and format set out in Annex VIII by electronic means to their FMC.

2. The reports shall be given according to the specification set out in Article 12(2).

## **Article 14 - Communication to the Secretary**

1. Each Contracting Party shall communicate reports and messages pursuant to Articles 11, 12 and 13 to the Secretary without delay. In the event of technical malfunction, these reports shall however be transmitted to the Secretary within 24 hours of receipt. Contracting Parties shall ensure that all reports and messages forwarded by them will be sequentially numbered.
2. Each Contracting Party shall ensure that the reports and messages transmitted between the Contracting Party and the Secretary or if the Contracting Party so desires, between its fishing vessels and the Secretary, shall be in accordance with the data exchange formats and data communication systems set out in Annex IX.
3. The Secretary shall make available as soon as possible the information received under this Article to other Contracting Parties with an active inspection presence in the Area. Such information shall be provided when the Secretary receives the report of entry referred to in Annex X(A), which may be sent up to 24 hours in advance of the entry by the surveillance craft into the area. If the surveillance craft does not enter the area within this period, it shall send a report of exit as referred to in Annex X(B). All reports and messages communicated pursuant to Articles 11, 12 and 13 shall be treated in a confidential manner.
4. The reports set out in Articles 12 and 13 may be cancelled using the format specified in Annex VIII 7). If a report set out in Article 12 or 13 is subject to correction, a new report must be sent without delay after the Cancel report within time limits set out in Articles 12 and 13. If the flag state FMC accepts the cancellation of a report from its vessel it shall communicate it to the Secretary.





## CHAPTER IV - Inspections at Sea

### Article 15 - NEAFC Inspectors

1. Control and surveillance shall be carried out by inspectors of the fishery control service of the Contracting Parties following their assignment to the Scheme (NEAFC inspectors). Each inspector shall carry special documentation of identity as a NEAFC inspector issued by the respective Contracting Party in accordance with the format set out in Annex XI. Each inspector shall carry and produce this document of identity when boarding a fishing vessel.
2. Each Contracting Party shall ensure that NEAFC inspectors from another Contracting Party shall be allowed to carry out inspections on board those of its fishing vessels to which this Scheme applies. Furthermore, it shall adopt measures obliging the masters of the fishing vessels to co-operate with the NEAFC inspectors and to ensure their safety throughout the inspection.
3. Each Contracting Party shall ensure that inspections carried out by that Party shall be carried out in a non-discriminatory manner and in accordance with the Scheme. The number of inspections shall be based upon fleet size, taking into account the time spent in the Regulatory Area. In its inspections, each Contracting Party shall aim at ensuring equal treatment between all Contracting Parties with fishing vessels operating in the Regulatory Area through an equitable distribution of inspections.
4. Inspectors shall avoid the use of force except when and to the degree necessary to ensure the safety of the inspectors. When carrying out inspections on board fishing vessels, inspectors shall not carry any fire-arms.
5. Without limiting the capability of inspectors to carry out their mandates, inspections shall be made so that the fishing vessel, its activities and the catch retained on board do not suffer undue interference and inconvenience.

### Article 16 - Means of Inspection

1. Each Contracting Party shall notify the Secretary before 1 January each year of the names of the NEAFC inspectors and special inspection vessels as well as the type of aircraft and the details of their identification (registration number, name, radio call-sign) which they are assigning to the Scheme for that year. Modifications by Contracting Parties to such notifications shall be communicated to the Secretary giving one month's notice.
2. The Secretary shall circulate to all Contracting Parties the notifications received from any Contracting Party under the Scheme, within 15 days of receipt.
3. Any vessel assigned to the Scheme and carrying NEAFC inspectors, as well as the boarding craft deployed by that vessel shall display the NEAFC inspection signal illustrated in Annex XI to indicate that inspectors on board may carry out inspection duties in accordance with the Scheme. Aircraft assigned to the Scheme shall have their international radio call sign clearly displayed.

4. Each Contracting Party shall keep a record for their assigned inspection vessels and aircraft of the date and hour of the start and termination of their duties under the Scheme as set out in Annex X. The Contracting Party shall notify this information to the NEAFC Secretary. The Secretary shall promptly inform the other Contracting Parties accordingly.
5. Where, at any time, more than 10 fishing vessels of any one Contracting Party are engaged in fishing activities conducted on regulated resources in the Regulatory Area, the Contracting Party shall, during that time, have an inspection vessel in the Regulatory Area, or shall co-operate with another Contracting Party to jointly operate an inspection vessel.

## **Article 17 - Surveillance Procedure**

1. Surveillance shall be based on sightings of fishing vessels by assigned inspectors from an inspection vessel or aircraft assigned to the Scheme.
2. The inspector shall complete the surveillance report in the form set out in Annex XII(A).
3. A copy of each surveillance report shall be forwarded without delay by electronic transmission, in the form set out in Annex XII(B), to the Contracting Party of the vessel concerned or a designated authority of that Contracting Party and to the Secretary. A hard copy of each surveillance report and any photographs shall be forwarded on request to the Contracting Party of the vessel concerned.
4. The Secretary shall make available as soon as possible the information received under this Article to other Contracting Parties with an active inspection presence in the Area. All reports and messages communicated shall be treated in a confidential manner.

## **Article 18 - Inspection Procedure**

1. No boarding shall be conducted without prior notice by radio being sent to the fishing vessel or without the fishing vessel being given the appropriate signal using the International Code of Signals, including the identity of the inspection platform, whether or not such notice is acknowledged as received.
2. An inspector has the authority to examine all relevant areas, decks and rooms of the fishing vessels, catch (whether processed or not), nets or other gear, equipment, and any relevant documents which the inspector deems necessary to verify the compliance with the measures established by NEAFC and to question the master or a person designated by the master.
3. The fishing vessel to be boarded shall not be required to stop or manoeuvre when fishing, shooting or hauling. The inspectors may order the interruption or delay in the hauling of the fishing gear until they have boarded the fishing vessel and in any event no more than 30 minutes after receiving the signal.
4. Inspectors may instruct a fishing vessel to delay its entry into or exit from the Regulatory Area for up to 6 hours from the time of transmission by the fishing vessel of the notification communicated in accordance with Article 12(1)(a) and (c).

5. The duration of an inspection shall not exceed 4 hours, or until the net is hauled in and the net and catch are inspected, whichever is longer. In the case of an infringement being detected the inspectors may stay on board for the time necessary for the completion of measures provided for in Article 28(1)(b). However, in special circumstances relating to the size of a fishing vessel, and the quantities of fish retained on board, the duration of the inspection may exceed the limits stipulated above. In such a situation, the inspection Party shall in no case stay longer on board the fishing vessel than the time required to complete the inspection. The reasons for exceeding the limit stipulated above shall be recorded in the inspection report referred to in paragraph 7.
6. There shall be no more than two inspectors in an inspection party from one Contracting Party boarding a fishing vessel of another Contracting Party.
7. Each inspection shall be documented by completing an inspection report as set out in Annex XIII.
8. In carrying out their inspection, the inspectors may request of the master any assistance required. The report of the inspection may be commented upon by the master and shall be signed by the inspectors at the end of the inspection. A copy of the inspection report shall be given to the master of the fishing vessel.
9. Inspectors shall not interfere with the master's ability to communicate with the authorities of the flag State during the boarding and inspection.
10. Each Contracting Party shall ensure that its inspection platforms manoeuvre at a safe distance from the fishing vessels according to good seamanship.
11. A copy of each inspection report shall be transmitted without delay to the Contracting Party of the inspected vessel and to the Secretary. The original or a certified copy of each inspection report shall be forwarded on request to the Contracting Party of the inspected vessel.

## **Article 19 - Obligation of the Vessel Master during the Inspection Procedure**

The master of a fishing vessel shall:

- a. facilitate prompt and safe boarding and disembarkation of inspectors by providing a boarding ladder constructed and used as described in Annex XIV;
- b. if a mechanical hoist is provided, ensure that its ancillary equipment are of a type approved by the national administration. It shall be of such design and construction as to ensure that the inspector can be embarked and disembarked in a safe manner including a safe access from the hoist to the deck and vice versa. A boarding ladder complying with the provisions of paragraph 1 of this Article shall be kept on deck adjacent to the hoist and available for immediate use;
- c. co-operate with and assist in the inspection of the fishing vessel conducted pursuant to these procedures, and shall not obstruct, intimidate or interfere with the inspectors in the performance of their duties;
- d. allow the inspectors to communicate with the authorities of the flag Contracting Party and the inspecting Contracting Party; and
- e. provide access to any areas, decks and rooms of the fishing vessel, catch (whether processed or not), nets or other gear, equipment, and any information or documents which the inspector deems necessary in accordance with Article 18(2);
- f. provide copies of documents as required by the inspector; and
- g. where the provisions of Article 30(5) apply, provide reasonable facilities, including, where appropriate, food and accommodation, for the inspectors.

# CHAPTER V - Port State Control of Foreign Fishing Vessels

## Article 20 - Scope

The provisions in this chapter apply to the use of ports of Contracting Parties by fishing vessels with catch on board of fisheries resources that have been caught in the Convention Area by foreign fishing vessels and that have not been previously landed or transhipped at a port.

## Article 20 bis - Application of the FAO Agreement on Port State Measures <sup>1</sup>

1. The provisions of the 2009 FAO Agreement on Port State Measures to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing (hereafter referred to as the FAO PSMA) shall apply mutatis mutandis as a minimum standard for the Port State Control of foreign fishing vessels, without prejudice to additional provisions contained in Articles 21 to 27.
2. Contracting Parties shall cooperate in the effective implementation of the FAO PSMA and in the exchange of information relevant to the implementation of the Scheme.
3. When Contracting Parties have adopted and implemented measures consistent with the provisions of the FAO PSMA, they shall transmit to the Secretary a statement of the actions they have taken in this respect. The Secretary shall circulate these statements to all Contracting Parties.

## Article 21 - Designated Ports

Contracting Parties shall designate ports where landings or transshipment operations and provisions of port services are permitted. Each Contracting Party shall send to the Secretary the list of such ports, including the information specified in Annex XIX. Subsequent changes to this list shall include the information specified in Annex XIX and shall be notified to the Secretary at least fifteen days before the change shall come into force. The Secretary shall put the list of designated ports and any changes thereto on the NEAFC website without delay, once all the information required by Articles 3.2 and 3.3 has been provided by the Contracting Party.

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<sup>1</sup>This Article is effective only 30 days upon the ratification, acceptance, approval or accession of the FAO PSMA by all NEAFC Contracting Parties.

## Article 22 - Prior Notification of Entry into Port

1. Masters of vessels or their representative intending to call into a port shall notify the competent authorities of the port they wish to use at least 3 working days before the estimated time of arrival. However, a Contracting Party may make provision for another notification period, taking into account inter alia, catch product type or the distance between the fishing grounds and its ports. In such a case the Contracting Party concerned shall without delay inform the Secretary, who shall put this information on the NEAFC website.
2. The prior notification referred to in paragraph 1 shall be made using the formats and specifications in Annex XV as follows:
  - a. Annex XV (a) Part A shall be completed where the vessel is carrying its own catch;
  - b. Annex XV (b) Part A shall be completed where the vessel has engaged in transshipment operations, providing the information separately for catches from each donor vessel.
3. The prior notification referred to in paragraph 1 may be cancelled by the sender pursuant to Article 22.1 of the Scheme by notifying the competent authorities of the port they wished to use no later than 24 hours before the notified estimated time of arrival in the port. However, a Contracting Party may make provisions for another notification period for cancellation. The Contracting Party concerned shall without delay inform the Secretary, who shall put this information on the NEAFC website. The Secretary shall mark as expired any notification from a vessel where part B or C has not been completed, or where it has not entered into the port as notified, within 48 hours of the notified estimated time of arrival.
4. The port State shall forward a copy of the form as referred to in paragraph 2 and 3 without delay to the flag State of the vessel, and to the flag State or States of donor vessels where the vessel has engaged in transshipment operations. The port State shall also forward a copy of the notification referred to in paragraph 3 to the NEAFC Secretary who shall put it on the NEAFC website.
5. The current status of any prior notification of landing shall be presented on the NEAFC website.

## Article 23 - Landing or transshipment and other use of ports

1. In response to a notification transmitted pursuant to Article 22 (2a and 2b) the flag State of the vessel intending to land, tranship or make other use of port services, or where the vessel has engaged in transshipment operations outside a port, the flag State or States of donor vessels, shall confirm by completing Part B of Annex XV (a) or Annex XV (b), as appropriate, stating that:
  - a. the fishing vessels declared to have caught the fish had sufficient quota for the species declared;
  - b. the quantities of fish on board have been duly reported and taken into account for the calculation of any catch or effort limitations that may be applicable;

- c. the fishing vessels declared to have caught the fish had authorisation to fish in the areas declared;
  - d. the presence of the vessel in the area of catch declared has been verified according to VMS data.
- 2. Landing, transshipment operations or other use of port services, may only commence after authorisation has been given by the competent authorities of the port State, by completing Part C of Annex XV (a) or Annex XV(b), as appropriate. Such authorisation shall only be given if the confirmation from the flag State referred to in paragraph 1 has been received.
- 3. By way of derogation from paragraph 2 the port State may authorise all or part of a landing in the absence of the confirmation but in such cases shall keep the fish concerned in storage under the control of the competent authorities. The fish shall only be released to be sold, taken over or transported once the confirmation referred to in paragraph 1 has been received. If the confirmation has not been received within 14 days of the landing the port State may confiscate and dispose of the fish in accordance with national rules.
- 4. Landing, transshipment and other use of port services shall not be authorised if the port State receives clear evidence that the catch on board was taken in contravention of applicable requirements of a Contracting Party in respect of areas under its national jurisdiction.
- 5. The sender, pursuant to Article 22.1 of the prior notification of landing and the vessel's flag Contracting Party shall be informed of the completion of Part C of Annex XV (a) or Annex XV (b), or any derogation thereof. The port State shall notify without delay its decision whether or not to authorise the landing or transshipment and other use of port services to the master of the vessel or his representative, to the flag Contracting Party and to the Secretary by completing as appropriate Part C of the relevant notification. The Secretary shall put this information on the NEAFC website without delay.

## Article 24 - Inspectors

- 1. Inspections shall be conducted by authorised Contracting Party officials knowledgeable of Recommendations established under the Convention.
- 2. Prior to an inspection, the inspector shall present to the master of the vessel an appropriate identity document.
- 3. The Port State may invite inspectors of other Contracting Parties to accompany their own inspectors and observe the inspection.

## Article 25 - Inspections

- 1. Each Contracting Party shall carry out inspections of at least 5% of landings or transshipments of fresh fish and at least 7.5% of frozen fish in its ports during each reporting year, on the basis of risk management that takes into consideration the general guidelines outlined in Annex XVII. If a vessel is landing or transshipping both fresh and frozen catches, this inspection shall be counted against the benchmarks for

both fresh and frozen landings. The minimum levels for inspection shall be reviewed if a Contracting Party so requests.

2. Inspections shall be conducted in a fair, transparent and non-discriminatory manner and shall not constitute harassment of any vessel.
3. Each Contracting Party shall ensure that inspectors examine all relevant areas of the vessel in order to verify compliance with relevant conservation and management measures. Inspections shall be conducted in accordance with the procedures laid down in Annex XVIII.
4. Each Contracting Party shall make all possible efforts to facilitate communication with the master or senior crew members of the vessel, including where possible and where needed that the inspector is accompanied by an interpreter.
5. Inspectors shall make all possible efforts to avoid unduly delaying a vessel and ensure that the vessel suffers the minimum interference and inconvenience and that degradation of the quality of the fish is avoided.
6. Inspectors shall not interfere with the master's ability to communicate with the authorities of the flag State.

## **Article 26 - Obligations of the Master of the Vessel**

The provisions of Article 19 shall apply, as applicable.

## **Article 27 - Inspection Reports**

1. Each inspection shall be documented by completing a Port State Control inspection report (PSC 3) as set out in Annex XVI.
2. The inspection report may be commented upon and shall be signed by the inspectors and the master or the representative of the master at the end of the inspection. A copy of the inspection report shall be given to the master of the fishing vessel or the representative of the master
3. A copy of each inspection report shall be transmitted without delay to the Contracting Party of the inspected vessel and to the flag State or States of donor vessels where the vessel has engaged in transshipment operations and to the Secretary. The original or a certified copy of each inspection report shall be forwarded on request to the Contracting Party of the inspected vessel.
4. The Secretary shall put copies of the inspection reports on the inspectors' area of the NEAFC website without delay.
5. The Secretary shall compile an annual report analysing all reports received from Contracting Parties under this Chapter for presentation to the Permanent Committee for Control and Enforcement (PECCOE).



## CHAPTER VI - Infringements

### Article 28 - Infringement Procedures

1. If the inspectors find that there are clear grounds for believing that a fishing vessel flying the flag of another Contracting Party has engaged in any activity contrary to this recommendation or other NEAFC recommendations they shall:
  - a. note the infringement in the report referred to in Articles 17, 18 or 27;
  - b. take all necessary measures to ensure security and continuity of the evidence for subsequent dockside inspection. An identification mark may be affixed securely to any part of the fishing gear which appears to the inspector to have been in contravention of applicable measures;
  - c. in order to facilitate Contracting Party action on the infringement, immediately attempt to communicate with an inspector or designated authority of the flag State of the inspected fishing vessel.
2. The Contracting Party inspecting a fishing vessel shall communicate in writing the details of an infringement to the designated authorities of the Contracting Party of the inspected vessel within the working day following the inspection whenever possible. Where appropriate, the inspecting Contracting Party shall also communicate the findings of such inspection to the Contracting Party in waters under whose national jurisdiction the infringement took place and the State of which the vessel's master is a national.
3. An original of the inspection report with any supporting documentation, shall be forwarded without delay to the appropriate authorities of the Contracting Party of the inspected fishing vessel as well as a copy to the Secretary.
4. The appropriate authorities of a Contracting Party notified of an infringement committed by a fishing vessel of that Party shall take prompt action to receive and consider the evidence of the infringement and, conduct any further investigation necessary for the follow up to the infringement and, whenever possible, inspect the fishing vessel concerned. Each Contracting Party shall designate the appropriate authorities mandated for receiving evidence of infringement and shall inform the Secretary of the address of those authorities. The Secretary shall subsequently inform all other Contracting Parties.
5. Each Contracting Party shall consider and act on reports from inspectors of other Contracting Parties under the Scheme on the same basis as reports from its own inspectors. Contracting Parties shall co-operate in order to facilitate judicial or other proceedings arising from a report submitted by an inspector under the Scheme.

## Article 29 - Serious Infringements

The following infringements shall be considered to be serious:

- a. fishing without a valid authorisation issued by the flag Contracting Party;
- b. fishing without or after attainment of a quota;
- c. use of prohibited fishing gear;
- d. serious mis-recording of catches;
- e. repeated failure to comply with the provisions of Articles 11, 12, and, as appropriate, 13;
- f. landing or transshipping in a port not designated in accordance with the provisions of Article 21;
- g. failure to comply with the provisions of Article 22;
- h. landing or transshipment without authorisation of the port State as referred to in Article 23;
- i. preventing an inspector from carrying out his duties;
- j. directed fishing for a stock which is subject to a moratorium or for which fishing is prohibited;
- k. falsifying or concealing the markings, identity or registration of a fishing vessel;
- l. concealing, tampering with or disposing of evidence relating to an investigation;
- m. multiple violations which together constitute a serious disregard of conservation and management measures;
- n. engaging in transshipment or joint fishing operations with vessels of a non-Contracting Party which has not been accorded the status of active co-operating non-Contracting Party in accordance with Article 34b;
- o. supplying any provisions, fuel or other services to vessels that have been placed on the IUU lists established in accordance with Article 44(3).

## Article 30 - Follow up in the Case of Serious Infringements

1. If an inspector considers that there are clear grounds for believing that the master of a fishing vessel has committed a serious infringement, he shall promptly notify the Secretary, the flag Contracting Party of the vessel, and the flag Contracting Party or Parties of donor vessels where the inspected vessel has engaged in transshipment operations, of that infringement in accordance with Article 28(3).
2. The flag Contracting Party shall respond to the notification without delay and shall ensure that the fishing vessel concerned is inspected within 72 hours by an inspector duly authorised by that Contracting Party.
3. In order to preserve the evidence, the inspector shall take all necessary measures to ensure security and continuity of the evidence whilst minimising interference with and inconvenience to the operation of the vessel.
4. The inspector is entitled to remain on board the fishing vessel for the period necessary to provide information to the duly authorised inspector concerning the infringement or until the response of the flag Contracting Party is to require the inspector to leave the fishing vessel.

5. The flag Contracting Party shall, if evidence so warrants, require the fishing vessel to proceed immediately to a port designated by that Contracting Party for a thorough inspection under its authority and in the presence of a NEAFC inspector from any other Contracting Party that wishes to participate.
6. The flag Contracting Party may authorise the inspecting Contracting Party to bring the fishing vessel without delay to a port designated by the flag Contracting Party.
7. If the fishing vessel is not called to port, the flag Contracting Party must provide due justification in a timely manner to the Secretary and to the inspecting Contracting Party. The Secretary shall make such justification available on request to any Contracting Party.
8. Where a fishing vessel is required to proceed to port for a thorough inspection pursuant to paragraph 5 or 6, a NEAFC inspector from another Contracting Party may, subject to the consent of the Contracting Party of the fishing vessel, board the fishing vessel as it is proceeding to port, may remain on board the fishing vessel as it proceeds to port and may be present during the inspection of the fishing vessel in port.
9. Each Contracting party shall report, without delay, any serious infringement as listed in Article 29 to the Secretary.

## **Article 31 - Measures taken by Contracting Parties**

1. Each Contracting Party shall ensure that the appropriate measures be taken, including administrative action or criminal proceedings in conformity with their national law, against the natural or legal persons responsible where NEAFC measures have not been respected.
2. The proceedings initiated pursuant to paragraph 1 shall, in accordance with the relevant provisions of national law, be capable of effectively depriving those responsible of the economic benefit of the infringements or of providing sanctions proportionate to the seriousness of such infringements, thus effectively discouraging future infringements.

## **Article 32 - Reporting on Surveillance and Inspection Activities**

Each Contracting Party shall report to the Secretary by 1 March each year for the previous calendar year:

- a. the number of inspections conducted by it under Articles 17, 18 and 25 of the scheme specifying the number of inspections on the vessels of each Contracting Party and, in the case of infringement, the date and position of the inspection of the individual vessel and the nature of infringement;
- b. the number of hours flown and the number of days at sea on NEAFC patrols, the number of sightings (Contracting Party vessels and non Contracting Party vessels) and the list of individual vessels for which a surveillance report has been completed.

## **Article 33 - Reporting of Infringements and Follow Up**

1. Each Contracting Party shall report to the Secretary by 1 March each year for the previous calendar year the status of the proceedings relative to infringements of NEAFC measures. The infringements shall continue to be listed on each subsequent report until the action is concluded in accordance with the relevant provisions of national laws.
2. The report required in paragraph 1 above shall indicate the current status of the case (i.e. case pending, under appeal, still under investigation, etc) and any sanctions or penalties imposed shall be described in specific terms (i.e. level of fines, value of forfeited fish and/or gear, written warning given, etc.) and shall include an explanation if no action has been taken.

## **CHAPTER VII – Measures to Promote Compliance by Non-Contracting Party Fishing Vessels**

### **Article 34 - Co-Operating Non-Contracting Party Status**

A non-Contracting Party may apply for the status of a co-operating non-Contracting Party in accordance with Article 34a or 34b:

Co-operating non-Contracting Parties shall be invited to participate at NEAFC Annual Meetings and meetings of the subsidiary bodies open to observers.

### **Article 34a - General Co-Operating Non-Contracting Party Status**

If a non-Contracting Party is seeking co-operation with NEAFC in order to be able to attend NEAFC Annual Meetings and meetings of the subsidiary bodies open to observers, a request for the status as general co-operating non-Contracting Party shall be submitted to the Secretary by 1 October. The non-Contracting Party concerned shall undertake to respect the provisions of this Scheme and all other Recommendations established under the Convention. General co-operating non-Contracting Parties shall not engage in fishing activities in the NEAFC Regulatory Area. The Secretary shall recommend to the Commission whether the status as general co-operating non-Contracting Party status shall be granted. The decision to grant the status as general co-operating non-Contracting Party shall be made by the Commission on a year-to-year basis.

### **Article 34b - Active Co-Operating Non-Contracting Party Status**

1. If a non-Contracting Party is seeking co-operation with NEAFC to be able to operate fishing vessels or conduct research programmes in the NEAFC Regulatory Area, an application for the status as active co-operating non-Contracting Party shall be submitted to the Secretary by 1 March. The application for the status as active co-operating non-Contracting Party shall be accompanied by a report containing the following information:
  - a. Full data on its historical fisheries in the NEAFC area, including nominal catches, number/type of vessels, name of fishing vessels, fishing effort and fishing areas;
  - b. Details on current fishing activity presence in the Regulatory Area, number of vessels and vessels characteristics;

- c. Details of research programmes it has conducted in the Regulatory Area, the results of which it shall share with NEAFC.
- d. Details on measures in place by that non-Contracting Party to ensure compliance with flag State and port State obligations in accordance with relevant international instruments, in particular the FAO Agreement on Port State Measures and the FAO Voluntary Guidelines for Flag State Performance. In respect of flag State obligations, these details shall include either a full assessment carried out in accordance with the FAO Voluntary Guidelines for Flag State Performance, or an assessment in accordance with Annex XX of the Scheme. Such assessments may also be carried out by a Contracting Party.

Furthermore, the non-Contracting Party applying for active co-operating non-Contracting Party status shall:

- e. Describe the activity they wish to conduct in the NEAFC Regulatory Area during the year they apply for;
  - f. Undertake to respect the provisions of this Scheme and all other Recommendations established under the Convention;
  - g. Ensure its vessels are communicating VMS data and catch and activity data in accordance with the requirements in the NEAFC Scheme;
  - h. Inform NEAFC of the measures it takes to ensure compliance by its vessels, including inter alia, observer programmes, inspection at sea and in port, and VMS;
  - i. Communicate annually catch and effort data and size frequency distribution of the catches (when possible) in due time and appropriate format for scientific evaluation of the stocks.
2. On the basis of the request submitted according to the provisions of paragraph 1 as well as any other relevant information, PECMAC shall recommend to the Commission, if appropriate, whether the status of active co-operating non-Contracting Party may be granted.
- The status may be granted if the non-Contracting Party is able to comply with:
- a. flag State and port State obligations in accordance with relevant international instruments, and
  - b. the NEAFC Recommendations, including this Scheme.
3. The decision to grant the status as active co-operating non-Contracting Party shall be made by the Commission on a year-to-year basis. Co-operating non-Contracting Parties shall pay a fee of 5,500 British pound sterling before the start of the year for which the status has been granted.

## **Article 35 - Communications by Active Co-Operating Non-Contracting Parties**

1. The active co-operating non-Contracting Party shall ensure that its fishing vessels communicate by electronic means to their FMC the reports provided for in Articles 11, 12 and 13.
2. The active co-operating non-Contracting Party shall communicate reports and messages pursuant to Articles 11, 12 and 13 to the Secretary without delay in accordance with the provisions of Article 14.
3. The active co-operating non-Contracting Party shall provide reports to the Secretary in accordance with the provisions of Article 10.
4. The active co-operating non-Contracting Party shall report to the Secretary by 1 March each year for the previous calendar year the number of vessels notified in the NEAFC RA, the number of vessels in operation per month, the number of reports by type provided for in Articles 11, 12 and 13 per month and the number of notifications of entry into port provided for in Article 22.
5. The active co-operating non-Contracting Party shall report to the Secretary by 1 March each year for the previous calendar year the status of the follow-up of infringements in accordance with the provisions of Article 33.

## **Article 36 - Monitoring of Fisheries by Active Co-Operating Non-Contracting Parties**

1. Vessels of an active co-operating non-Contracting Party shall only fish for regulated species if the flag state of the vessels notifies the Secretary by 31 October by registered letter, of its intention to fish on a co-operation quota during the following year. In the notification the active co-operating non-Contracting Party shall give an undertaking to monitor the activities of its vessels and carry out inspections in port and at sea in order to ensure their compliance with the relevant recommendations established under the Convention.

This notification shall also include for all fishing vessels flying the flag of the active co-operating non-Contracting Party concerned that intend to engage in fishing activities in the Regulatory Area the information listed and in the format of Annex II. The active co-operating non-Contracting Party shall notify any modifications to this information without delay.

2. The Secretary shall notify without delay and by the most rapid electronic means available to all Contracting Parties and active co-operating non-Contracting Parties the date on which the accumulated reported catch, the estimated unreported catch, the estimated quantity to be taken before the closure of the fishery and likely by-catches, equal 100 percent of the stock subject to the co-operation quota. Each active co-operating non-Contracting Party concerned shall, within 7 days of the date

of issue of such electronic notification by the Secretary, close its fishery in the Regulatory Area for that stock.

## **Article 37 - Sightings and Identifications of Non-Contracting Party Vessels**

1. Contracting Parties shall transmit to the Secretary without delay any information regarding non-Contracting Party vessels sighted or by other means identified as engaging in fishing activities in the Convention Area. The Secretary shall transmit this information to all Contracting Parties within one business day of receiving this information according to the same procedure, and to the flag state of the sighted vessel as soon as possible.
2. The Contracting Party which sighted the non-Contracting Party vessel shall attempt to inform such a vessel without delay that it has been sighted or by other means identified as engaging in fishing activities in the Convention Area and unless its flag state has been accorded the status of active co-operating non-Contracting Party provided for under Article 34b, is consequently presumed to be undermining the Recommendations established under the Convention.
3. In the case of a non-Contracting Party vessel sighted or by other means identified as engaging in transshipment activities, the presumption of undermining conservation and enforcement measures applies to any other non-Contracting Party vessel that has been identified as having engaged in such activities with that vessel.

## **Article 38 - Inspections at Sea**

1. NEAFC inspectors shall request permission to board and inspect non-Contracting Party vessels sighted or by other means identified by a Contracting Party as engaging in fishing activities in the Convention Area. If the master of the vessel consents to be boarded the inspection shall be documented by completing an inspection report as set out in Annex XIII. The inspectors shall transmit a copy of the inspection report without delay to the Secretary who shall put it on the inspectors' area of the NEAFC website and send a copy to the flag State of the vessel.
2. The master of the non-Contracting Party vessel which is boarded shall be provided with a copy of the inspection report. Where evidence so warrants, a Contracting Party may take such action as may be appropriate in accordance with international law. Contracting Parties are encouraged to examine the appropriateness of domestic measures to exercise jurisdiction over such vessels.
3. If the master does not consent for his vessel to be boarded and inspected or does not fulfil any one of the obligations laid down in Article 19(a) to (e), the vessel shall be presumed to have engaged in IUU activities.



## **Article 38bis Application of FAO Agreement on Port State Measures <sup>2</sup>**

The provisions of the FAO PSMA shall apply mutatis mutandis as a minimum standard for the Port State Control of non-Contracting Party vessels, without prejudice to additional provisions contained in Articles 39 to 46.

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<sup>2</sup> This Article is effective only 30 days upon the ratification, acceptance, approval or accession of the FAO PSMA by all NEAFC Contracting Parties.

## **Article 39 - Entry into Port**

1. Masters of non-Contracting Party vessels intending to call into a port shall notify the competent authorities of the port state in accordance with the provisions of Article 22. The port state shall forward this information without delay to the flag state of the vessel, to relevant Contracting Parties and to the Secretary, who shall put it on the NEAFC website.
2. The port state shall prohibit the entry into its ports of vessels that have not given the required prior notice of entry or provided the information referred to in paragraph 1.
3. Prohibition to enter port shall be communicated without delay by the port State to the master of the vessel or his representative, to the flag State of the vessel, to the relevant Contracting Parties and to the Secretary, who shall put it on the NEAFC website.

## **Article 40 - Inspections in Port**

1. When a non-Contracting Party vessel enters a port of any Contracting Party, it shall be inspected in accordance with the provisions of Article 25 (2) to 25 (6) by authorised Contracting Party officials knowledgeable of Recommendations established under the Convention and shall not be allowed to land or tranship any fish until this inspection has taken place. Each inspection shall be documented by completing an inspection report as provided for in Article 27.
2. Where the master of the vessel has failed to fulfil any one of the obligations set down in Article 19 (a) to (e), the vessel shall be presumed to have engaged in IUU activities.
3. Information on the results of all inspections of non-Contracting Party vessels conducted in the ports of Contracting Parties, and subsequent action, shall immediately be transmitted to the Secretary. The Secretary shall put copies of the inspection reports on the inspectors' area of the NEAFC website without delay. The Secretary shall also send copies of such inspection reports to the flag State of the vessel.

## **Article 41 - Landings, transhipments and use of port**

1. When a non-Contracting Party vessel has entered port, a Contracting Party shall deny that vessel landing, transhipping, processing and packaging of fisheries resources and other port services, including, inter alia, refuelling and resupplying, maintenance and dry docking, if:
  - a. The vessel has been inspected pursuant to Article 40, and the inspection reveals that the vessel has species onboard which are subject to Recommendations established under the Convention unless the master of the vessel provides satisfactory evidence to the competent authorities proving that the fish were caught outside the Regulatory Area or in

- compliance with all relevant Recommendations established under the Convention, or
- b. the flag State of the vessel, or the flag State or States of donor vessels where the vessel has engaged in transshipment operations, does not provide the confirmation in accordance with the provisions of Article 23, or
  - c. the master of the vessel has failed to fulfil any one of the obligations as set down in Article 19 (a) to (e)
  - d. The Contracting Party has received clear evidence that the fisheries resources on board were taken in the waters under the jurisdiction of a Contracting Party in contravention of applicable regulations, or
  - e. The Contracting Party has sufficient proof that the vessel has otherwise been engaged in IUU fishing activities in the Convention Area or in support of such fishing activities.
2. In the case of denial under paragraph 1, a non-Contracting Party vessel shall be prohibited from transshipping in the waters under the jurisdiction of Contracting Parties.
  3. In the case of denial under paragraph 1, a Contracting Party shall communicate its decision to the master of the vessel or to his representative and to the Secretary. The Secretary shall without delay notify the flag State in accordance with Article 44 (1), notify all Contracting Parties, and put this information on the NEAFC website.
  4. A Contracting Party shall withdraw its denial of the use of its port in respect of a vessel only if there is sufficient proof that the grounds on which use was denied were inadequate or erroneous or that such grounds no longer apply.
  5. Where a Contracting Party has withdrawn its denial pursuant to paragraph 4 of this Article, it shall promptly notify those to whom a notification was issued pursuant to paragraph 3 of this Article.

## **Article 42 - Notification of Presumed IUU Activities**

1. The Secretary shall transmit all information received pursuant to Articles 37, 38 and 40 to all Contracting Parties and other relevant Regional Fisheries Management Organisations within one business day of receiving this information, and as soon as possible to the flag state of the vessel identified as being engaged in fishing activities in the Convention Area. Where appropriate, this information shall also be communicated to the State of which the vessel's master is a national.
2. When transmitting the information to the flag state concerned, the Secretary shall, in consultation with the President of the Commission, request that it take measures in accordance with its applicable legislation to ensure that the vessel or vessels in question desist from any activities that undermine the effectiveness of NEAFC Recommendations, including if necessary, the withdrawal of the registration of these vessels or their authorisation to engage in fishing activities.
3. The President shall request the flag state(s) to report back to NEAFC on the results of enquiries and/or on the measures it has taken in respect of the vessel or vessels concerned. The President shall also provide the flag state with a copy of this Scheme, advise of the dates when PECCOE will be considering the composition of the IUU lists

and encourage the flag state to communicate any relevant information to the Secretary in an expeditious manner. The Secretary shall promptly distribute any information received to all Contracting Parties.

## **Article 43 - Reports on IUU Activities**

1. Each Contracting Party shall report to the Secretary by 1 March each year for the previous calendar year:
  - a. the number of inspections of non-Contracting Party vessels it conducted under this Scheme at sea or in its ports, the names of the vessels inspected and their respective flag State, the dates and as appropriate, the ports where the inspection was conducted, and the results of such inspections; and
  - b. where fish are landed or transhipped following an inspection pursuant to this Scheme, the report shall also include the evidence presented pursuant to Article 41.
2. In addition to surveillance reports and information on inspections Contracting Parties may at any time submit to the Secretary any further information, which might be relevant for the identification of non-Contracting Party vessels that might be carrying out IUU fishing activities in the Convention Area.
3. The Secretary shall prepare a report by 15 March each year, for the previous calendar year, based on the reports and information received from the Contracting Parties.

## **Article 44 - IUU Vessel Lists**

1. Unless its flag State has been accorded the status of active co-operating non-Contracting Party provided for under Article 34b, a vessel which has been sighted or by other means identified according to information received pursuant to Articles 37, 38 and 40 as engaging in fishing activities in the Convention Area is presumed to be undermining the effectiveness of Recommendations established under the Convention. The same shall apply in the case of information required under Article 41 not being provided by its flag State. The Secretary shall place such a vessel on a provisional list of IUU vessels ('A' list) and promptly inform its flag State accordingly.
2. A vessel of an active co-operating non-Contracting Party shall immediately be added to the 'A' list by the Secretary if it is revealed that it has failed to establish that the fishing activities took place in compliance with all relevant Recommendations established under the Convention.
3. Each year, on the basis of the reports drawn up pursuant to Article 42(3) and Article 43 as well as any other relevant information the Permanent Committee for Control and Enforcement (PECCOE) shall consider the 'A' list and as appropriate recommend to the Commission that the vessels be removed or transferred to a confirmed IUU list ('B' list).
4. At the same time PECCOE shall undertake a review of the 'B' list and as appropriate recommend to the Commission that vessels are added or removed. PECCOE shall

only recommend that the Commission remove a vessel from either the 'A' or 'B' list if the flag State of the vessel concerned satisfies the Commission that:

- a. it has taken effective action in response to the IUU fishing activities in question, including prosecution and imposition of sanctions of adequate severity, or
- b. it has taken measures to ensure the granting of the right to the vessel to fly its flag will not result in IUU fishing activities, or
- c. the vessel has changed ownership and that the new owner can establish the previous owner no longer has any legal, financial, or real interests in the vessel, or exercises control over it and that the new owner has not participated in IUU fishing, or
- d. the vessel did not take part in IUU fishing activities, or
- e. the vessel only had on board unregulated resources caught in the Regulatory Area at the time it was engaged in the fishing activities which led to its being placed on the IUU list in accordance with 44(1), or
- f. the vessel has sunk, been scrapped, or permanently reassigned for purposes other than for fishing activities.

PECCOE may also recommend that the vessel be removed from the "A" or "B" list if a Contracting Party provides satisfactory evidence that the conditions under f) have been met.

5. The Secretariat shall transmit the IUU B-List and any amendments thereto as well as any relevant information regarding the list, to the Secretariats of other Regional Fisheries Management Organisations listed in paragraph 7.
6. After having been notified by the Regional Fisheries Management Organisations listed in paragraph 7 of vessels that have been confirmed as having been engaged in IUU fisheries, the Secretary shall without delay place those vessels on the NEAFC IUU A-List. The Secretary shall remove the vessels placed on the IUU A or B-List in accordance with this paragraph if the RFMO which originally identified the vessels as having engaged in IUU fishing activity has notified the NEAFC Secretary of their removal from the list. PECCMAC shall regularly review modifications to the NEAFC IUU A and B-List made according to this paragraph and, if necessary, shall amend the NEAFC IUU Lists.
7. The Regional Fisheries Management Organisations referred to in paragraphs 5 and 6 are the following: the Commission for the Conservation of Antarctic Marine Living Resources (CCAMLR), the Commission for the Conservation of Southern Bluefin Tuna (CCSBT), the Inter-American Tropical Tuna Commission (IATTC), the International Commission for the Conservation of Atlantic Tunas (ICCAT), the Indian Ocean Tuna Commission (IOTC), the General Fisheries Commission for the Mediterranean (GFCM), the Northwest Atlantic Fisheries Organization (NAFO), the North Pacific Fisheries Commission (NPFC), the South East Atlantic Fisheries Organisation (SEAFO), Southern Indian Ocean Fisheries Agreement (SIOFA), the South Pacific Regional Fisheries Management Organisation (SPRFMO) and the Western and Central Pacific Fisheries Commission (WCPFC).
8. The Secretary shall place the 'A' and 'B' lists on the NEAFC website without delay.

9. The Secretary shall notify without delay the relevant flag State of the change of status of any of its IUU-listed vessels.

## Article 45 - Follow-up Action

1. Contracting Parties shall take all the necessary measures, under their applicable legislation, in order that vessels appearing on the IUU lists:
  - a. are inspected in accordance with the provisions of Article 40 when they enter their ports;
  - b. are not authorised to land or tranship in their ports or to tranship in the waters under their jurisdiction;
  - c. are not given assistance in any way or allowed to participate in any transshipment or joint fisheries operations by fishing vessels, support vessels, refuel vessels, mother-ships and cargo vessels flying their flag;
  - d. are not supplied with provisions, fuel or other services.

The provisions in b) to d) shall not be applied to vessels appearing on the IUU “A” list where the PECCOE has recommended to the Commission that the vessel should be removed from the “A” list.

2. Further to the measures under paragraph 1 Contracting Parties shall take the following additional measures, under their applicable legislation, with regard to vessels on the ‘B’ list:
  - a. prohibit the entry into their ports of such vessels and communicate such prohibition in accordance with Article 39 (3);
  - b. prohibit the authorisation of such vessels to fish in waters under their national jurisdiction;
  - c. prohibit the chartering of such vessels;
  - d. refuse the granting of their flag to such vessels;
  - e. prohibit the imports of fish coming from such vessels;
  - f. prohibit importers, transporters and other sectors concerned, from transshipping and trading of fish caught by such vessels;
  - g. collect and exchange any appropriate information with other Contracting Parties or cooperating non-Contracting Parties with the aim of detecting, controlling and preventing false import/export certificates regarding fish from such vessels.
3. PECCOE may recommend to the Commission that Contracting Parties be permitted by way of derogation from paragraphs 1 d), 2 a) and 2 d) to supply provisions, fuel and/or other services or grant their flag to a vessel on the IUU list if a Contracting Party provides satisfactory evidence showing that the vessel is destined for scrapping or permanent reassignment for purposes other than for fishing activities.

## **Article 46 - Action vis-à-vis Flag States**

1. Contracting Parties shall jointly and/or individually request non-Contracting Parties whose vessels appear on the IUU lists to co-operate fully with the Commission in order to avoid undermining the effectiveness of the Recommendations that it has adopted.
2. The Commission shall review, at subsequent annual meetings as appropriate, actions taken by such non-Contracting Parties and identify those which have not rectified their fishing activities.
3. The Commission shall decide appropriate measures to be taken in respect of non-Contracting Parties identified under paragraph 1. In this respect, Contracting parties may co-operate to adopt appropriate multilaterally agreed non-discriminatory trade related measures, consistent with the World Trade Organisation (WTO), that may be necessary to prevent, deter, and eliminate the IUU fishing activities identified by the Commission.





## **ANNEXES & APPENDICES**

The requirements set out in the annexes and appendices are common minimum standards. Where data elements are identified as optional (O), any relevant or corresponding Contracting Party measures, stipulating more detailed or stricter requirements, shall apply to the vessels flying the flag of that Party.



# ANNEX I - Regulated Resources

## Annex I A) - Regulated Resources Pelagic and Oceanic Species

Stock (common name)	FAO code	Scientific Name	ICES subareas and divisions
Redfish	REB	Sebastes mentella	I, II, V, XII, XIV
Norwegian Spring Spawning Herring (Atlanto Scandian)	HER	Clupea harengus	I, II
Blue whiting	WHB	Micromesistius poutassou	IIa, IVa, Vb, VI, VII, XII, XIV
Mackerel	MAC	Scomber scombrus	IIa, IV, V, VI, VII, XII
Haddock	HAD	Melanogrammus aeglefinus	VIb

## Annex I B) - Regulated Resources Deep-Sea Species

Regulated Resources Deep-Sea Species			
Stock (common name)	FAO code	ScientificName	ICES subareas
Baird's smooth head	ALC	<i>Alepocehalus bairdii</i>	I to XIV
Risso's smooth head	PHO	<i>Alepocephalus rostratus</i>	I to XIV
Blue antimora (Blue hake)	ANT	<i>Antimora rostrata</i>	I to XIV
Black scabbard fish	BSF	<i>Aphanopus carbo</i>	I to XIV
Iceland catshark	API	<i>Apristurus</i> spp	I to XIV
Argentines	ARG	<i>Argentina</i> spp	I to XIV
Greater argentine	ARU	<i>Argentina silus</i>	I to XIV
Alfonsinos	ALF	<i>Beryx</i> spp.	I to XIV
Tusk	USK	<i>Brosme brosme</i>	I to XIV
Gulper shark	GUP	<i>Centrophorus granulosus</i>	I to XIV
Leafscale gulper shark	GUQ	<i>Centrophorus squamosus</i>	I to XIV
Black dogfish	CFB	<i>Centroscyllium fabricii</i>	I to XIV
Portuguese dogfish	CYO	<i>Centroscymnus coelolepis</i>	I to XIV
Longnose velvet dogfish	CYP	<i>Centroscymnus crepidater</i>	I to XIV
Deep-water red crab	KEF	<i>Chacon (Geyron) affinis</i>	I to XIV
Rabbit fish (Rattail)	CMO	<i>Chimaera monstrosa</i>	I to XIV
Frilled shark	HXC	<i>Chlamydoselachus anguineus</i>	I to XIV
Conger eel	COE	<i>Conger conger</i>	I to XIV
Roundnose grenadier	RNG	<i>Coryphaenoides rupestris</i>	I to XIV
Kitefin shark	SCK	<i>Dalatias licha</i>	I to XIV
Birdbeak dogfish	DCA	<i>Deania calcea</i>	I to XIV
Black (Deep-water) cardinal fish	EPI	<i>Epigonus telescopus</i>	I to XIV
Lantern sharks	SHL	<i>Etmopterus</i> spp	I to XIV
Greater lantern shark	ETR	<i>Etmopterus princeps</i>	I to XIV
Velvet belly	ETX	<i>Etmopterus spinax</i>	I to XIV
Blackmouth dogfish	SHO	<i>Galeus melastomus</i>	I to XIV
Mouse catshark	GAM	<i>Galeus murinus</i>	I to XIV
Bluemouth (Blue mouth redfish)	BRF	<i>Helicolenus dactylopterus</i>	I to XIV
Bluntnose six-gilled shark	SBL	<i>Hexanchus griseus</i>	I to XIV
Orange roughy	ORY	<i>Hoplostethus atlanticus</i>	I to XIV
Silver roughy (Pink)	HPR	<i>Hoplostethus mediterraneus</i>	I to XIV
Large-eyed rabbit fish (Ratfish)	CYH	<i>Hydrolagus mirabilis</i>	I to XIV
Silver scabbard fish (Cutless fish)	SFS	<i>Lepidopus caudatus</i>	I to XIV
Eelpout	ELP	<i>Zoarces viviparus</i>	I to XIV
Greater eelpout	LXK	<i>Lycodes esmarkii</i>	I to XIV
Roughhead grenadier (Rough rattail)	RHG	<i>Marcourus berglax</i>	I to XIV

Regulated Resources Deep-Sea Species			
Stock (common name)	FAO code	ScientificName	ICES subareas
Blueling	BLI	Molva dyptergia	I to XIV
Ling	LIN	Molva molva	I to XIV
Common mora	RIB	Mora moro	I to XIV
Sailfin roughshark (Sharpback shark)	OXN	Oxynotus paradoxus	I to XIV
Red (blackspot) seabream	SBR	Pagellus bogaraveo	I to XIV
Forkbeards	FOX	Phycis spp.	I to XIV
Greater forkbeard	GFB	Phycis blennoides	I to XIV
Wreckfish	WRF	Polyprion americanus	I to XIV
Round skate	RJY	Rajafyllae	I to XIV
Arctic skate	RJG	Raja hyperborean	I to XIV
Norwegian skate	JAD	Rajanidarosius	I to XIV
Greenland halibut	GHL	Rheinhardtius hippoglossoides	I to XIV
Straightnose rabbitfish	RCT	Rhinochimaera atlantica	I to XIV
Knifetooth dogfish	SYR	Scymnodon ringens	I to XIV
Small redfish (Norway haddock)	SFV	Sebastes viviparus	I to XIV
Greenland shark	GSK	Somniosus microcephalus	I to XIV
Spiny (Deep-sea) Scorpionfish	TJX	Trachyscorpia cristulata	I to XIV
Roughsnout grenadier	TSU	Trachyrincus scabrus	I to XIV
Grenadiers	RTX	Macrouridae	I to XIV

## Annex I C) - Regulated Resources Other Species

Regulated Resources Other Species			
Stock (common name)	FAO code	ScientificName	ICES subareas
Porbeagle <sup>1</sup>	POR	Lamna nasus	I to XIV
Spiny dogfish /Spurdog	DGS	Squalus acanthias	I to XIV
Basking Shark <sup>1</sup>	BSK	Cetorhinus maximus	I to XIV

<sup>1</sup>This applies as long as Recommendations on these stocks are in effect



# ANNEX II Notification of Fishing Vessels

## Annex II a) Authorised Vessels 1) Notification

Notification			
Data Element:	Code:	Mandatory /Optional	Remarks:
Start record	SR	M	System detail; indicates start of record
Address	AD	M	Message detail; destination, XNE for NEAFC
From	FR	M	Message detail; 3-alpha country code of the transmitting Contracting Party
Record Number	RN	M	Message detail; message serial number in current year
Record date	RD	M	Message detail; date of transmission
Record time	RT	M	Message detail; time of transmission
Type of Message	TM	M	Message detail; message type, "NOT" as Notification of authorised vessels
Vessel Name	NA	M	Vessel registration detail; name of the vessel
Radio call sign	RC	M	Vessel registration detail; international radio call sign of the vessel
Flag State	FS	M	Vessel registration detail; state where the vessel is registered
Vessel IMO Number	IM	M <sup>4</sup>	Vessel registration detail; IMO Number of the vessel
Internal Reference Number	IR	O <sup>1</sup>	Vessel registration detail. Unique Contracting Party vessel number as flag state 3-alpha country code followed by number
External Registration Number	XR	M <sup>3</sup>	Vessel registration detail; the side number of the vessel
Port Name	PO	O	Vessel registration detail; port of registration or home port
Vessel Owner	VO	M <sup>2</sup>	Vessel registration detail; responsible for using the vessel
Vessel Charterer	VC	M <sup>2</sup>	Vessel registration detail; responsible for using the vessel
Vessel Type	TP	O	Vessel characteristic, FAO vessel code (Appendix 1(A) to this Annex)
Vessel Gear	GE	O	Vessel characteristic, FAO statistical classification of fishing gear (Appendix 2 to this Annex)

<b>Notification</b>			
<b>Data Element:</b>	<b>Code:</b>	<b>Mandatory /Optional</b>	<b>Remarks:</b>
Vessel capacity	VT		Vessel characteristic, vessel capacity in pairs as needed
measurement method		M	"OC" "Oslo" convention 1947, "LC" "London" convention ICTM-69
tonnage		M	Total capacity in tonnage
Vessel Length	VL		Vessel characteristic,; length in meters in pairs as needed
measurement method		M	"OA" overall; "PP" between perpendiculars
Length		M	Length in meters
Vessel Power	VP		Vessel characteristic, engine power in pairs as needed
measurement method		M	"KW" total installed engine power in vessel as kilowatts,"HP" total installed engine power as horsepower
power		M	Total installed engine power
Limited Authorisation	LU	O	Licence detail; authorisation subject to specific restrictions on operation in the R.A., "Y" or "N"
End of record	ER	M	System detail; indicates end of the record

<sup>1</sup>Mandatory when used as single identification in other messages

<sup>2</sup>Whichever one is appropriate

<sup>3</sup>Optional for vessels without external registration number

<sup>4</sup>Mandatory for vessels subject to to IMO Resolution A.1078 (28).



## Annex II a) Authorised Vessels 2) Withdrawal

Withdrawal Message			
Data Element:	Code:	Mandatory / Optional	Remarks:
Start record	SR	M	System detail; indicates start of record
Address	AD	M	Message detail; destination, "XNE" for NEAFC
From	FR	M	Message detail; 3-alpha country code of the transmitting Contracting Party
Record Number	RN	M	Message detail; message serial number in current year
Record date	RD	M	Message detail; date of transmission
Record time	RT	M	Message detail; time of transmission
Type of Message	TM	M	Message detail; message type, "WIT" as Withdrawal of vessels from the list of authorised vessels
Radio call sign	RC	M	Vessel registration detail; international radio call sign of the vessel
Vessel IMO Number	IM	O	Vessel registration detail; IMO Number of the vessel
Internal Reference Number	IR	O	Vessel registration detail. Unique Contracting Party vessel number as flag state 3-alpha country code followed by number
External Registration Number	XR	O	Vessel registration detail; the side number of the vessel
Vessel Name	NA	O	Vessel registration detail; name of the vessel
Start Date	SD	M	Licence detail; the first date as from which the withdrawal takes effect
End of record	ER	M	System detail; indicates end of the record

## Annex II a) Authorised Vessels 3) Limitation

Limitation Message			
Data Element:	Code:	Mandatory / Optional	Remarks:
Start record	SR	M	System detail; indicates start of record
Address	AD	M	
From	FR	M	
Record Number	RN	M	Message detail; message serial number in current year
Record date	RD	M	Message detail; date of transmission
Record time	RT	M	Message detail; time of transmission
Type of Message	TM	M	Message detail; message type, "LIM" as limitation message
Radio call sign	RC	M	Vessel registration detail; international radio call sign of the vessel
Vessel IMO Number	IM	O	Vessel registration detail; IMO Number of the vessel
Internal Reference Number	IR	O	Vessel registration detail. Unique Contracting Party vessel number as flag state 3-alpha country code followed by number
External Registration Number	XR	O	Vessel registration detail; the side number of the vessel
Vessel Name	NA	O	Vessel registration detail; name of the vessel
Start date	SD	M	Licence detail; date on which the limitation starts
End date	ED	M	Licence detail; date on which the limitation ends
Species name	SN	O <sup>1</sup>	Licence detail; the species for which the directed fisheries limitation applies; if species is omitted limitation applies to all species
Relevant Area	RA	O <sup>1</sup>	Licence detail; ICES code for the relevant area for which the limitation applies, if area is omitted the limitation applies to the whole Regulatory Area
End of record	ER	M	System detail; indicates end of the record

<sup>1</sup> Whichever is appropriate

## Annex II b) Authorisation for Regulated Resources 1)

### Authorisation to Fish for Regulated Resources

Authorisation Message			
Data Element:	Code:	Mandatory /Optional	Remarks:
Start record	SR	M	System detail; indicates start of record
Address	AD	M	Message detail; destination, XNE for NEAFC
From	FR	M	Message detail; 3-alpha country code of the transmitting Contracting Party
Record Number	RN	M	Message detail; message serial number in current year
Record date	RD	M	Message detail; date of transmission
Record time	RT	M	Message detail; time of transmission
Type of Message	TM	M	Message detail; message type, "AUT" as Authorisation to fish for regulated resources
Radio call sign	RC	M	Vessel registration detail; International radio call sign of the vessel
Vessel IMO Number	IM	O	Vessel registration detail; IMO Number of the vessel
Internal Reference Number	IR	O	Vessel registration detail. Unique Contracting Party vessel number as flag state 3-alpha country code followed by number
External Registration Number	XR	O	Vessel registration detail; the side number of the vessel
Vessel Name	NA	O	Vessel registration detail; name of the vessel
Date of issue	IS	O	Licence detail; date on which the authorisation is issued
Start date	SD	M	Licence detail; date on which the authorisation starts
End date	ED	M	Licence detail; date on which the authorisation ends
Regulated resources	RR	M	Licence detail; regulated resources separated by a space, for which the authorisation applies; XDS for deep-sea species
End of record	ER	M	System detail; indicates end of the record

## Annex II b) Authorisation for Regulated Resources 2)

### Suspension of the Authorisation to Fish for Regulated Resources

Suspension Message			
Data Element:	Code:	Mandatory /Optional	Remarks:
Start record	SR	M	System detail; indicates start of record
Address	AD	M	Message detail; destination, XNE for NEAFC
From	FR	M	Message detail; 3-alpha country code of the transmitting Contracting Party
Record Number	RN	M	Message detail; message serial number in current year
Record Date	RD	M	Message detail; date of transmission
Record Time	RT	M	Message detail; time of transmission
Type of Message	TM	M	Message detail; message type, "SUS" as suspension of the authorisation to fish for regulated resources
Radio call sign	RC	M	Vessel registration detail; International radio call sign of the vessel
Vessel IMO Number	IM	O	Vessel registration detail; IMO Number of the vessel
Internal Reference Number	IR	O	Vessel registration detail. Unique Contracting Party vessel number as flag state 3-alpha country code followed by number
External Registration Number	XR	O	Vessel registration detail; the side number of the vessel
Vessel Name	NA	O	Vessel registration detail; name of the vessel
Start date	SD	M	Licence detail; date on which the suspension starts
Regulated resources	RR	M	Licence detail; regulated resources, separated by a space, for which the suspension of authorisation apply; XDS for deep-sea species
End of record	ER	M	System detail; indicates end of the record

## Appendix I to Annex II - Fishing Vessel Codes A. Main Fishing Vessel Types

Main Fishing Vessel Types			
FAO Code	Type of vessel	FAO Code	Type of vessel
BO	Protection vessel	NOX	Lift netter NEI
CO	Fish training vessel	PO	Vessel using pumps
DB	Dredger non continuous	SN	Seine netter
DM	Dredger continuous	SO	Seiner
DO	Beamer	SOX	Seiner NEI
DOX	Dredger NEI	SP	Purse seiner
FO	Fish carrier	SPE	Purse seiner European
FX	Fishing vessel NEI	SPT	Tuna purse seiner
GO	Gill netter	TO	Trawler
HOX	Mother ship NEI	TOX	Trawlers NEI
HSF	Factory mother ship	TS	Side trawler
KO	Hospital ship	TSF	Side trawler freezer
LH	Hand liner	TSW	Side trawler wetfish
LL	Long liner	TT	Stern trawler
LO	Liner	TTF	Stern trawler freezer
LP	Pole and line vessel	TTP	Stern trawler factory
LT	Troller	TU	Outrigger trawlers
MO	Multipurpose vessels	WO	Trap setter
MSN	Seiner hand liner	WOP	Pot vessels
MTG	Trawler drifter	WOX	Trap setters NEI
MTS	Trawler purse seiner	ZO	Fish research vessel
NB	Lift netter tender	DRN	Driftnetter
NO	Lift netter		

NEI = Not Elsewhere Identified

## Appendix I to Annex II - Fishing Vessel Codes B. Main Vessel Activities

Alpha Code	Category
ANC	Anchoring
DRI	Drifting
FIS	Fishing
HAU	Hauling
PRO	Processing
STE	Steaming
TRX	Trans-shipping on or off loading
OTH	Others - to be Specified

## Appendix II to Annex II - A) Main Gear Types

Main Gear Types			
FAO Alpha Code	Gear Type	FAO Alpha Code	Gear Type
	Surrounding Nets		<b>Hooks and Lines</b>
PS	With purse lines	LHP	Hand lines
PS1	1 vessel purse seine	LHM	Hand line mechanical
PS2	2 vessels purse seine	LLS	Set line long line
	<b>Seine Nets</b>	LLD	Drifting long line
SSC	Seine Scottish	LL	Long line
	Trawls - Bottom	LTL	Trolling long line
OTB	Bottom otter trawl	LX	Hook and lines
PTB	Bottom pair trawls		<b>Harvesting Machines</b>
TBN	Bottom trawl Nephrop	HMP	Pumps
TBS	Bottom trawl shrimp		
OTT	Otter twin trawl	NIL	No fishing gear to report
	Trawls - Midwater		
OTM	Midwater otter trawl		
PTM	Midwater trawls pair		
	Gillnets and Entangling Nets		
GNS	Gillnet anchored		
GND	Drift nets		
GEN	Gill tangle net (Not specified)		
	<b>Traps</b>		
FPO	Pot		

## Appendix II to Annex II - B) Main Categories of Devices and Attachments of Gear

FAO 3 Alpha Code	Attachment or Device
BSC	Bottom-side chafer
TSC	Top-side chafer
SBG	Strengthening bag
CPP	Chafing or protection piece
CDL	Cod line
LST	Lifting straps
RST	Round straps
FLP	Flapper
SNT	Sieve netting
SRP	Strengthening ropes
TQT	'Torquette'
MLT	Median lacing of a trouser codend
STL	Strengthening lacing
LAR	Lacing rope
FLT	Float
EMD	Electro-mechanical devices
KTE	Kite
SPG	Separation Grids
SMP	Square mesh panel
CSS	Codend sensu stricto
OTH	Others to be specified





## **ANNEX III - Vessel Documents**

Each Contracting Party shall ensure that each of its fishing vessels shall carry onboard documents issued by the competent authority of that Contracting Party showing at least the following data elements as identified in Annex II:

- its name;
- the letter(s) of the port or district in which it is registered, and the number(s) under which it is registered;
- its international radio call sign;
- its IMO Number if subject to IMO Resolution A.1078 (28);
- the names and addresses of the owner and, where relevant, the charterer;
- its overall length;
- engine power, in kW/horsepower, where available.



# ANNEX IV Recording of Catch and Fishing Effort

## Annex IV a) Log Book Recordings

Log Book recordings			
Data Element:	Field code	Mandatory/Optional	Remarks:
1. Vessel identity <sup>1</sup>			
Radio call sign	RC	M	Vessel registration detail; international radio call sign
Vessel name	NA	O	Vessel registration detail; name of the vessel
Contracting Party Internal reference number	IR	O	Vessel registration detail; unique Contracting Party vessel number as flag State 3-alpha country code followed by number
Vessel external registration number	XR	O	Vessel registration detail; the side number of the vessel or IMO number in the absence of a side number
2. Information on entry into the Regulatory Area			
Date	DA	M	Activity detail; date of entry into the Regulatory Area
Time of entry	TI	M	Activity detail; time of entry into the Regulatory Area
Location			Activity detail; position of entry in R.A.
Latitude	LA	M	position at the time of entry
Longitude	LO	M	position at the time of entry
Quantity on board	OB		Activity detail; quantity on board by species
Species name <sup>2</sup>		M	FAO species code for species listed in Annex V
Quantity <sup>2</sup>		M	Live weight in kilogrammes
3A. Catches per haul or fishing operation			
Fishing location			Activity detail; position
Latitude	LA	M <sup>3</sup>	Position when the fishing operation starts
Longitude	LO	M <sup>3</sup>	Position when the fishing operation starts
Fishing depth	FD	M <sup>4</sup>	Distance from water surface to the lowest part of the fishing gear (in metres)

Log Book recordings			
Data Element:	Field code	Mandatory/Optional	Remarks:
Time	TI	M <sup>3</sup>	Activity detail; time when the fishing operation starts
Catch	CA		Activity detail; catch retained on board per fishing operation by species
Species <sup>2</sup>		M <sup>3</sup>	FAO species code for species listed in Annex V
Quantity <sup>2</sup>		M <sup>3</sup>	Live weight in kilogrammes
3B. Daily information			
Date	DA	M <sup>3</sup>	Activity detail; date of catch
Fishing area	RA	M <sup>3</sup>	Activity detail; fishing area (ICES statistical rectangle)
Daily catch	CD		Activity detail; the total catch retained on board by species of the number of fishing operations per 24 hours period
Species <sup>2</sup>		M <sup>3</sup>	FAO species code for species listed in Annex V
Quantity <sup>2</sup>		M <sup>3</sup>	Live weight in kilogrammes
Type of gear used	GE	M	Activity detail; FAO standard statistical classification of fishing gear (Appendix 2 to Annex II)
Total number of hauls/fishing operations during the day	FO	M <sup>3</sup>	Activity detail; number of fishing operations per 24 hours period
Catch discarded	RJ		Activity detail; quantity caught and discarded by species
Species		O	FAO species code
Quantity		O	Live weight in kilogrammes
Cumulative Catch	CC		Activity detail; the estimated cumulative catch since the entry into the Regulatory Area by species.
Species <sup>2</sup>		M	FAO species code for species listed in Annex V
Quantity <sup>2</sup>		M	Live weight in kilogrammes
4. Information on transshipments			
Date	DA	M	Activity detail; date(s) of transshipments
Transshipments	KG		Activity detail; quantities by species on-loaded and off-loaded in the R.A.
Species <sup>2</sup>		M	FAO species code for species listed in Annex V
Quantity <sup>2</sup>		M	Live weight in kilogrammes
Transhipped to	TT	M	Vessel registration detail; Radio call sign of receiving vessel

Log Book recordings			
Data Element:	Field code	Mandatory/Optional	Remarks:
Transhipped from	TF	M	Vessel registration detail; Radio call sign of donor vessel
5. Information on report transmissions			
Date	DA	M	Message detail; date of transmission of a report
Time	TI	M	Message detail; time of transmission of a report (UTC)
Transmission used	TU	M <sup>5</sup>	Message detail; name of radio station through which the report is transmitted
Type of report	TM	M	Message detail; see Annex IX(E)
6. Information on exit from the Regulatory Area			
Time	TI	M	Activity detail; time of exit (UTC)
Date	DA	M	Activity detail; date of exit
Position			Activity detail; position of exit from the R.A.
Latitude	LA	M	position at the time of exit
Longitude	LO	M	position at the time of exit
Cumulative Catch on board	OB		Activity detail; cumulative catches retained on board by species
Species <sup>2</sup>		M	FAO species code for species listed in Annex V
Quantity <sup>2</sup>		M	Live weight in kilogrammes
Masters name and signature	MA	M	

<sup>1</sup> One element of vessel identity in addition to Radio Call sign is mandatory

<sup>2</sup> Each species where catches exceed 50 kg shall be recorded

<sup>3</sup> Each Contracting Party shall ensure that its fishing vessels shall record this information on a daily basis, or per haul, or both

<sup>4</sup> Mandatory where required by specific management measures.

<sup>5</sup> Only mandatory if radio station is used.

## Annex IV b) - Production Log Book Recording

Production Logbook Recording			
Data Element:	Field code	Mandatory /Optional	Remarks:
1. Vessel identity <sup>1</sup>			
Radio call sign	RC	M	Vessel registration detail; international radio call sign
Vessel name	NA	O	Vessel registration detail; name of the vessel
Contracting Party Internal reference number	IR	O	Vessel registration detail; unique Contracting Party vessel number as flag state 3-alpha country code followed by number
Vessel external registration number	XR	O	Vessel registration detail; the side number of the vessel or IMO number in the absence of a side number
2. Information on production			
Date	DA	M	Activity detail; date of production
Quantity produced	QP		Activity detail; quantity produced by species per day
Species name		M	FAO species code
Quantity		M	Total product weight in kilogrammes
Product form		M	Product form code (Appendix 1 to Annex IV)
Quantity		M	Product weight in kilogrammes
			Product form code and weight of the product: use as many pairs as needed to cover all products
Cumulative production of the period	AP		Activity detail; total quantity produced since the entry into the Regulatory Area by species
Species name		M	FAO species code
Quantity		M	Total product weight in kilogrammes
Product form		M	Product form code (Appendix 1 to Annex IV)

Production Logbook Recording			
Data Element:	Field code	Mandatory /Optional	Remarks:
Quantity		M	Product weight of the product in kilogrammes  Product form code and weight of the product: use as many pairs as needed to cover all products
3. Information on packing or container			
Species name	SN	O	Activity detail; FAO species code
Product code	PR	O	Activity detail; product code Appendix 1 to Annex IV
Type of packing or container	TY	O	Activity detail; type of packing or container Appendix 1 to Annex IV
Unit weight	NE	O	Activity detail; net product weight in kilogrammes
Number of units	NU	O	Activity detail; number of units packed
4. Masters name and address	MA	M	

<sup>1</sup> One element of vessel identity in addition to Radio Call sign is mandatory

## Annex IV c) Stowage Plan

1. Processed catches must be stowed and marked in such a way that the same species and product categories and quantities can be identified when stowed in different parts in the hold.
2. A stowage plan must show the location of the products in the holds as well as the quantities of the products on board stated in kg.
3. The stowage plan shall be updated every day for the preceding day reckoned from 0000 hrs (UTC) until 2400 hrs (UTC).

## Appendix 1a) to Annex IV - Product Form Codes

<b>3-Alpha</b>	<b>Presentation</b>	<b>Description</b>
CBF	Cod butterfly (escalado)	HEA with skin on, spine on, tail on
CLA	Claws	Claws only
DWT	ICCAT code	Gilled, gutted, part of head off, fins off
FIA	Filleted without skin, without belly	FIS without belly
FIL	Filleted	HEA + GUT + TLD + bones off Each fish originates two fillets
FIS	Filleted and skinned fillets	FIL+SKI Each fish originates two fillets not joined by any part
FMF	Fish meal	Fish meal from whole fish
FSB	Filleted with skin and bones	Filleted with skin and bones on
FSP	Filleted skinned with pinbone	Filleted with skin removed and pinbone on
GHT	Gutted headed and tailed	GUH+TLD
GUG	Gutted and gilled	Guts and gills removed
GUH	Gutted and headed	Guts and head removed
GUL	Gutted liver in	GUT without removing liver parts
GUS	Gutted headed and skinned	GUH+SKI
GUT	Gutted	All guts removed
HEA	Headed	Heads off
HED	Heads	Heads only
HET	Headed and tailed	Heads and tails off
JAP	Japanese cut	Transversal cut removing all parts from head to belly
JAT	Tailed Japanese cut	Japanese cut with tail removed
LAP	Lappen	Double fillet, HEA, skin + tails + fins ON
LGS	Leg section	Legs in section (crab)
LVR	Liver	Liver only, In case of collective presentation* use code LVR-C
OTH	Other	Any other presentation
ROE	Roe (s)	Roe(s) only In case of collective presentation* use code ROE-C
SAD	Salted dry	Headed with skin on, spine on, tail on and salted dry
SAL	Salted wet light	CBF + salted
SGH	Salted, gutted and headed	GUH + salted
SGT	Salted gutted	GUT+salted
SKI	Skinned	Skin off
SUR	Surimi	Surimi
TAL	Tail	Tails only



<b>3- Alpha</b>	<b>Presentation</b>	<b>Description</b>
TLD	Tailed	Tail off
TNG	Tongue	Tongue only. In case of collective presentation* use code TNG-C
TUB	Tube only	Tube only (Squid)
WHL	Whole	No processing
WNG	Wings	Wings only

## Appendix 1b) to Annex IV Type of Packing and Type of Container

Code	Type of Packing
CRT	Cartons
BOX	Boxes
BGS	Bags
BLC	Blocks
BUL	Bulk
Code	Type of Container
CNT	Containers
CSW	Chilled Sea Water Tanks
FOO	Fish Oil Other
FOT	Fish Oil Tank
RSW	Refrigerated Sea Water Tanks
TNK	Tank

## Appendix 1c) to Annex IV Type of Processing

Code	Type
FRZ	Frozen
FRE	Fresh
OTH	Any other processing

## ANNEX V - Species List

Species list		
FAO 3-Alpha code	English Common Name	Scientific Name
ALC	Bairds slickhead	<i>Alepocephalus bairdii</i>
ALF	Alfonsinos	Beryxspp.
ANT	Blue antimora (Blue hake)	Antimora rostrata
API	Iceland catshark	Apristuris spp
ARG	Argentines	Argentina spp.
ARU	Greater argentine	Argentina silus
BFT	Atlantic bluefin tuna	Thunnus thynnus
BLI	Blue ling	<i>Molva dypterygia</i>
BLL	Brill	<i>Scophthalmus rhombus</i>
BOR	Boarfishes nei	<i>Caproidae</i>
BRF	Blackbelly rosefish	Helicolenus dactylopterus
BSF	Black scabbard	Aphanopus carbo
BSH	Blue shark	Prionace glauca
BSK	Basking shark	Cetorhinus maximus
BSS	Seabass	Dicentrarchus labrax
CAA	Atlantic wolffish	<i>Anarhichas lupus</i>
CAB	Northern wolffish	<i>Anarhichas denticulatus</i>
CAP	Capelin	Mallotus villosus
CAS	Spotted wolffish	Anarhichas minor
CAT	Wolffish	Anarhichasspp.
CFB	Black dogfish	Centroscyllium fabricii
CMO	Rabbit fish (Rattail)	Chimaera monstrosa
COD	Atlantic Cod	Gadus morhua
COE	European conger	Conger conger
CRE	Edible crab	<i>Cancer pagurus</i>
CRQ	Queen crab	<i>Chionoecetes opilio</i>
CYH	Large- eyed rabbit fish (Ratfish)	Hydrolagus mirabilis
CYO	Portuguese dogfish	Centrosymnus coelolepis
CYP	Longnose velvet dogfish	Centrosymnus crepidater
DAB	Common dab	<i>Limanda limanda</i>
DCA	Birdbeak dogfish	Deania calceus
DGS	Spurdog	Squalus acanthias
ELP	Eelpout	<i>Zoarces viviparus</i>
EPI	Black (Deep-water) cardinal fish	Epigonus telescopus
ETR	Greater lantern shark	Etmopterus princeps
ETX	Velvet belly	Etmopterus spinax
FLE	European flounder	<i>Platichthys flesus</i>
FOR	Forkbeard (Forkhead)	Phycis phycis
FOX	Forkbeards	Phycis spp

Species list		
FAO 3-Alpha code	English Common Name	Scientific Name
GAM	Mouse catshark	<i>Galeus murinus</i>
GDG	Silvery pout	<i>Gadiculus argenteus</i>
GFB	Greater forkbeard	<i>Phycis blennoides</i>
GHL	Greenland halibut	<i>Reinhardtius hippoglossoides</i>
GSK	Greenland shark	<i>Somniosus microcephalus</i>
GUG	Grey gurnard	<i>Eutrigla gurnardus</i>
GUP	Gulper shark	<i>Centrophorus granulosus</i>
GUQ	Leafscale gulper shark	<i>Centrophorus squamosus</i>
HAD	Atlantic Haddock	<i>Melanogrammus aeglefinus</i>
HAL	Atlantic halibut	<i>Hippoglossus hippoglossus</i>
HER	Atlantic herring	<i>Clupea harengus</i>
HKE	European hake	<i>Merluccius merluccius</i>
HKS	Silver Hake	<i>Merluccius bilinearis</i>
HKW	White Hake	<i>Urophycis tenuis</i>
HOM	Atlantic horse mackerel	<i>Trachurus trachurus</i>
HPR	Silver roughy (Pink)	<i>Hoplostethus mediterraneus</i>
HXC	Frilled shark	<i>Chlamydoselachus anguineus</i>
JAD	Norwegian skate	<i>Raja nidarosiensis</i>
JOD	John dory	<i>Zeus faber</i>
KCD	Red king crab	<i>Paralithodes camtschaticus</i>
KEF	Deep-water red crab	<i>Chaceon (Geyron) affinis</i>
LBE	European lobster	<i>Homarus gammarus</i>
LEM	Lemon sole	<i>Microstomus kitt</i>
LIN	Ling	<i>Molva molva</i>
LUM	Lumpfish	<i>Cyclopterus lumpus</i>
LXK	Greater eelpout	<i>Lycodes esmarkii</i>
MAC	Atlantic mackerel	<i>Scomber scombrus</i>
MEG	Megrim	<i>Lepidorhombus whiffiagonis</i>
MON	Angler (Monk)	<i>Lophius piscatorius</i>
MOR	Moras	<i>Moridae</i>
NEP	Norway lobster	<i>Nephrops norvegicus</i>
NOP	Norway Pout	<i>Trisopterus esmarkii</i>
ORY	Orange roughy	<i>Hoplostethus atlanticus</i>
OXN	Sailfin roughshark (Sharpback shark)	<i>Oxynotus paradoxus</i>
PHO	Risso's smoothhead	<i>Alepocephalus rostratus</i>
PLA	American plaice	<i>Hippoglossoides platessoides</i>
PLE	European plaice	<i>Pleuronectes platessa</i>
POC	Polar cod	<i>Boreogadus saida</i>
POK	Saithe (Pollock)	<i>Pollachius virens</i>
POL	Pollack	<i>Pollachius pollachius</i>
POR	Porbeagle	<i>Lamna nasus</i>
PRA	Northern prawn	<i>Pandalus borealis</i>

Species list		
FAO 3-Alpha code	English Common Name	Scientific Name
RAJ	Raies and skates nei	Rajidae
RCT	Straightnose rabbitfish	Rhinochimaera atlantica
REB	Beaked redfish	Sebastes mentella
RED	Redfish (unspecified)	Sebastesspp.
REG	Golden redfish	Sebastes marinus
RHG	Roughhead grenadier	Macrourus berglax
RIB	Common mora	Mora moro
RJG	Arctic skate	Raja hyperborea
RJY	Round skate	Raja fyllae
RNG	Roundnose grenadier	Coryphaenoides rupestris
RTX	Grenadiers	<i>Macrouridae</i>
SAN	Sandeels(=Sandlances) nei	<i>Ammodytes spp.</i>
SBL	Blondnose six-gilled shark	Hexanchus griseus
SBR	Red seabream	Pagellus bogaraveo
SCK	Kitefin shark	Dalatias licha
SFS	Silver scabbard	Lepidopus caudatus
SFV	Small redfish (Norway haddock)	Sebastes viviparus
SHL	Lantern sharks	Etmopterus spp
SHO	Blackmouth dogfish	Galeus melastomus
SKA	Skates	<i>Rajaspp.</i>
SKH	Sharks	<i>Selachimorpha</i>
SOL	Common sole	<i>Solea solea</i>
SPR	European sprat	<i>Sprattus sprattus</i>
SQC	Common squids nei	Loligospp.
SQE	European flying squid	<i>Todarodes sagittatus</i>
SRX	Rays, stingrays, mantas nei	Rajiformes
SYR	Knifetooth dogfish	Scymnodon ringens
TJX	Spiny (Deep-sea) scorpionfish	Trachyscorpia cristulata
TSU	Roughsnout grenadier	<i>Trachyrincus scabrus</i>
TUR	Turbot	<i>Psetta maxima</i>
TVK	Red cucumber	Parastichopus tremulus
USK	Tusk	Brosme brosme
WHB	Blue whiting	Micromesistius poutassou
WHG	Whiting	<i>Merlingius merlangus</i>
WIT	Witch flounder	<i>Glyptocephalus cynoglossus</i>
WRF	Wreckfish	Polyprion americanus
YEL	Yellowtail Flounder	<i>Limanda ferruginea</i>



## **ANNEX VI Reporting of Aggregate Catch and Fishing Effort**

(This Annex was repealed and replaced by Recommendation 2, 2011: Monthly Statistics)

### **Annex VI a) “REPORT” concerning catches taken in the Regulatory area**

(replaced by Recommendation 2, 2011: Monthly Statistics)

### **Annex VI b) “JURISDICTION” report**

(replaced by Recommendation 2, 2011: Monthly Statistics)





## ANNEX VII - VMS and EEZ Delimitation

### Annex VII a) VMS

1. Each Contracting Party of the vessel shall establish and operate fishing monitoring centres, hereinafter referred to as FMCs, which shall monitor the fishing activities of vessels flying their flags. The FMC shall be operational no later than 1 January 2000 and shall be equipped with computer hardware and software enabling automatic data processing and electronic data transmission. Each Contracting Party shall provide for back-up and recovery procedures in case of system failures.
2. The Contracting Party of the vessel shall take the necessary measures to ensure that the data received from its fishing vessels to which VMS applies are recorded in computer readable form for a period of three years.
3. The satellite tracking devices installed on board the fishing vessels shall ensure the automatic transmission to the fisheries monitoring centre of the flag Contracting Party, at all applicable times, messages relating to the data prescribed in Article 11(1)(b).
4. Each Contracting Party shall take the necessary measures to ensure that its FMC receives through the VMS, at least the mandatory information requested in Article 11(1)(b). The Contracting Parties concerned shall take the necessary measures to ensure that the NEAFC Secretary receives the position of the vessel in real time upon entering into or exiting from the Regulatory Area and at least once every hour when operating in the NEAFC Regulatory Area. Reports shall be in accordance with the format set out in Annex IX(D)(1)

## Annex VII b) EEZ Delimitation

Any changes to the coordinates used for the database defined in Article 11.5 shall be:

- Identified to the Secretary as changes pursuant to Article 11.5, with the number of points separately confirmed and a contact person identified for verification of resulting mapping;
- Submitted in decimal degrees and in the WGS84 datum, in an electronic version suitable for import directly into Geographic Information System (GIS) software, without the need for manual intervention;
- Latitude positive North Longitude positive East and plus sign (+) can be skipped for positive numbers. According to the example below:

Latitude	Longitude
----------	-----------

+DD.ddddd <space> (+/-)DDD.ddddd

Example:

Latitude	Longitude
55.28332	-016.16666
55.56665	-015.01944

The Secretary shall examine the resultant map and ask the Contracting Party contact person to help resolve any problems noted.

Once the coordinates are finalised, changes to the database shall be made without delay.

# ANNEX VIII Communication of Catches, VMS Messages and Reports by Fishing Vessels

## Annex VIII 1) “CATCH ON ENTRY” Report

Format Specification when sending reports from FMC to NEAFC (XNE).

Also Annex IX A) Data Transmission Format and B) Data Communication Systems Annex IX C1) Format for Electronic Exchange of Fisheries Monitoring, Inspection and Surveillance Information Annex IX D 1) Structure of Reports and Messages as laid down in Annex VIII.

<b>Catch on Entry (COE) report</b>			
<b>Data Element:</b>	<b>Field Code:</b>	<b>Mandatory /Optional</b>	<b>Remarks:</b>
Start record	SR	M	System detail; indicates start of record
Address	AD	M	Message detail; destination, XNE for NEAFC
Sequence Number	SQ	M	Message detail; Unique serial number starting at 1 each year for messages sent from vessel to final destination (XNE) (See also Annex IX C1).
Type of Message	TM	M	Message detail; message type, COE as Catch on Entry report
Radio call sign	RC	M	Vessel registration detail; international radio call sign of the vessel
Trip Number	TN	O	Activity detail; fishing trip serial number in current year
Vessel Name	NA	O	Vessel registration detail; name of the vessel
Contracting Party	IR	O	Vessel registration detail. Unique Contracting Party vessel number as flag state 3-alpha country code followed by number
Internal Reference Number			
External Registration Number	XR	O	Vessel registration detail; the side number of the vessel or IMO number in the absence of a side number.
Latitude	LA	M	Activity detail; position at time of transmission
Longitude	LO	M	Activity detail; position at time of transmission
Quantity on board	OB		Activity detail; quantity by species on board, in pairs as needed.
species		M	FAO species code

<b>Catch on Entry (COE) report</b>			
<b>Data Element:</b>	<b>Field Code:</b>	<b>Mandatory /Optional</b>	<b>Remarks:</b>
live weight		M	Live weight in kilograms, rounded to the nearest 100 kilograms
Date	DA	M	Message detail; UTC date of transmission from vessel
Time	TI	M	Message detail; UTC time of transmission from vessel
End of record	ER	M	System detail; indicates end of the record

## Annex VIII 2) “CATCH” Report

Format Specification when sending reports from FMC to NEAFC (XNE).

See Also Annex IX A) Data Transmission Format and B) Data Communication Systems Annex IX C1) Format for Electronic Exchange of Fisheries Monitoring, Inspection and Surveillance Information Annex IX D 1) Structure of Reports and Messages as laid down in Annex VIII.

<b>Catch (CAT) report</b>			
<b>Data Element:</b>	<b>Field Code:</b>	<b>Mandatory /Optional</b>	<b>Remarks:</b>
Start record	SR	M	System detail; indicates start of record
Address	AD	M	Message detail; destination, XNE for NEAFC
Sequence Number	SQ	M	Message detail; Unique serial number starting at 1 each year for messages sent from vessel to final destination (XNE) (See also Annex IX C1).
Type of Message	TM	M	Message detail; message type, CAT as Catch report
Radio call sign	RC	M	Vessel registration detail; international radio call sign of the vessel
Trip Number	TN	O	Activity detail; fishing trip serial number in current year
Vessel Name	NA	O	Vessel registration detail; name of the vessel
Contracting Party Internal Reference Number	IR	O	Vessel registration detail; unique Contracting Party vessel number as flag state 3-alpha country code followed by number
External Registration Number	XR	O	Vessel registration detail; the side number of the vessel or IMO number in the absence of a side number
Latitude	LA	M <sup>1</sup>	Activity detail; position at time of transmission
Longitude	LO	M <sup>1</sup>	Activity detail; position at time of transmission
Daily Catches <sup>2</sup>	CA		Activity detail; cumulative catch by species retained on board, either since commencement of fishing in R.A. <sup>3</sup> or last Catch report, in pairs as needed.
species		M	FAO species code
live weight		M	Live weight in kilograms, rounded to the nearest 100 kilograms
Days Fished	DF	M	Activity detail; number of fishing days in the Regulatory Area since commencement of fishing or last Catch report
Relevant Area	RA	O <sup>4</sup>	Code for the relevant fishing area

<b>Catch (CAT) report</b>			
<b>Data Element:</b>	<b>Field Code:</b>	<b>Mandatory /Optional</b>	<b>Remarks:</b>
Date	DA	M	Message detail; UTC date of transmission from vessel
Time	TI	M	Message detail; UTC time of transmission from vessel
End of record	ER	M	System detail; indicates end of the record

<sup>1</sup>Optional if a vessel is subject to satellite tracking in accordance with Article 11(1) (a).

<sup>2</sup>EU objected to an amendment to the Scheme to require daily reporting of catches and so is not bound by the amendment. EU remains bound by the previous text which reads as below;

Weekly Catches	CA		Activity detail; cumulative catch by species retained on board, either since commencement of fishing in R.A. <sup>3</sup> or last Catch report, in pairs as needed.
species		M	FAO species code
live weight		M	Live weight in kilograms, rounded to the nearest 100 kilograms

<sup>3</sup>Meaning the first Catch Report in the current fishing trip in the R.A.

<sup>4</sup>Mandatory for fisheries where management measures require it

## Annex VIII 3) “CATCH ON EXIT” Report

Format Specification when sending reports from FMC to NEAFC (XNE).

See Also Annex IX A) Data Transmission Format and B) Data Communication Systems Annex IX C1) Format for Electronic Exchange of Fisheries Monitoring, Inspection and Surveillance Information Annex IX D 1) Structure of Reports and Messages as laid down in Annex VIII

<b>Catch on Exit (COX) Report</b>			
<b>Data Element:</b>	<b>Field Code:</b>	<b>Mandatory /Optional</b>	<b>Remarks:</b>
Start record	SR	M	System detail; indicates start of record
Address	AD	M	Message detail; destination, "XNE" for NEAFC
Sequence Number	SQ	M	Message detail; Unique serial number starting at 1 each year for messages sent from vessel to final destination (XNE)(See also Annex IX C1).
Type of Message	TM	M	Message detail; "COX" as Catch on Exit report
Radio call sign	RC	M	Vessel registration detail; international radio call sign of the vessel
Trip Number	TN	O	Activity detail; fishing trip serial number in current year
Vessel Name	NA	O	Vessel registration detail; name of the vessel
Contracting Party Internal Reference Number	IR	O	Vessel registration detail. Unique Contracting Party vessel number as flag state 3-alpha country code followed by number
External Registration Number	XR	O	Vessel registration detail; the side number of the vessel or IMO number in the absence of a side number
Latitude	LA	M <sup>1</sup>	Activity detail; position at time of transmission
Longitude	LO	M <sup>1</sup>	Activity detail; position at time of transmission
Daily Catch <sup>2</sup>	CA		Activity detail; Cumulative catch retained on board by species, either since commencement of fishing in the R.A. <sup>3</sup> or last "Catch" report, in pairs as needed.
species		M	FAO species code
live weight		M	Live weight in kilograms, rounded to the nearest 100 kilograms
Days Fished	DF	M	Activity detail; number of fishing days in the Regulatory Area either since commencement of fishing or last "Catch" report
Relevant Area	RA	O <sup>4</sup>	Code for the relevant fishing area

<b>Catch on Exit (COX) Report</b>			
<b>Data Element:</b>	<b>Field Code:</b>	<b>Mandatory /Optional</b>	<b>Remarks:</b>
Date	DA	M	Message detail; UTC date of transmission from vessel
Time	TI	M	Message detail; UTC time of transmission from vessel
End of record	ER	M	System detail; indicates end of the record

<sup>1</sup>Optional if a vessel is subject to satellite tracking in accordance with Article 11(1) (a).

<sup>2</sup>EU objected to an amendment to the Scheme to require daily reporting of catches and so is not bound by the amendment. EU remains bound by the previous text which reads as below;

Weekly Catches	CA		Activity detail; cumulative catch by species retained on board, either since commencement of fishing in R.A. <sup>3</sup> or last Catch report, in pairs as needed.
species		M	FAO species code
live weight		M	Live weight in kilograms, rounded to the nearest 100 kilograms

<sup>3</sup>Meaning the first Catch Report in the current fishing trip in the R.A. <sup>4</sup>Mandatory for fisheries where management measures require it



## Annex VIII 4) “TRANSHIPMENT” Report

Format Specification when sending reports from FMC to NEAFC (XNE).

See Also Annex IX A) Data Transmission Format and B) Data Communication Systems Annex IX C1) Format for Electronic Exchange of Fisheries Monitoring, Inspection and Surveillance Information Annex IX D 1) Structure of Reports and Messages as laid down in Annex VIII

<b>Transshipment (TRA) report</b>			
<b>Data Element:</b>	<b>Field Code:</b>	<b>Mandatory /Optional</b>	<b>Remarks:</b>
Start record	SR	M	System detail; indicates start of record
Address	AD	M	Message detail; destination, "XNE" for NEAFC
Sequence Number	SQ	M	Message detail; Unique serial number starting at 1 each year for messages sent from vessel to final destination (XNE) (See also Annex IX C1).
Type of Message	TM	M	Message detail; message type, "TRA" as Transshipment report
Radio call sign	RC	M	Vessel registration detail; international radio call sign of the vessel
Trip Number	TN	O	Activity detail; fishing trip serial number in current year
Vessel Name	NA	O	Vessel registration detail; name of the vessel
Contracting Party Internal Reference Number	IR	O	Vessel registration detail. Unique Contracting Party vessel number as flag state 3-alpha country code code followed by number
External Registration Number	XR	O	Vessel registration detail; the side number of the vessel or IMO number in the absence of a side number
Quantity on-loaded or off-loaded	KG		Quantity by species on-loaded or off-loaded in the R.A., in pairs as needed.
species		M	FAO species code
live weight		M	Live weight in kilograms, rounded to the nearest 100 kilograms,
Transhipped To	TT	M <sup>1</sup>	Vessel registration detail; International radio call sign of the receiving vessel
Transhipped From	TF	M <sup>1</sup>	Vessel registration detail; International radio call sign of the donor vessel
Latitude	LA	M <sup>2</sup>	Activity detail; estimated latitude where the master intends to do the transshipment.

<b>Transshipment (TRA) report</b>			
<b>Data Element:</b>	<b>Field Code:</b>	<b>Mandatory /Optional</b>	<b>Remarks:</b>
Longitude	LO	M <sup>2</sup>	Activity detail; estimated longitude where the master intends to do the transshipment.
Predicted Date	PD	M <sup>2</sup>	Activity detail; estimated date UTC when the master intends to do the transshipment (YYYYMMDD)
Predicted Time	PT	M <sup>2</sup>	Activity detail; estimated time UTC when the master intends to do the transshipment (HHMM)
Date	DA	M	Message detail; UTC date of transmission from vessel
Time	TI	M	Message detail; UTC time of transmission from vessel
End of record	ER	M	System detail; indicates end of the record

<sup>1</sup>Whichever one is appropriate

<sup>2</sup>Optional for reports sent by the receiving vessel after the transshipment.

## Annex VIII 5) “POSITION” Report/Message

Format Specification when sending reports from FMC to NEAFC (XNE).

See Also Annex IX A) Data Transmission Format and B) Data Communication Systems Annex IX C1) Format for Electronic Exchange of Fisheries Monitoring, Inspection and Surveillance Information Annex IX D 1) Structure of Reports and Messages as laid down in Annex VIII.

<b>Position (POS) report</b>			
<b>Data Element:</b>	<b>Field Code:</b>	<b>Mandatory/ Optional</b>	<b>Remarks:</b>
Start record	SR	M	System detail; indicates start of record
Address	AD	M	Message detail; destination; “XNE” for NEAFC
Sequence Number	SQ	M <sup>1</sup>	Message detail; Unique serial number starting at 1 each year for messages sent from vessel to final destination (XNE) (See also Annex IX C1).
Type of Message	TM <sup>2</sup>	M	Message detail; message type, “POS” as Position report/message to be communicated by VMS or other means by vessels with a defective satellite tracking device
Radio call sign	RC	M	Vessel registration detail; international radio call sign of the vessel
Trip Number	TN	O	Activity detail; fishing trip serial number in current year
Vessel Name	NA	O	Vessel registration detail; name of the vessel
Contracting Party Internal Reference Number	IR	O	Vessel registration detail. Unique Contracting Party vessel number as flag state 3-alpha country code followed by number
External Registration Number	XR	O	Vessel registration detail; the side number of the vessel or IMO number in the absence of a side number
Latitude	LA	M <sup>3</sup>	Activity detail; position at time of transmission
Longitude	LO	M <sup>3</sup>	Activity detail; position at time of transmission
Latitude (decimal)	LT	M <sup>4</sup>	Activity detail; position at time of transmission
Longitude (decimal)	LG	M <sup>4</sup>	Activity detail; position at time of transmission
Speed	SP	M	Activity detail; speed of the vessel
Course	CO	M	Activity detail; heading of the vessel
Flag State	FS	M <sup>5</sup>	Activity Detail; flag-state of the vessel
Date	DA	M	Message detail; UTC date of the fixing of the position transmitted from the vessel

Position (POS) report			
Data Element:	Field Code:	Mandatory/Optional	Remarks:
Time	TI	M	Message detail; UTC time of the fixing of the position transmitted from the vessel
End of record	ER	M	System detail; indicates end of the record

<sup>1</sup>Optional in case of a VMS message

<sup>2</sup>Type of message shall be “**ENT**” for the first VMS message from the Regulatory Area as detected by the FMC of the Contracting Party. Type of message shall be “**EXI**” for the first VMS message from outside the Regulatory Area as detected by the FMC of the Contracting Party, and the values for latitude and Longitude are, in this type of message, optional. Type of message shall be “**MAN**” for reports communicated by vessels with a defective satellite tracking device in accordance with Article 11(4).

<sup>3</sup>Mandatory for manual messages

<sup>4</sup>Mandatory for VMS messages

<sup>5</sup>Mandatory; to be used only in transmissions between the Secretariat and the FMCs

## Annex VIII 6) “PORT of Landing ” Report

Format Specification when sending reports from FMC to NEAFC (XNE).

See Also Annex IX A) Data Transmission Format and B) Data Communication Systems Annex IX C1) Format for Electronic Exchange of Fisheries Monitoring, Inspection and Surveillance Information Annex IX D 1) Structure of Reports and Messages as laid down in Annex VIII

<b>Port of Landing (POR) report</b>			
<b>Data Element:</b>	<b>Field Code:</b>	<b>Mandatory /Optional</b>	<b>Remarks:</b>
Start record	SR	M	System detail; indicates start of record
Address	AD	M	Message detail; destination XNE for NEAFC
Sequence number	SQ	M	Message detail; Message detail; Unique serial number starting at 1 each year for messages sent from vessel to final destination (XNE)(See also Annex IX C1)
Type of Message	TM	M	Message detail; message type, POR
Radio call sign	RC	M	Vessel registration detail; international radio call sign of the vessel
Trip Number	TN	O	Activity detail; fishing trip serial number in current year
Vessel Name	NA	O	Vessel registration detail; name of the vessel
Contracting Party Internal reference number	IR	O	Vessel registration detail; unique Contracting Party vessel number as flag state 3-alpha country code followed by number
External Registration Number	XR	O	Vessel registration detail; the side number of the vessel or IMO number in the absence of a side number
Latitude	LA	M <sup>1</sup>	Activity detail; position at time of transmission
Longitude	LO	M <sup>1</sup>	Activity detail; position at time of transmission
Coastal state	CS	M	Activity detail; coastal state of the Port of Landing
Name of Port	PO	M	Activity detail; name of Port of landing
Predicted Date	PD	M	Activity detail; estimated date UTC when the master intends to be in port (YYYYMMDD)
Predicted Time	PT	M	Activity detail; estimated time UTC when the master intends to be in port (HHMM)
Quantity to be landed	KG		Activity detail; quantity by species to be landed in the Port, in pairs as needed.
species		M	FAO species code

Port of Landing (POR) report			
Data Element:	Field Code:	Mandatory /Optional	Remarks:
live weight		M	Live weight in kilograms, rounded to the nearest 100 kilograms
Quantity on board	OB		Activity detail; quantity by species on board, in pairs as needed
species		M	FAO species code
live weight		M	Live weight in kilograms, rounded to the nearest 100 kilograms
Date	DA	M	Message detail; UTC date of transmission from the vessel
Time	TI	M	Message detail; UTC time of transmission from the vessel
End of record	ER	M	System detail; indicates end of the record

<sup>1</sup>Optional if a vessel is subject to satellite tracking

## Annex VIII 7) "CANCEL " Report

Format Specification when sending reports from FMC to NEAFC (XNE).

See Also Annex IX A) Data Transmission Format and B) Data Communication Systems Annex IX C1) Format for Electronic Exchange of Fisheries Monitoring, Inspection and Surveillance Information Annex IX D 1) Structure of Reports and Messages as laid down in Annex VIII

<b>Cancel (CAN) report</b>			
<b>Data Element:</b>	<b>Field Code:</b>	<b>Mandatory /Optional</b>	<b>Remarks:</b>
Start record	SR	M	System detail; indicates start of record
Address	AD	M	Message detail; destination XNE for NEAFC
Type of Message	TM	M	Message detail; message type, CAN <sup>1</sup>
Radio call sign	RC	M	Vessel registration detail; international radio call sign of the vessel
Cancelled Report	CR	M	Message detail; the record number of the report to be cancelled
Year of the report cancelled	YR	M	Message detail; year in UTC of the report to be cancelled
Date	DA	M	Message detail; UTC date of transmission of this report from the vessel <sup>2</sup>
Time	TI	M	Message detail; UTC time of transmission of this report from the vessel <sup>2</sup>
End of record	ER	M	System detail; indicates end of the record

<sup>1</sup>A Cancel report shall not be used to cancel another Cancel report

<sup>2</sup>If the report is not sent from a vessel the time will be from the FMC and will be the same as the RD RT





# **ANNEX IX - Data Exchange Format and Data Communication Systems**

## **Annex IX A1) Data Transmission Format (NAF)**

Each data transmission is structured as follows:

1. characters in accordance with ISO 8859.1
2. Each data transmission is structured as follows:
  - double slash (//) and the characters SR indicate the start of a message;
  - a double slash (//) and field code indicate the start of a data element;
  - a single slash (/) separates the field code and the data;
  - pairs of data are separated by space;
  - the characters "ER" and a double slash ("//") indicate the end of a record.



# Annex IX A2) Data Transmission Format for FLUX VMS Vessel Position Report

NEAFC FLUX Vessel Position Implementation Document

## 1. Introduction

This document aims to describe the implementation of Vessel Position XSD in the context of NEAFC.

Submissions of reports will be done through the FLUX Transportation Layer. The technical and functional documentation is published on the Master Data Register (MDR) page of NEAFC website<sup>1</sup>

## 2. References

- UN/CEFACT P1000 FLUX Standard v1.0<sup>2</sup>:
  - FLUX BRS: P1000 - 1; General principles (version 2.1).
  - FLUX BRS: P1000 - 7; Vessel Position domain (version 2.0).
- UN/CEFACT FLUXVesselPositionMessage\_4p0.xsd<sup>3</sup>

The Code Lists which are specific to Vessel Position domain are published on Master Data Register page of NEAFC.

## 3. Legal Basis

NEAFC Scheme of Control and Enforcement<sup>4</sup> and current NEAFC Management Measures and Recommendations<sup>5</sup>

<sup>1</sup><https://www.neafc.org/mdr>

<sup>2</sup>[http://www.unece.org/cefact/brs/brs\\_index.html](http://www.unece.org/cefact/brs/brs_index.html) <sup>3</sup>[http://www.unece.org/fileadmin/DAM/cefact/xml\\_schemas/D15B.zip](http://www.unece.org/fileadmin/DAM/cefact/xml_schemas/D15B.zip)

<sup>4</sup><https://www.neafc.org/scheme/contents>

<sup>5</sup> [https://www.neafc.org/managing\\_fisheries/measures/current](https://www.neafc.org/managing_fisheries/measures/current)

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## 4. Scope

As shown on Figure 1, even if the message is provided by a Vessel, the scope of this document is limited to the transmission from a Flag State FMC, which has received the Vessel Position message<sup>6</sup>, to NEAFC according to the NEAFC scheme.

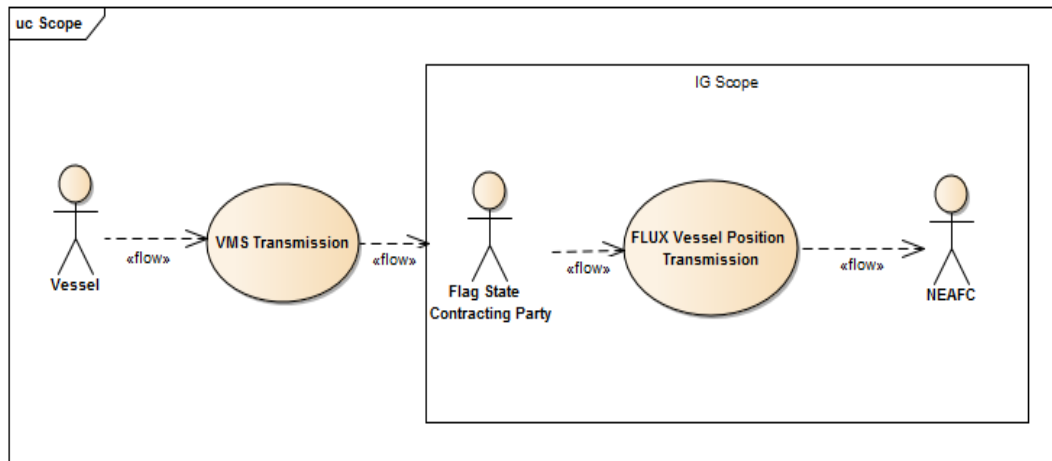


Figure 1 Implementing Guide Scope diagram

<sup>6</sup> In theory, a FMC can use various methods for providing Geographical Position of a vessel, such as AIS device or a manual input based on a GPS, for filling-up Vessel Position message.

## 5. Procedures

### 5.1 General Principles

The following activity diagram describes the normal procedure defined for the submission of every Vessel Position Messages exchanged between a Flag State FMC and NEAFC:

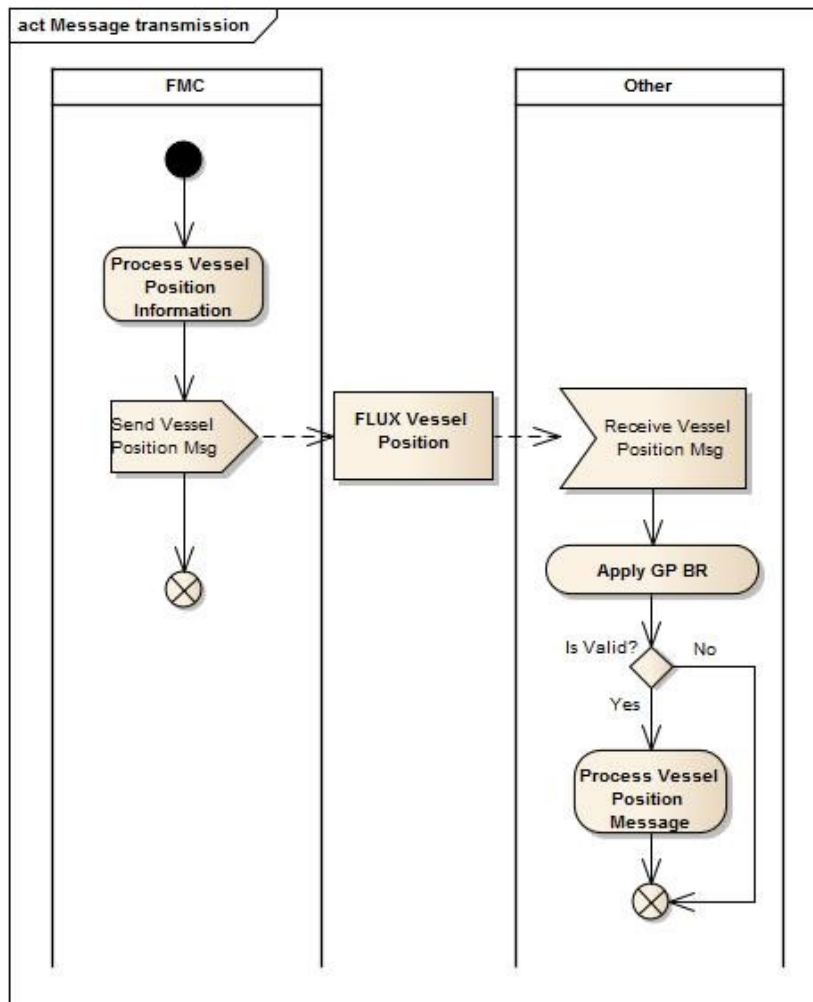


Figure 2 Message Transmission activity diagram

As shown in the diagram, "Apply GP BR" (i.e. Apply General Principles Business Rules) is a validation process which does:

- **XML Validation level:** Based on the definition in the XSD, the parser validates the structure and cardinality as well as compliance for mandatory elements of the XML provided<sup>7</sup>.
- **Business Rules Validation level:** A Business Rules Engine validates the content of XML according to the General Principles Business Rules definition<sup>8</sup>.

<sup>7</sup> In general, only XSD element are defined as mandatory. Element attributes and facets remain optional.

<sup>8</sup> Some specific business rules of this domain can withdraw or overwrite the definition of FLUX General.

## 5.2 Business Continuity Plan

Business continuity provision for this system is provided for in Article 14.2 of NEAFC Information Security Management System (ISMS) that is available at <https://www.neafc.org/isms>.

## 6. Data Model (XSD) Implementation

The implementation of the Vessel Position Data Model applies the following general constraints at the level of XSD Element attributes:

1. For Code & Identifier Data Type: *listID* or *schemeID* attribute must be provided if it is not specifically defined in the definition of the element;
2. For DateTime Data Type: only *udt:DateTime* (of type *xsd:dateTime*) choice is used. The date and time must be in line with ISO8601 and expressed in UTC, unless explicitly mentioned otherwise. The format shall be YYYY-MM-DDThh:mm:ss[.000000]Z<sup>9</sup>;

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<sup>9</sup> YYYY= year; MM= month, including leading 0 where month number is less than 10; DD= day of the month including leading 0 where day number is less than 10; T= the letter T to indicate the part of the time section; H24= hours of the day expressed with 2 digits using the 24-hour notation; MI=minutes expressed as 2 digits; SS=seconds expressed as 2 digits; [.000000]= optionally fractions of seconds may be included up to 6 digits, not including the brackets; Z= time zone, which must be Z (i.e. UTC)

## 6.1 Data Model Diagram

The following diagram describes the Vessel Position Data Model used for the implementation of transmission of VesselPositionMessage:

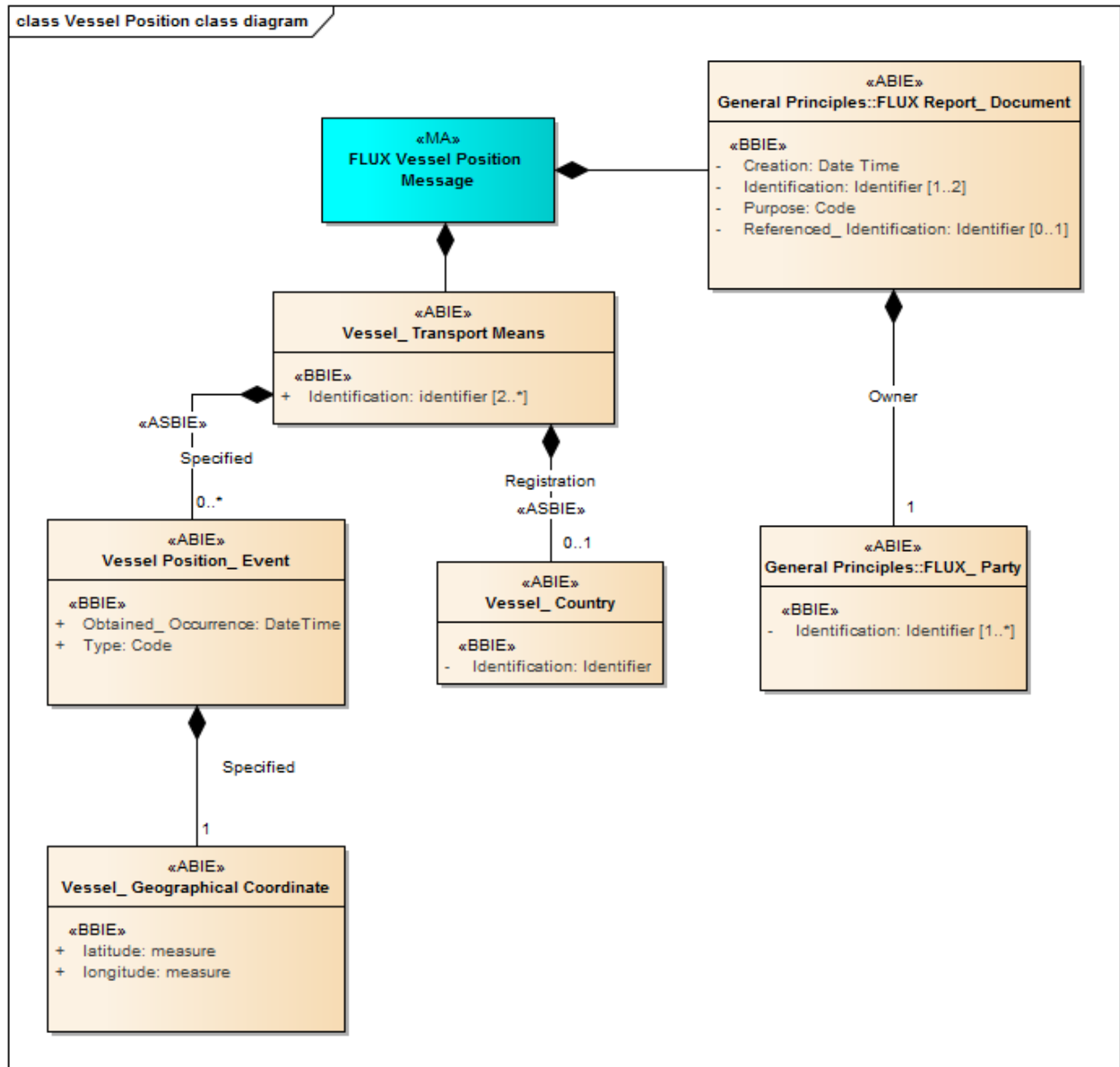


Figure 3 - Data model for the FLUX Vessel Position Message used within this implementation document

## 6.2 Data Model Fields

The table below describes for each fields defined in the Data Model (XSD) the values that can be used:

**Table 1: Data elements and attributes of a Vessel Position Message**

Entity/Field Name	Data Type	Min	Max	Description	Remarks
FLUX Report Document		1	1	The document details for this FLUX vessel position message.	FLUX General Principles Entity
Identification	Identifier	1	1	The unique identification of the FLUX vessel position message	A UUID as defined in the RFC 4122 <i>schemeID=UUID</i>
Creation	DateTime	1	1	The date, time, date time of the creation of the FLUX vessel position message.	A UTC date time. Must be according to the definition provided in 6(2)
Purpose	Code	1	1	The code specifying the purpose of this FLUX report document, such as original, cancellation or replace.	Attribute <i>listID=FLUX_GP_PURPOSE</i> Reference: EDIFACT Code List 1225 (qDT UN02000125 - Message Function_Code). <i>Restriction: only value 9 is used in this context.</i>
Owner FLUX Party	Assoc.	1	1	Entity used to provide information on an individual, a group, or a body having a role in a Fisheries Language for Universal eXchange (FLUX) business function. Party has a legal connotation in a business transaction.	FLUX General Principles Entity



Entity/Field Name	Data Type	Min	Max	Description	Remarks
Identification	Identifier	1	1	An identifier of this FLUX party.	Attribute <i>schemeID=FLUX_GP_PARTY</i> ISO 3166-1 alpha-3 code of the country owning this report. e.g.: SWE
Vessel Transport Means	Assoc.	1	1	Entity used to provide the identification and characteristic information of a ship or boat.	
Identification	Identifier	2	*	An identifier for this vessel	At least 2 vessel IDs of which one is <i>schemeID=IRCS</i> & Value= IRCS number must be provided. The other shall be <i>schemeID=UVI</i> where IMO is applicable to the vessel <sup>10</sup> ; alternatively the contracting party can use another identifier with <i>schemeID</i> from the code list FLUX_VESSEL_ID_TYPE
Registration Vessel Country	Assoc.	1	1	The country of registration of this transport means vessel.	
Identification	Identifier	1	1	The identifier for this vessel country.	Use Code Countries code list in MDR. <i>schemeID= TERRITORY</i> ISO 3166-1 alpha-3 code of the country where the vessel is registered (flag state).
Specified Vessel Position Event	Assoc.	1	*	The general information of the VMS message.	More than one position can be provided.
Obtained Occurrence	DateTime	1	1	The date and time when the position of the vessel was taken by the vessel's navigation equipment.	The UTC date time when the position was obtained by the vessel navigation equipment, transmitted by the VMS system on-board of the vessel. Must be according to the definition provided in 6(2)

Entity/Field Name	Data Type	Min	Max	Description	Remarks
Type	Code	1	1	The code specifying the type of vessel position event.	Attribute <i>listID</i> = FLUX_VESSEL_POSITION_TYPE Example of values are: "ENTRY", "EXIT", "POS", or "MANUAL".
Speed Value	Measure	0	1	The measure of speed of the vessel for this vessel position event.	Mandatory In knots. Maximum 2 significant decimals. Optional in case the following conditions are all met: - <i>TypeCode</i> = EXIT - Message addressed to Third party or RFMO, - the element is defined as optional in the agreement with the Third Party or RFMO
Course Value	Measure	0	1	The measure of course of the vessel for this vessel position event.	Mandatory In degrees and decimal degrees. Maximum 2 significant decimals. Mandatory unless all the following conditions are all met: <i>TypeCode</i> = EXIT, Message addressed to Third party or RFMO, The element is defined as optional in the agreement with the Third Party or RFMO.
Specified Vessel Geographical Coordinate	Assoc.	1	1	The latitude and longitude of a specified place, by which a vessel's relative situation on the globe is known. The height above the sea level constitutes a third coordinate.	Geographical Coordinates Position of the vessel transmitted by the VMS system at Obtained DateTime. Altitude and System information are not used in context of this implementation.
Latitude	Measure	1	1	The measure of the latitude as an angular distance north or south from the Equator meridian to the	Reference ISO 6709. Coordinate expressed in WGS84, decimal degree notation, using a precision of at least 3 and maximum 6 decimal positions. Positive coordinate refers to North

Entity/Field Name	Data Type	Min	Max	Description	Remarks
				meridian of a specific place for this vessel geographical coordinate.	of equator. Negative coordinate refers to South.
Longitude	Measure	1	1	The measure of the longitude as an angular distance east or west from the Greenwich meridian to the meridian of a specific place for this vessel geographical coordinate.	Reference ISO 6709. Coordinate expressed in WGS84, decimal degree notation, using a precision of at least 3 and maximum 6 decimal positions. Positive coordinate refers to East of Greenwich meridian. Negative coordinate refers to West.

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<sup>10</sup>Annex IV(a) of the Scheme: Radio Call sign and IMO number is required, where IMO is not applicable (for Vessels under IMO resolution A.1078 (28)), use of either CP Internal reference number or Vessel external registration is required.

## 7. XML Examples <sup>11</sup>

```
<rsm:FLUXVesselPositionMessage
xmlns:rsm="urn:un:unece:uncefact:data:standard:FLUXVesselPositionMessage:4"
xmlns:ram="urn:un:unece:uncefact:data:standard:ReusableAggregateBusinessInf
ormationEntity:18"xmlns:udt="urn:un:unece:uncefact:data:standard:Unqualifie
dDataType:18"><rsm:FLUXReportDocument>
<ram:ID schemeID="UUID">c133b211-0b0e-4358-893c-7afb5437bd61</ram:ID>
<ram:CreationDateTime>
<udt:DateTime>2019-10-07T09:30:47.0Z</udt:DateTime>
</ram:CreationDateTime>
<ram:PurposeCode schemeID="FLUX_GP_PURPOSE">9</ram:PurposeCode>
<ram:OwnerFLUXParty>
<ram:ID schemeID="FLUX_GP_PARTY">SWE</ram:ID>
</ram:OwnerFLUXParty>
</rsm:FLUXReportDocument>
<rsm:VesselTransportMeans>
<ram:ID schemeID="CFR">SWE000007880</ram:ID>
<ram:ID schemeID="EXT_MARK">S-381</ram:ID>
<ram:ID schemeID="IRCS">EI6207</ram:ID>
<ram:ID schemeID="UVI">1234567</ram:ID>
<ram:RegistrationVesselCountry>
<ram:ID schemeID="TERRITORY">SWE</ram:ID>
</ram:RegistrationVesselCountry>
<ram:SpecifiedVesselPositionEvent>
<ram:ObtainedOccurrenceDateTime>
<udt:DateTime>2019-10-07T09:29:00Z</udt:DateTime>
</ram:ObtainedOccurrenceDateTime>
<ram:TypeCode listID="FLUX_VESSEL_POSITION_TYPE">POS</ram:TypeCode>
<ram:SpeedValueMeasure>8.3</ram:SpeedValueMeasure>
<ram:CourseValueMeasure>50</ram:CourseValueMeasure>
<ram:SpecifiedVesselGeographicalCoordinate>
<ram:LatitudeMeasure>50.560</ram:LatitudeMeasure>
<ram:LongitudeMeasure>9.123456</ram:LongitudeMeasure>
</ram:SpecifiedVesselGeographicalCoordinate>
</ram:SpecifiedVesselPositionEvent>
</rsm:VesselTransportMeans>
</rsm:FLUXVesselPositionMessage>
```

---

<sup>11</sup>Note that a single Position in each message reflects a real time reporting implementation. It is possible to send more than one position in each position message which could be used for example when pulling data from another system

## 8. Code Lists

All XSDs and code lists are listed in the NEAFC Master Data Register.

The values mentioned in above tables for the *listID* or *or schemeID* attribute refer to the code list alias on MDR. This *listID* or *schemeID* value can be used to retrieve the code values using the FLUX Master Data Management specifications<sup>12</sup>.

Code list alias
FLUX_GP_PURPOSE
FLUX_GP_PARTY
FLUX_VESSEL_POSITION_TYPE
TERRITORY
FLUX_VESSEL_ID_TYPE

---

<sup>12</sup> FLUX BRS: P1000 - 10; MDM domain

## 9. Flux TL Envelope Parameters

The following FLUX TL parameters must be used for transmission of Vessel Position Messages.

Common name	FLUX TL Envelope Tag name	Value	Remark
Dataflow name	DF	urn:un:unece:uncefact:data:standard:FLUXVesselPositionMessage:4	
Timeout DateTime	TODT	DateTime (in UTC) of creation of the envelope + 72 hours.	Value expressed as XSD DateTime in UTC. Must be according to the definition provided in 6(2) The FLUX TL will retry an undelivered envelope in a given schedule until the TODT is reached.
Acknowledge Receipt	AR	True	Each VP message will be positively acknowledged with 201 status code on receipt by the destination node. Note: a non-delivery message is always sent when the recipient cannot be reached and timeout (TODT) time has expired.

## 10. Contact

Please address enquiries to [info@neafc.org](mailto:info@neafc.org) so the query can be routed as appropriate.

## **Annex IX B) Data Communication Systems**

Electronic data transmission of reports and messages between Contracting Parties and the Secretary shall use data communication systems duly tested and the use of which has been approved by the Commission. Electronic data transmission is subject to security procedures in Appendix 1 to this Annex.





## Annex IX C1) Format for Electronic Exchange of Fisheries Monitoring, Inspection and Surveillance Information

Annex IX C1) Format for electronic exchange of fisheries monitoring, inspection and surveillance information					
Category	Data Element	Field code	Type	Contents	Definitions
System Details	Start Record	SR			Indicates start of the record
	End Record	ER			Indicates end of the record
	Return Status	RS	Char*3	Codes	ACK / NAK = Acknowledged / Not Acknowledged
	Return Error Number	RE	Num*3	001- 999	Codes indicating errors as received at operation centre, see Annex IX(D)(2)
Message Details	Address destination	AD	Char*3	ISO-3166 Address	Address of the party receiving the message, XNE for NEAFC
	From	FR	Char*3	ISO-3166 Address	Address of the transmitting party, (Contracting Party)
	Type of Message	TM	Char*3	Code	First three letters of the message type as in Annex IX(E)
	Sequence Number	SQ	Num*6	NNNNNN	Serial number of messages sent from a vessel to the final destination (XNE). It is unique for each vessel for a calendar year. At the beginning of the current year this value will be reset to 1 for each vessel and will increment at the sending of each message.
	Record Number	RN	Num*6	NNNNNN	Serial number of records sent from the FMC to XNE. It is unique for each FMC for a calendar year. At the beginning of the

<b>Annex IX C1) Format for electronic exchange of fisheries monitoring, inspection and surveillance information</b>					
<b>Category</b>	<b>Data Element</b>	<b>Field code</b>	<b>Type</b>	<b>Contents</b>	<b>Definitions</b>
					current year this value will be reset to 1 and will increment at the sending of each record.
	Record Date	RD	Num*8	YYYYMMDD	Year, month and day in UTC from the FMC
	Record Time	RT	Num*4	HHMM	Hours and minutes in UTC from the FMC
	Date	DA	Num*8	YYYYMMDD	Year, month and day in UTC of first transmission. In cases of RET messages first transmission is from the FMC, in all other cases first transmission is from the vessel.
	Time	TI	Num*4	HHMM	Hours and minutes in UTC of first transmission. In cases of RET messages first transmission is from the FMC, in all other cases first transmission is from the vessel.
	Cancelled report	CR	Num*6	NNNNNN	Record Number of the record to be cancelled
	Year of the report cancelled	YR	Num*4	NNNN	Year in UTC of the report to be cancelled
Vessel Registration Details	Radio Call Sign	RC	Char*7	IRCS Code	International Radio Call Sign of the vessel
	Vessel name	NA	Char*30		Name of the vessel
	IMO Number	IM	Num*12	NNNNNNNNNNNNNN	IMO Number of the vessel
	Ext. registration	XR	Char*14		Side Number of the vessel
	Flag State	FS	Char*3	ISO-3166	State of registration

<b>Annex IX C1) Format for electronic exchange of fisheries monitoring, inspection and surveillance information</b>					
<b>Category</b>	<b>Data Element</b>	<b>Field code</b>	<b>Type</b>	<b>Contents</b>	<b>Definitions</b>
	Contracting Party internal reference number	IR	Char*3 Char*9	ISO-3166 + max. 9 characters	Three letter country code followed by 9 character unique vessel identifier attributed by the flag State pursuant to registration
	Port Name	PO	Char*20		Port of registration of the vessel
	Vessel Owner	VO	Char*60		Name and address of the vessel owner
	Vessel Charterer	VC	Char*60		Name and address of the vessel charterer
Vessel Charterer Details	Vessel Capacity Unit	VT	Char*2 Num*4	"OC" or "LC" Tonnage	"OC" OSLO 1947 Convention "LC" LONDON ICTM-69 Capacity of the vessel in metric tons
	Vessel Power Unit	VP	Char*2 Num*5	0-99999	Indication of which measurement unit applies "HP" or "KW" Total main engine power
	Vessel Length	VL	Char*2 Num*3	"OA" or "PP" Length in meters	"OA" length overall, & "PP" length between perpendiculars Total length of the vessel in meters, rounded to the nearest whole meter
	Vessel Type	TP	Char*3	Code	As listed in Appendix 1(A) to Annex II
	Fishing Gear	GE	Char*3	FAO Code	International Standard Statistical Classification of the Fishing Gear as (Appendix 2 to Annex II)
Licence Details	Date of issuing	IS	Num*8	YYYYMMDD	Date of Authorisation to fish for one or more regulated species

<b>Annex IX C1) Format for electronic exchange of fisheries monitoring, inspection and surveillance information</b>					
<b>Category</b>	<b>Data Element</b>	<b>Field code</b>	<b>Type</b>	<b>Contents</b>	<b>Definitions</b>
	Regulated Resources	RR	Char*3	FAO Species Code	FAO Species Code for the regulated resources, separated by a space
	Start Date	SD	Num*8	YYYYMMDD	Date on which the validity of the authorisation/suspension commences
	End Date	ED	Num*8	YYYYMMDD	Expiry date of the validity of the authorisation to fish for the regulated resource
	Limited Authorisation	LU	Char*1		"Y" or "N" to indicate whether a limited authorisation is valid or not
	Relevant Area	RA	Char*6	ICES Code	Area(s) prohibited
	Species Name	SN	Char*3	FAO Species Code	Prohibited species
Activity Details	Latitude	LA	Char*5	NDDMM *WGS-84)	e.g. //LA/N6235 = 62°35' North
	Longitude	LO	Char*6	E/WDDMM (WGS-84)	e.g. //LO/W02134 = 21° 34' West
	Latitude (decimal)	LT	Char*7	+/-DD.ddd <sup>1</sup>	Value negative if latitude is in the southern hemisphere <sup>1</sup> (WGS84)
	Longitude (decimal)	LG	Char*8	+/-DDD.ddd <sup>1</sup>	Value negative if longitude is in the western hemisphere <sup>1</sup> (WGS84)
	Trip Number	TN	Num*3	001-999	Number of the fishing trip in current year
	Days Fished	DF	Num*3	01/01/65	Number of days the vessel spent in the Regulatory Area during the trip
	Speed	SP	Num*3	Knots * 10	e.g. //SP/105 = 10,5 knots

<b>Annex IX C1) Format for electronic exchange of fisheries monitoring, inspection and surveillance information</b>					
<b>Category</b>	<b>Data Element</b>	<b>Field code</b>	<b>Type</b>	<b>Contents</b>	<b>Definitions</b>
	Course	CO	Num*3	360 ° degree scale	e.g. //CO/270 = 270°
	Predicted Date	PD	Num*8	YYYYMMDD	Estimated date UTC for future event
	Predicted Time	PT	Num*4	HHMM	Estimated time UTC for future event
	Daily catch	CA <sup>2</sup>			The cumulative catch retained on board by species, in kilogram live weight rounded to the nearest 100 Kg since the vessel entered the R.A. or, in the event a previous has been transmitted during the same trip, since the last "Catch" report, in pairs as needed.
	Species		Char*3	FAO species code	
	Quantity		Num*7	0-9999999	
	Quantity onboard	OB			Quantity onboard the vessel by species in kilograms live weight rounded to the nearest 100 Kg, in pairs as needed
	Species		Char*3	FAO Codes	
	Quantity		Num*7	0-9999999	
	Transferred species	KG			Information concerning the quantities transferred between vessels by species in kilograms live weight rounded to the nearest 100 Kg. whilst operating in the R.A. in pairs as needed
	Species		Char*3	FAO Codes	
	Quantity		Num*7	0-9999999	
	Transhipped From	TF	Char*7	IRCS Code	International Radio Call Sign of the donor vessel
	Transhipped To	TT	Char*7	IRCS Code	International Radio Call Sign of the receiving vessel
	Coastal state	CS	Char*3	ISO-3166	Coastal state

<b>Annex IX C1) Format for electronic exchange of fisheries monitoring, inspection and surveillance information</b>					
<b>Category</b>	<b>Data Element</b>	<b>Field code</b>	<b>Type</b>	<b>Contents</b>	<b>Definitions</b>
	Port Name	PO	Char*20		Name of the actual port
Reporting Details	Catch	CA			Aggregate catch, landed or transhipped, taken by fishing vessels of the Contracting Party, by species as listed in tonnes live weight, rounded to tonnes, in pairs as needed
	Species		Char*3	FAO species code	
	Quantity		Num*6	0-9999999	
	Cumulative catch	CC			Cumulative aggregate catch, landed or transhipped, taken by fishing vessels of the Contracting Party, by species as listed in tonnes live weight, rounded to tonnes, in pairs as needed
	Species		Char*3	FAO species code	
	Quantity		Num*6	0-9999999	
	Relevant Area	RA	Char*6	ICES/NAFO Codes	Code for the relevant fishing area
	Zone	ZO	Char*3	ISO-3166	The code for a Contracting Party's zone
Surveillance/ Observed details	Year and month	YM	Num*6	YYYYMM	The relevant year and month of reporting
	Latitude	LA	Char*5	NDDMM (WGS-84)	e.g. //LA/N6535 = 65°35' North
	Longitude	LO	Char*6	E/WDDMM (WGS-84)	e.g. //LO/W02134 = 21°34' West
	Speed	SP	Num*3	Knots * 10	e.g. //SP/105 = 10,5 knots
	Means of Surveillance	MI	Char*3	NEAFC Code	"VES" = surface vessel, "AIR" = fixed wing aircraft, "HEL" = helicopter
	Assigned Inspector CP ID	AI	Char*7	NEAFC Code	ISO-3166 code for the Contracting Party followed by 4 digit number repeated as needed

<b>Annex IX C1) Format for electronic exchange of fisheries monitoring, inspection and surveillance information</b>					
<b>Category</b>	<b>Data Element</b>	<b>Field code</b>	<b>Type</b>	<b>Contents</b>	<b>Definitions</b>
	Observation Ser. No.	OS	Num*3	0 - 999	Serial number of the observation during relevant patrol in the Regulatory Area
	Date of sighting	DA	Num*8	YYYYMMDD	Date when the vessel is sighted
	Time of sighting	TI	Num*4	HHMM	Time in UTC when the vessel is sighted
	Object Identification	OI	Char*7	IRCS Code	International Radio Call Sign of the sighted vessel
	Photography	PH	Char*1		Was there a photography taken, "Y" or "N"
	Free Text string	MS	Char*255		Free text area

<sup>1</sup> The plus sign (+) does not need to be transmitted; leading zeros can be omitted.

<sup>2</sup> EU objected to an amendment to the Scheme to require daily reporting of catches and so is not bound by the amendment. EU remains bound by the previous text which reads as below;

Activity Details	Weekly catch	CA			The cumulative catch retained on board by species, in kilogram live weight rounded to the nearest 100 Kg since the vessel entered the R.A. or, in the event a previous has been transmitted during the same trip, since the last "Catch" report, in pairs as needed.
	Species		Char*3	FAO species code	
	Quantity		Num*7	0-9999999	

## Annex IX C2) Field Codes used in Annexes but not used in Electronic Exchange of Data between the Secretary and CPs

Field codes used in Annexes but not in electronic data exchange between the Secretary and Contracting Parties					
Category	Data Element	Field code	Type	Contents	Definitions
Logbook	Daily catch	CD			The total catch retained on board by species of the number of fishing operations per 24 hours period
	Species		Char*3	FAO species code	FAO species code for species listed in Annex V
	Quantity		Num*7	0-9999999	Live weight in kilogrammes
	Total number of hauls/fishing operations during the day	FO	Num*6	0-999999	Number of fishing operations per 24 hours period
	Catch discarded	RJ			Quantity caught and discarded by species
	Species		Char*3	FAO species code	FAO species code
	Quantity		Num*7	0-9999999	Live weight in kilogrammes
	Transmission used	TU			Name of radio station through which the report is transmitted
Production logbook	Masters name	MA	Char*30		Name of master
	Quantity produced	QP			Quantity produced by species per day
	Species name				FAO species code
	Quantity				Total product weight in kilogrammes



Field codes used in Annexes but not in electronic data exchange between the Secretary and Contracting Parties					
Category	Data Element	Field code	Type	Contents	Definitions
	Product form  Quantity				Product form code (Appendix 1 to Annex IV)  Product weight in kilogrammes Product form code and weight of the product: use as many pairs as needed to cover all products
	Cumulative production of the period  Species name Quantity  Product form Quantity	AP			Total quantity produced since the entry into the RegulatoryArea by species  FAO species code  Total product weight in kilogrammes. Product from code (Appendix 1 to Annex IV)  Product weight in kilogrammes  Product form code and weight of the product: use as many pairs as needed to cover all products
	Product code	PR	Char*1		Product code Appendix 1 to Annex IV
	Type of packing or container	TY	Char*3		Type of packing or container Appendix 1 to Annex IV
	Unit weight	NE			Net product weight in kilogrammes

Field codes used in Annexes but not in electronic data exchange between the Secretary and Contracting Parties					
Category	Data Element	Field code	Type	Contents	Definitions
	Number of units	NU			Number of units packed

## Annex IX C3) Field Codes Described in C (1) or (2) Listed Alphabetically

Field Codes listed alphabetically		
Field code	Data element	Used in report or message (Bold indicates that the element is Mandatory in the actual report or message)
AC	Activity	OBS
AD	Address destination	All
AI	Assigned Inspector	SEN
AP	Cumulative production of the period	Production logbook
CA	Catch	CAT, COX, Logbook
CC	Cumulative catch	Logbook
CD	Daily catch	Logbook
CO	Course	ENT, POS, MAN, EXI, OBS
<b>CR</b>	Cancelled report	<b>CAN</b>
CS	Coastal state	POR
DA	Date	COE, CAT, COX, TRA, POR, POS, ENT, EXI, MAN, SEN, SEX, OBS, Logbook, Production logbook, RET
DF	Days Fished	CAT, COX
ED	End Date	LIM, AUT
ER	End Record	All
FO	Total number of hauls / fishing operations during the day	Logbook
FR	From	All
FS	Flag State	NOT, OBS, POS <sup>2</sup>
GE	Fishing Gear	NOT, Logbook
IM	IMO Number	<b>NOT</b> , WIT, LIM, AUT, SUS

Field Codes listed alphabetically		
Field code	Data element	Used in report or message (Bold indicates that the element is Mandatory in the actual report or message)
IR	Contracting Party internal reference number	NOT, WIT, LIM, AUT, SUS, COE, CAT, COX, TRA, POR, POS, ENT, EXI, MAN, Logbook, Production logbook
IS	Date of issuing	AUT
KG	Transferred species	TRA, POR, Logbook
LA	Latitude	COE, CAT, COX, TRA, POR, MAN, SEN, SEX, OBS, Logbook
LG	Longitude (decimal)	POS, ENT
LO	Longitude	COE, CAT, COX, TRA, POR, MAN, SEN, SEX, OBS, Logbook
LT	Latitude (decimal)	POS, ENT
LU	Limited Authorisation	NOT
MA	Masters name	Logbook, Production logbook
MI	Means of Surveillance	SEN, SEX
MS	Free Text string	OBS
NA	Vessel name	<b>NOT</b> , WIT, LIM, AUT, SUS, COE, CAT, COX, TRA, POR, POS, ENT, EXI, MAN, OBS, Logbook, Production logbook
NE	Unit weight	Production logbook
NU	Number of units	Production logbook
OB	Quantity on board	COE, POR, Logbook
OI	Object Identification	OBS
OS	Observation Serial No.	OBS
PD	Predicted Date	TRA, POR
PH	Photograph	OBS
PO	Port Name	NOT, POR

Field Codes listed alphabetically		
Field code	Data element	Used in report or message (Bold indicates that the element is Mandatory in the actual report or message)
PR	Product code	Production logbook
PT	Predicted Time	TRA, POR
QP	Quantity produced	Production logbook
RA	Relevant Area	<b>LIM, Logbook</b> , CAT <sup>1</sup> , COE <sup>1</sup> , COX <sup>1</sup>
RC	Radio Call Sign	All
RD	Record Date	All
RE	Return Error Number	RET
RJ	Catch discarded	Logbook
RN	Record Number	All
RR	Regulated Resources	AUT, SUS
RS	Return Status	RET
RT	Record Time	All
SD	Start Date	WIT, LIM, AUT, SUS
SN	Species name	Production logbook, LIM
SP	Speed	ENT, POS, MAN, EXI, OBS
SQ	Sequence Number	COE, CAT, COX, TRA, POR, POS, ENT, EXI, MAN
SR	Start Record	All
TF	Transhipped From	TRA, Logbook
TI	Time	All
TM	Type of Message	All except Logbook and Production logbook
TN	Trip Number	ENT, COE, CAT, COX, EXI, POS, MAN, TRA, POR, <b>Logbook</b>
TP	Vessel type	NOT, OBS
TT	Transhipped To	TRA, Logbook
TU	Transmission used	Logbook

Field Codes listed alphabetically		
Field code	Data element	Used in report or message (Bold indicates that the element is Mandatory in the actual report or message)
TY	Type of packing or container	Production logbook
VC	Vessel Charterer	NOT
VL	Vessel Length	NOT
VO	Vessel Owner	NOT
VP	Vessel Power	NOT
VT	Vessel capacity	NOT
XR	Ext. registration	<b>NOT, OBS</b> , COE, CAT, COX, TRA, POS, MAN, POR, WIT, AUT, LIM, SUS
<b>YR</b>	Year of the report cancelled	<b>CAN</b>

<sup>1</sup> Mandatory for fisheries where management measures require it

<sup>2</sup>Mandatory; to be used only in transmissions between the Secretariat and the FMCs

## **Annex IX D 1) Structure of Reports and Messages as laid down in Annex VIII**

D 1) Structure of reports and messages as laid down in Annex VIII when forwarded by Contracting Parties to the Secretariat

Where appropriate, each Contracting Party shall retransmit to the Secretary reports and messages received from its vessels in accordance with Articles 11, 12 and 13; subject to the following amendments:

- the address (AD) shall be replaced by the address of the Secretary (XNE)
- the data elements “record date” (RD), “record time” (RT), “record number” (RN) and “from” (FR) shall be inserted.

## Annex IX D 2a) Return Messages

If a Contracting Party so requests, the Secretary shall send a return message every time an electronic transmission of a report or message is received.

Format Specification when sending reports from NEAFC (XNE) to FMC.

See Also Annex IX A) Data Transmission Format and B) Data Communication Systems Annex IX C1) Format for Electronic Exchange of Fisheries Monitoring, Inspection and Surveillance Information Annex IX D 1) Structure of Reports and Messages as laid down in Annex VIII

<b>Table a) Return message format:</b>			
<b>Data Element</b>	<b>Field Code</b>	<b>Mandatory/Optional</b>	<b>Remarks</b>
Start Record	SR	M	System detail; indicates start of record
Address	AD	M	Message detail; destination, Contracting Party sending the report
From	FR	M	Message detail; XNE is NEAFC (who is sending the return message)
Type of message	TM	M	Message detail; message type RET for return message
Sequence number	SQ	O	Reporting detail; serial number of the report from the vessel in the relevant year, copied from the report which is received.
Radio call sign	RC	O	Reporting detail; international radio call sign of the vessel, copied from the report which is received.
Return Status	RS	M	Reporting detail; code showing whether the report/message is acknowledged or not (ACK or NAK)
Return error number	RE	O	Reporting detail; number showing the type of error. (See table B) for return error numbers
Record number	RN	M	Reporting detail; record number of the report/message which is received
Date	DA	M	Message detail; date of transmission of the RET message from NEAFC (XNE) to the FMC
Time	TI	M	Message detail; time of transmission of the RET message from NEAFC (XNE) to the FMC
End of Record	ER	M	System detail; indicates end of the record



**Annex IX D 2b) Return Error Numbers:**

Subject/Annex	Error Numbers			Error cause
	Rejected (NAK) Follow-up action required	Accepted and Stored (ACK) Follow-up action required	Accepted and Stored (ACK) with warning	
Communication	101			Message is unreadable
	102			Data value or size out of range
	104			Mandatory data missing
	105			This report is a duplicate; attempt to re-send a report previously rejected
	106			Unauthorised data source
			150	Sequence error
			151	Date / Time in the future
			155	This report is a duplicate; attempt to re-send a report previously accepted
Annex II			250	Attempt to re-Notify a vessel
		251		Vessel is not Notified
		252		Species not AUT, or LIM or SUS
Annex VIII		301		Catch prior to Catch on Entry
		302		Transshipment prior to Catch on Entry
		303		Catch on Exit prior to Catch on Entry
		304		No Position received (CAT, TRA, COX)
			350	Position without Catch on Entry

<b>Subject/Annex</b>	<b>Error Numbers</b>			<b>Error cause</b>
	Rejected <b>(NAK)</b> Follow-up action required	Accepted and Stored <b>(ACK)</b> Follow-up action required	Accepted and Stored <b>(ACK)</b> with warning	
Annex X	401			Surveillance Exit prior to Surveillance Entry
		450		Observation without Surveillance Entry
		451		Inspectors or craft not notified

## Annex IX D 2c) Definition of Duplicates

Message / Reports	Data Elements															
	TM	AD	SQ	RC	LA/LT	LO/LG	SP	CO	DA	TI	OB	CA	RA	DF	KG	TT
Position	POS	Y		Y	Y	Y			Y	Y						
Entry	ENT	Y		Y	Y	Y			Y	Y						
Exit	EXI	Y		Y	Y	Y			Y	Y						
Manual	MAN	Y		Y	Y	Y			Y	Y						
Catch on Entry	COE	Y		Y					Y	Y						
Catch	CAT	Y		Y					Y	Y		Y	Y	Y		
Catch on Exit	COX	Y		Y					Y	Y		Y	Y	Y		
Transhipment	TRA	Y		Y					Y	Y						
Port of Landing	POR	Y		Y					Y	Y					Y	Y
Cancel	CAN	Y		Y					Y	Y					Y	Y

For each message, if data in data-elements marked "Y" is identical, then identify message as duplicate

## Annex IX E) Types of Reports and Messages

Annex IX E) Types of Reports and Messages				
Annex	provisions	Code	Message/report	Remarks
I/A 1)	Article 5	NOT	notification <sup>1</sup>	Notification of authorised fishing vessels
I/A 2)		WIT	withdrawal	Notification of the withdrawal of a vessel from the list of notified authorised fishing vessels
I/A 3)		LIM	limitation	Notification of any restrictions to the operation of authorised fishing vessels in the R.A.
I/B 1)		AUT	authorisation <sup>1</sup>	Notification of authorised vessels which are authorised to fish for one or more regulated resources
I/B 2)		SUS	suspension	Notification of a suspension of the authorisation to fish for one or more regulated resources
VIII 1)	Art. 12(1)(a)	COE <sup>2</sup>	catch on entry	Report transmitted by fishing vessels, prior to entering the R.A., to the Contracting Party or to the NEAFC Secretary if the Contracting Party so desires
VIII 2)	Art. 12(1)(b)	CAT <sup>2</sup>	catch	Report on the catches taken in the R.A., transmitted daily <sup>3</sup> by fishing vessels to the Contracting Party or to the NEAFC Secretary if the Contracting Party so desires
VIII 3)	Art. 12(1) (c)	COX <sup>2</sup>	catch on exit	Report transmitted by fishing vessels, prior to leaving the R.A., to the Contracting Party or to the NEAFC Secretary if the Contracting Party so desires
VIII 4)	Art. 13(1)	TRA <sup>2</sup>	transshipment	Report on quantities on-loaded or off-loaded in the R.A., transmitted by fishing vessels to the Contracting Party or to the NEAFC Secretary if the Contracting Party so desires
VIII 5)	Article 11(4)	ENT <sup>2</sup>	entry	VMS messages

Annex IX E) Types of Reports and Messages				
Annex	provisions	Code	Message/report	Remarks
VIII 6)	Art. 13(1)	POS <sup>2</sup>	position	Reports transmitted by fishing vessels with a defective satellite tracking device to the Contracting Party
		EXI <sup>2</sup>	exit	
		MAN <sup>2</sup>	manual position	
		POR	port of landing	Report of destination port by vessels receiving transhipped resources
VIII	Article 14	COE <sup>2</sup>	catch on entry	Activity messages and reports received from vessels operating in the Regulatory Area, for communication to the Secretary
		CAT <sup>2</sup>	catch	
		TRA <sup>2</sup>	transhipment	
		COX <sup>2</sup>	catch on exit	
		ENT <sup>2</sup>	entry	
		POS <sup>2</sup>	position	
		EXI <sup>2</sup>	exit	
		MAN <sup>2</sup>	manual position	
		POR	port of landing	
	Article 14 (3)	CAN	cancel	Report for cancellation of a report set out in Article 12 or 13
IX D2)		RET	Return	Automatic electronic message pursuant to reception of records
X A)	Article 16(4)	SEN	surveillance entry	Report transmitted by Contracting Party on the entry of surveillance craft in the R.A.
X B)	Article 16(4)	SEX	surveillance exit	Report transmitted by Contracting Party on the exit of surveillance craft in the R.A.
XII B)	Article 17(3)	OBS	observation	Report transmitted by Contracting Party on observations of fishing vessels in the R.A. by its inspectors assigned under this Recommendation

<sup>1</sup> Any amendments to the data notified shall be made through transmission of a withdrawal or a suspension message and subsequent re-notification.

<sup>2</sup> Confidential reports and messages received by the Secretary shall be re-transmitted to Contracting Parties with an active inspection presence subject to the provisions set out in Appendix 1 to this Annex.

<sup>3</sup> EU objected to an amendment to the Scheme to require daily reporting of catches and so is not bound by the amendment. EU remains bound by the previous text which reads as below;

VIII 2)	Art.12(1)(b)	CAT <sup>2</sup>	catch	Report on the catches taken in the R.A., transmitted weekly by fishing vessels to the Contracting Party or to the NEAFC Secretary if the Contracting Party so desires
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## Appendix 1 to Annex IX - Confidential Treatment of Electronic Data

### 1. Field of application

The provisions of this Appendix shall apply to all electronically transmitted documents, reports, messages and forms, transmitted and received pursuant to the provisions of the Scheme, hereinafter referred to as electronic data.

### 2. General Provisions

1. The Secretary and the appropriate authorities of Contracting Parties shall, when transmitting and receiving electronic data, take the necessary measures to comply with the confidentiality provisions set out in article 3 of this Appendix and with the security provisions set out in Recommendations approved by the Commission.
2. Each Contracting Party shall guarantee the Secretary the right to obtain the cancellation or correction of electronic data that does not comply with the provisions of the Scheme.
3. Notwithstanding the provisions of Article 14(3) of the Scheme, the Commission may instruct the Secretary not to make available to a Contracting Party any electronic data received, where it is established that the Contracting Party in question has not complied with the confidentiality provisions of this Appendix or to the security provisions of Recommendations approved by the Commission.
4. The Secretary and the Contracting Parties shall regularly seek advice from the Advisory Group on Data Communication regarding reviewing and amending the provision of this Appendix.

### 3. Provisions on Confidentiality

1. Electronic data shall be used only for the purposes stipulated in the Scheme, including Articles 11, 12, 13, 14 and 17. No electronic data transmitted or received pursuant to the provisions of the Scheme shall be kept in a computer database at the Secretariat unless explicitly provided for in the Scheme or in a Recommendation approved by the Commission.
2. Contracting Parties shall ensure that all electronic data received from the Secretary shall be treated in a confidential manner in accordance with provisions of the Scheme and Recommendations approved by the Commission.
3. The Secretary shall store all electronic data received in order to enable the utilisation of historical data. The Secretary shall only transmit electronic data in accordance with the provisions of the Scheme, or as explicitly instructed by the Commission.
4. Inspecting Contracting Parties may retain and store electronic data transmitted by the Secretary pursuant to provisions of the Scheme in a confidential manner for the purpose of risk analyses and assessments.
5. All transmission of electronic data pursuant to the provisions of the Scheme shall use data communication systems duly tested by the Contracting Parties

and the Secretariat and the use of which has been approved by the Commission.



# ANNEX X Notification of Surveillance Activities

## Annex X a) Report of Entry of Surveillance Craft in the Regulatory Area

Surveillance Entry Message (SEN)			
Data Element	Code	Mandatory /Optional	Remarks
Start Record	SR	M	System detail; indicates start of the record
Address	AD	M	Message detail; destination, XNE for NEAFC
From	FR	M	Message detail; address of the transmitting Contracting Party
Record Number	RN	M	Message detail; message serial number in current year
Type of Message	TM	M	Message detail; message type, SEN as entry report of the surveillance craft in the R.A.
Record Date	RD	M	Message detail; date of transmission
Record Time	RT	M	Message detail; time of transmission
Means of surveillance	MI	M	Surveillance detail; VES to indicate surface craft, AIR to indicate fixed wing aircraft, HEL to indicate helicopter
Radio call sign	RC	M	Surveillance detail; International radio call sign of the surveillance craft
Assigned inspectors ID	AI	M	Surveillance detail; card number, repeated as necessary
Date	DA	M	Surveillance detail; date of entry <sup>1</sup>
Time	TI	M	Surveillance detail; time of entry <sup>1</sup>
Latitude	LA	M	Surveillance detail; position at time of entry <sup>1</sup>
Longitude	LO	M	Surveillance detail; position at time of entry <sup>1</sup>
End record	ER	M	System detail; Indicates end of the record

<sup>1</sup> Estimated when message is sent prior to entry of surveillance craft

## Annex X b) Report of Exit of Surveillance Craft from the Regulatory Area

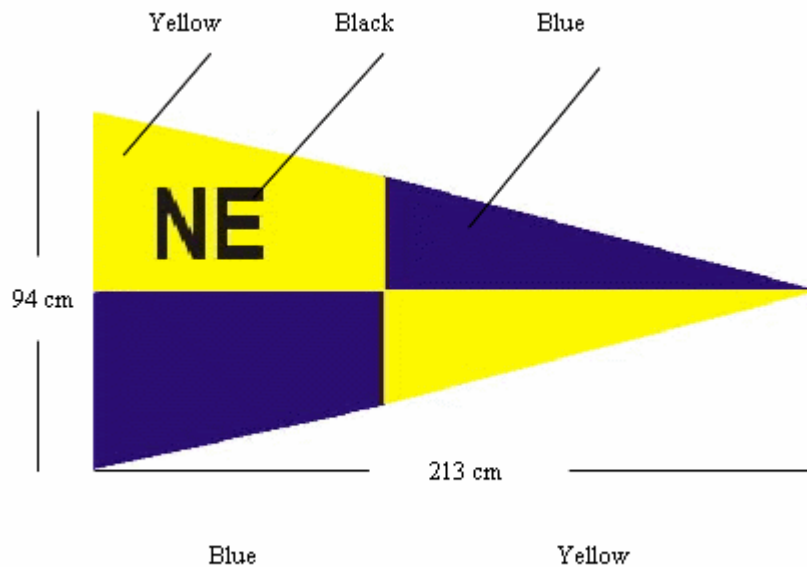
Surveillance Exit Message (SEX)			
Data Element	Code	Mandatory /Optional	Remarks
Start Record	SR	M	System detail; indicates start of the record
Address	AD	M	Message detail; destination,XNE for NEAFC
From	FR	M	Message detail; address of the transmitting Contracting Party
Record Number	RN	M	Message detail; message serial number in current year
Type of Message	TM	M	Message detail; message type, SEX as exit report of the surveillance craft from the R.A.
Record Date	RD	M	Message detail; date of transmission
Record Time	RT	M	Message detail; time of transmission
Means of surveillance	MI	M	Surveillance detail; VES to indicate surface craft, AIR to indicate fixed wing aircraft, HEL to indicate helicopter
Radio call sign	RC	M	Surveillance detail; International radio call sign of the surveillance craft
Date	DA	M	Surveillance detail; date of exit <sup>1</sup>
Time	TI	M	Surveillance detail; time of exit <sup>1</sup>
Latitude	LA	M	Surveillance detail; position at time of exit <sup>1</sup>
Longitude	LO	M	Surveillance detail; position at time of exit <sup>1</sup>
End record	ER	M	System details; Indicates end of the record

<sup>1</sup> Same as the estimated surveillance detail in the SEN message when that message is being cancelled

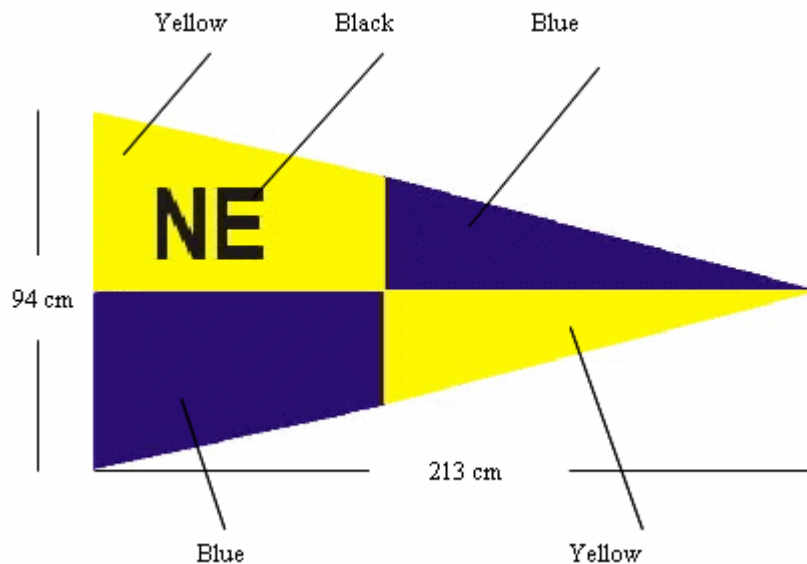
# ANNEX XI Inspection Identification

## Annex XI A) NEAFC Inspection Signal

1. To be flown during daylight and in conditions of normal visibility.





Distance between the pennants shall not exceed 1 meter



2. Boarding Craft shall display one inspection pennant as indicated below. The Pennant may be half scale. The pennant may be painted on the hull or any vertical sides of the craft. When painted, the black letters "NE" may be left out.

## Annex XI B) Identification of Inspectors

<b>NORTH-EAST ATLANTIC FISHERIES COMMISSION</b>	
<b>NEAFC</b>	
 Photograph	<b>Inspector Identity Card</b>
	(Contracting Party)
	(Inspectors name)
Card No.:	


<p>The holder of this document is a NEAFC inspector duly appointed under the terms of the Scheme of Control and Enforcement of the North-East Atlantic Fisheries Commission and has the authority to act under the provision of the Scheme.</p>
<hr/>
Signature

The size should be 10 x 7 cm and may be plastic laminated.

The colours of the NEAFC inspection pennant are indicated in A.

The card number consists of the 3-alpha country code followed by a four digit serial number of the Contracting Party (ref. Annex IX).





## Annex XII (B) - NEAFC Sighting Report

Sighting (OBS) report			
Data Element:	Code:	Mandatory /Optional	Remarks:
Start record	SR	M	System detail; indicates start of record
Address	AD	M	Message detail; destination, XNE for NEAFC
From	FR	M	Message detail; address of the transmitting party (Contracting Party)
Record Number	RN	M	Message detail; serial number in current year
Type of Message	TM	M	Message detail; message type, "OBS" as Observation report
Radio call sign	RC	M	Surveillance detail; international radio call sign of the surveillance craft
Record Date	RD	M	Message detail; date of transmission
Record Time	RT	M	Message detail; time of transmission
Observation Serial Number	OS	M	Surveillance detail; observation serial number
Date	DA	M	Surveillance detail; date when vessel sighted
Time	TI	M	Surveillance detail; time when vessel sighted
Latitude	LA	M	Surveillance detail; latitude when vessel sighted
Longitude	LO	M	Surveillance detail; longitude where vessel sighted
Object Identification	OI	M	Vessel registration detail; radio call sign of the sighted vessel
External Registration Number	XR	M	Vessel registration detail; side number of the sighted vessel or IMO number in the absence of a side number
Vessel Name	NA	O	Vessel registration detail; name of the sighted vessel
Flag State	FS	M	Vessel registration detail; flag state of the sighted vessel
Vessel Type	TP	O	Vessel characteristics; type of the sighted vessel
Speed	SP	O	Surveillance detail; speed of the sighted vessel
Course	CO	O	Surveillance detail; heading of the sighted vessel
Activity	AC	M	Surveillance detail; activity of the sighted vessel (Appendix 1(B) to Annex II)
Photograph	PH	M	Surveillance detail; was there a photograph taken of the sighted vessel, Y or N

<b>Sighting (OBS) report</b>			
<b>Data Element:</b>	<b>Code:</b>	<b>Mandatory /Optional</b>	<b>Remarks:</b>
Comments	MS	O	Surveillance detail; free text to complete the report
End of record	ER	M	System detail; indicates end of an individual record

Positive identification can only be achieved by means of visual verification of the Radio Call sign or the External Registration Number displayed on the vessel.

If positive identification is not possible the reason shall be specified in the comments field



**Annex XII (C) - Accepted means of Surveillance**

Means of Surveillance	Means of verification
Visual	ID of vessel, radio call sign, external registration number, IMO number or name, as displayed on the vessel



# ANNEX XIII - Inspection Report

## NEAFC Report on Inspections

CONTRACTING PARTY:	
ASSIGNED INSPECTION VESSEL:	NAME
	REGISTRATION NUMBER
	CALL SIGN
	NEAFC REFERENCE
ASSIGNED INSPECTORS:	NAME
	NEAFC REFERENCE
	NAME
	NEAFC REFERENCE

### PART A. IDENTIFICATION OF INSPECTED VESSEL

A 1.1 IMO Number A 1.2 International Radio Call Sign A 1.3 Vessel Name A.2 External Registration Number A.3 Vessel Type A.4 Position of Inspection determined by the inspection vessel  DATE TIME Latitude Longitude A.5 Equipment used to determine the position	A.6 Flag State A.7 Master's Name and Address A.8 Vessel Activity  A.9 Position of Inspection determined by the inspected vessel  DATE TIME Latitude Longitude A.10 Equipment used to determine the position
Observations by the inspectors, if any:	

Initials:

**PART B. VERIFICATION**

In the event that the result of the verification is positive indicate by encircling Y and if negative mark N, otherwise indicate or note the requested information.

B.1. Vessel Documentation Checked:			Y/N
B.1.1. Authorisation to fish in the NEAFC Regulatory Area :			Y/N
B.1.2. Authorisation to fish the following regulated resources :			
B.1.3. Where appropriate,	Y/N	Certified Drawing or description of fish room kept on board :	Y/N
B.1.4. Where appropriate,	Y/N	Certified Drawing or description of refrigerated sea water tanks kept on board :	Y/N
B.1.5. Where appropriate,	Y/N	Certified Calibration tables of refrigerated sea water tanks kept on board:	Y/N
Observations by the inspectors, if any:			
Initials:			

B.2. Reporting of vessel movements/VMS		Checked:	Y/N
B.2.1. FISHING TRIP		B.2.2. REPORTS / VMS	
	Arrival in	VMS transponder installed	Y/N

B.2. Reporting of vessel movements/VMS			Checked:	Y/N
B.2.1. FISHING TRIP			B.2.2. REPORTS / VMS	
	NEAFC RA	Last position communicated	VMS system operative	Y/N
Date			Are reports communicated <i>If Yes, note:</i>	Y/N
Time			<input type="checkbox"/> (a) Catch on Entry report date:.....	
Longitude			<input type="checkbox"/> (b) Daily catch report <sup>1</sup> date:.....	
Latitude			<input type="checkbox"/> (c) Transshipment date:.....	
Days in NEAFC R.A			<input type="checkbox"/> (d) Last manual position report date:.....	
			<input type="checkbox"/> (e) Catch on Exit report date:.....	

EU objected to an amendment to the Scheme to require daily reporting of catches and so is not bound by the amendment. EU remains bound by the previous text which reads (b) Weekly catch report

B.3 Recording of fishing effort and catches	
B.3.1 Fishing Logbook	Checked: Y/N
B.3.1.1. Are recordings made in accordance with Article 9: Y/N	
B.3.1.1.1 If not, indicate the inaccurate or missing recording(s):	
<input type="checkbox"/> (a) logbook not bound with numbered pages;	

<b>B.3 Recording of fishing effort and catches</b>		
<input type="checkbox"/> (b) fishing gear used; <input type="checkbox"/> (c) recording of catches by species and total; <input type="checkbox"/> (d) fishing zones / location; <input type="checkbox"/> (e) where appropriate, <input type="checkbox"/> (f) where appropriate, <input type="checkbox"/> (g) certification of recordings by the master. <input type="checkbox"/> (h) other: _____	<div style="border-left: 1px solid black; border-right: 1px solid black; padding: 0 5px;">Y/N</div> <div style="border-left: 1px solid black; border-right: 1px solid black; padding: 0 5px;">Y/N</div>	transhipments; transmission of hail reports;
<b>B.3.2 Production Logbook and Stowage Plan</b>		
Checked: Y/N		
B.3.2.1	Are production logbook and stowage plan required :	Y/N
B.3.2.2	Production logbook available :	Y/N If No, go to 3.2.4
B.3.2.3	If Yes, Information:	COMPLETE/INCOMPLETE
B.3.2.3.1	If not, indicate the missing information:	
	<input type="checkbox"/> (a) quantities kept on board in product weight by type of commercial presentation and species; <input type="checkbox"/> (b) conversion factors for each type of presentation.; <input type="checkbox"/> (c) certification of recordings by the master. <input type="checkbox"/> (d) other: _____	
B.3.2.4.	A stowage plan maintained:	Y/N
B.3.2.5.	If Yes, Information:	COMPLETE/INCOMPLETE
B.3.2.5.1.	If not, indicate the missing information:	
	<input type="checkbox"/> (a) quantities not stowed by type of commercial presentation and species as indicated in the plan; <input type="checkbox"/> (b) quantities by type of commercial presentation and species in the hold not identified. <input type="checkbox"/> (c) other: _____	

B.4. Catches retained on board		Checked:		Y/N		
B.4.1 Quantities recorded by the master						
SPECIES	DECLARED QUANTITIES ON BOARD (Kilograms Live weight)				Where available PROCESSED QUANTITIES (Kilograms Processed weight)	CONVERSION FACTOR
	On Board <sup>1</sup>	Caught <sup>2</sup>	Transshipped <sup>3</sup>	Total on Board <sup>4</sup>		
TOTAL						
1. Quantities on board when entering the NEAFC RA 2. Quantities caught and retained on board in the NEAFC RA 3. Quantities loaded (+) or unloaded (-) in the NEAFC RA 4. Total declared quantities on board at the time of inspection						

B.4.2 Quantities on board determined by the inspectors					
SPECIES	QUANTITY (Kilograms Processed weight)	VOLUME/ DENSITY FACTOR/ CONVERSION FACTOR	CALCULATED QUANTITIES (Kilograms Live weight)	Difference (%) <sup>1</sup>	OBSERVATIONS

B.4.2 Quantities on board determined by the inspectors					
TOTAL					
1. Difference between the quantities on board as determined by the inspectors and the total quantities on board as declared by the master					

B.5 Fishing gear and markings		Checked: Y/N	
B.5.1	Type of fishing gear used (Appendix 2(A) to Annex II) :	-----	
B.5.2	Type of net attachments used (Appendix 2(B) to Annex II):	-----	
B.5.3	Stationary gear used marked : Y/N	Comment:	-----
B.5.4	Unused gear securely lashed and stowed: Y/N	Comment:	-----
B.5.5 Mesh measurement of gear used		Checked: Y/N	
B.5.5.1 Cod end (inclusive of lengthener(s), if any - Sample of 20 meshes			
Type of Gear <sup>1</sup>	CONDITION : WET/DRY MATERIAL: .....		Average width (in mm)
	MESH SIZE (WIDTH) In Millimetres		
1. Appendix 2(A) to Annex II			
B.5.5.2. Chafer Samples of ..... meshes			



B.5		Fishing gear and markings															Checked:		Y/N		
Type <sup>1</sup>	CONDITION : WET/DRYMATERIAL : .....															Average width (in mm)	Legal size (in mm)				
	MESH SIZE (WIDTH) In Millimetres																				
1. Appendix 2(B) to Annex II																					
B.5.5.3. Rest of net - Sample of 20 meshes																					
Type <sup>1</sup>	CONDITION : WET/DRYMATERIAL : .....															Average width (in mm)	Legal size (in mm)				
	MESH SIZE (WIDTH) In Millimetres																				
1. Appendix 2(B) to Annex II																					

<b>PART C EVALUATION</b>					
C.1.I		Analysis of catches of the last haul		Checked:	Y/N
Sample taken: Y/N		Weight: ..... in Kg.		Visual Estimate:	Y/N
Species FAO Alpha Code	Weight of Species (live weight Kg)	% Undersized Fish	% Discards	Remarks	

**PART C EVALUATION**

TOTAL				

**PART D COOPERATION**

D.1	Level of cooperation deemed appropriate:	Y/N	
D.1.1	If not, indicate the shortcomings:		
<input type="checkbox"/> (a) prevented an inspector from carrying out his duties; <input type="checkbox"/> (b) falsifying or concealing the markings, identity or registration of the fishing vessel; <input type="checkbox"/> (c) concealing, tampering with or disposing of evidence relating to an investigation;. <input type="checkbox"/> (d) failure to facilitate prompt and safe boarding and disembarkation; <input type="checkbox"/> (e) failure to allow the inspectors to communicate with authorities of the flag contracting Party and the inspecting contracting Party; <input type="checkbox"/> (f) failure to provide access to relevant areas, decks and rooms of the fishing vessel, catch (whether processed or not) nets or other gear, equipment, and any relevant documents			
Observations by the inspectors if any:			
-----			
-----			
Initials:			

**PART E INFRINGEMENTS AND OBSERVATIONS**

## E.1. Infringements noted

Article	Cite NEAFC provision(s) violated and summarise observations and pertinent facts
---------	---

PART E INFRINGEMENTS AND OBSERVATIONS	
Seal Number(s)	Refer to evidence, documentation or photographs

PART E INFRINGEMENTS AND OBSERVATIONS	
E.2. Observations by the inspectors	
Initials :	

<b>PART E INFRINGEMENTS AND OBSERVATIONS</b>			
Statement of witness:			
Date		Signature	
Name		Address	

<b>PART E INFRINGEMENTS AND OBSERVATIONS</b>			
E.3. Observations by the Master			
<p>I, the undersigned, Master of the vessel</p> <p>hereby confirm that a copy of this report and second photographs taken, if any, have been delivered to me on this date. My signature does not constitute acceptance of any part of the contents of this report, except my own observations, if any.</p> <p>Signature: _____ Date : _____</p>			

<b>PART F DECLARATION BY NEAFC INSPECTORS</b>			
Date		and time arrived on board	UTC
Date		and time of departure	UTC
Where appropriate,			
Date		and time of the termination of the inspection	UTC
Inspector's Signature(s)			

<b>PART F DECLARATION BY NEAFC INSPECTORS</b>	
Inspector's name(s)	



## ANNEX XIV - Boarding Ladders

The construction and use of boarding ladders

1. A boarding ladder shall be provided which shall be efficient for the purpose of enabling inspectors to embark and disembark safely at sea. The boarding ladder shall be kept clean and in good order.
2. The ladder shall be positioned and secured so that:
  - a. it is clear of any possible discharges from the vessel;
  - b. it is clear of the finer lines and as far as practicable in the midlength of the vessel;
  - c. each step rests firmly against the vessel's side.
3. The steps of the boarding ladder shall:
  - a. be of hardwood or other material of equivalent properties, made in one piece free of knots; the four lowest steps may be made of rubber of sufficient strength and stiffness, or of other suitable material of equivalent characteristics;
  - b. have an efficient non-slip surface;
  - c. be not less than 480 mm long, 115 mm wide, and 23 mm in thickness, excluding any non-slip device or grooving;
  - d. be equally spaced not less than 300 mm or more than 380 mm apart;
  - e. be secured in such a manner that they will remain horizontal.
4. No boarding ladder shall have more than two replacement steps which are secured in position by a method different from that used in the original construction of the ladder and any steps so secured shall be replaced, as soon as reasonably practicable, by steps secured in position by the method used in the original construction of the ladder. When any replacement step is secured to the side ropes of the boarding ladder by means of grooves in the side of the step, such grooves shall be in the longer sides of the steps.
5. The side ropes of the ladder shall consist of two uncovered manila or equivalent ropes not less than 60 mm in circumference on each side; each rope shall be left uncovered by any other material and be continuous with no joints below the top step; two main ropes, properly secured to the vessel and not less than 65 mm in circumference, and a safety line shall be kept at hand ready for use if required.
6. Battens made of hardwood, or other material of equivalent properties, in one piece, free of knots and between 1,8 and 2 m long, shall be provided at such intervals as will prevent the boarding ladder from twisting. The lowest batten shall be on the fifth step from the bottom of the ladder and the interval between any batten and the next shall not exceed nine steps.
7. Means shall be provided to ensure safe and convenient passage for inspectors embarking on or disembarking from the vessel between the head of the boarding ladder or of any accommodation ladder or other appliance provided. Where such passage is by means of a gateway in the rails or bulwark, adequate handholds shall be provided. Where such passage is by means of a bulwark ladder, such ladder shall be securely attached to the bulwark rail or platform and two handhold

stanchions shall be fitted at the point of boarding or leaving the vessel not less than 0,70 m or more than 0,80 m apart. Each stanchion shall be rigidly secured to the vessel's structure at or near its base and also at a higher point, shall be not less than 40 mm in diameter, and shall extend not less than 1,20 m above the top of the bulwark.

8. Lighting shall be provided at night so that both the boarding ladder overside and also the position where the inspector boards the vessel shall be adequately lit. A lifebuoy equipped with a self-igniting light shall be kept at hand ready for use. A heaving line shall be kept at hand ready for use if required.
9. Means shall be provided to enable the boarding ladder to be used on either side of the vessel. The inspector in charge may indicate which side he would like the boarding ladder to be positioned.
10. The rigging of the ladder and the embarkation and disembarkation of an inspector shall be supervised by a responsible officer of the vessel. The responsible officer shall be in radio contact with the bridge.
11. Where on any vessel constructional features such as rubbing bands would prevent the implementation of any of these provisions, special arrangements shall be made to ensure that inspectors are able to embark and disembark safely.



# ANNEX XV - Port-State Control Forms

## Annex XV a - Form PSC 1

Notifications and the completion of Parts A, B and C, pursuant to Articles 22, 23 and 39 shall be done through an online application established and maintained by the Secretary on the NEAFC website. An email or a fax-based system, using the forms set out in Annex XV, shall be used as a back-up system in the event that the NEAFC website is offline.

NEAFC PORT STATE CONTROL FORM PSC 1									
PART A: To be completed by the Master of the Vessel. Please write in black ink <sup>6</sup> .									
Name of Vessel:	IMO Number: <sup>1</sup>			Radio Call Sign:			Flag State:		
Email Address:	Telephone Number:			Fax Number:			Inmarsat Number:		
Vessel Master's Name	Vessel Master's Nationality			Vessel Owner			Certificate of Registry ID		
Vessel Dimension:	Length (m)		Beam (m)		Draft (m)				
Port State				Port of Landing Transshipment, or other Use of Port					
Reason for Port Entry	Landing:(y/n)		Transshipment: y/n)		Other: y/n)				
Last port of call				Date:					
Estimated time of arrival			Date:		Time UTC:				
Total catch on board - all areas								Catch to be landed <sup>2</sup>	
Species <sup>3</sup>	Product <sup>4</sup>	Packaging or Container <sup>4</sup>	Type of processing <sup>5</sup>	Area of catch			Conversion Factor	Product Weight (kg)	Product Weight (kg)
				NEAFC CA (ICES subareas and divisions)	NAFO RA Sub Division	Other Areas			

PART B: For official use only - to be completed by the Flag State							
The Flag State of the vessel must respond to the following questions by marking in the box "Yes" or "No"				NEAFC CA		NAFO RA	
				Yes	No	Yes	No
a) The fishing vessel declared to have caught the fish had sufficient quota for the species declared							
b) The quantities on board have been duly reported and taken into account for the calculation of any catch or effort limitations that may be applicable							
c) The fishing vessel declared to have caught the fish had authorisation to fish in the area declared							
d) The presence of the fishing vessel in the area of catch declared has been verified according to VMS data							
Flag State confirmation: <i>I confirm that the above information is complete, true and correct to the best of my knowledge and belief.</i>							
Name and Title:					Date:		
Signature:				Official Stamp:			
PART C: NEAFC Port State Authorisation For official use only - to be completed by the Port State							
Authorisation given to commence Landing, transshipment operations or other use of port services for fisheries resources caught in the NEAFC Convention Area							
Name of Port State:							
Authorisation:		Yes:		No:		Date:	
Signature:				Official Stamp:			
NOTES							
<ol style="list-style-type: none"> <li>1. Fishing vessels not assigned an IMO number shall provide their external registration number</li> <li>2. If necessary an additional form or forms shall be used</li> <li>3. <a href="#">FAO Species Codes Annex V</a></li> <li>4. Product presentations Appendix 1 (<a href="#">A</a> and <a href="#">B</a>) to Annex IV</li> <li>5. Type of processing NEAFC <a href="#">Appendix 1c</a> to Annex IV</li> <li>6. Black ink is required when faxing forms</li> </ol>							

## Annex XV b - Form PSC 2

Notifications and the completion of Parts A, B and C, pursuant to Articles 22, 23 and 39 shall be done through an online application established and maintained by the Secretary on the NEAFC website. An email or a fax-based system, using the forms set out in Annex XV, shall be used as a back-up system in the event that the NEAFC website is offline.

NEAFC PORT STATE CONTROL FORM PSC2									
PART A: To be completed by the Master of the Vessel. <b>A separate form shall be completed for each donor vessel. Please write in black ink</b> <sup>6</sup>									
Name of Vessel:	IMO Number: <sup>1</sup>			Radio Call Sign:			Flag State:		
Email Address:	Telephone Number:			Fax Number:			Inmarsat Number:		
Vessel Master's Name	Vessel Master's Nationality			Vessel Owner			Certificate of Registry ID		
Vessel Dimension:	Length (m)			Beam (m)			Draft (m)		
Port State				Port of Landing Transshipment or other Use of Port					
Last port of call				Date:					
Reason for Port Entry	Landing:(y/n)			Transshipment: y/n)			Other: y/n)		
Date of Transshipment <sup>7</sup>			Location of Transshipment <sup>7</sup>				Transshipment authorisation if relevant		
Estimated time of arrival			Date:			Time UTC:			
Estimated Time of Arrival:			Date:			Time UTC:			
Catch Information for Donor Vessels: A separate form shall be completed for each Donor Vessel									
Name of Vessel:	IMO Number: <sup>1</sup>			Radio Call Sign:			Flag State:		
Total catch on board - all areas									Catch to be landed <sup>2</sup>
Species <sup>3</sup>	Product <sup>4</sup>	Packaging or Container <sup>4</sup>	Type of Processing <sup>5</sup>	Area of catch			Conversion Factor	Product Weight (kg)	Product Weight (kg)
				NEAFC CA (ICES subareas and divisions)	NAFO RA (Sub Division)	Other Areas			

<b>PART B: For official use only - to be completed by the Flag State</b>											
The Flag State of the vessel must respond to the following questions by marking in the box "Yes" or "No"								<b>NEAFC CA</b>		<b>NAFO RA</b>	
								<b>Y</b>	<b>N</b>	<b>Y</b>	<b>N</b>
a) The fishing vessel declared to have caught the fish had sufficient quota for the species declared											
b) The quantities on board have been duly reported and taken into account for the calculation of any catch or effort limitations that may be applicable											
c) The fishing vessel declared to have caught the fish had authorisation to fish in the area declared											
d) The presence of the fishing vessel in the area of catch declared has been verified according to VMS data											
Flag State confirmation: I confirm that the above information is complete, true and correct to the best of my knowledge and belief.											
Name and Title:								Date:			
Signature:						Official Stamp:					
<b>PART C: NEAFC Port State Authorisation For official use only - to be completed by the Port State</b>											
Authorisation given to commence Landing, transshipment operations or other use of port services for fisheries resources caught in the NEAFC Convention Area											
Name of Port State:											
Authorisation:		Yes:				No:				Date:	
Signature:						Official Stamp:					
1. Fishing vessels not assigned an IMO number shall provide their external registration number											
2. If necessary an additional form or forms shall be used				3. <a href="#">FAO Species Codes Annex V</a>				4. Product presentations Appendix 1 to Annex IV ( <a href="#">A</a> and <a href="#">B</a> )			
5. <a href="#">Type of processing NEAFC Appendix 1c) to Annex IV</a>				6. Black ink is required when faxing forms				7. If the catch specified in this PSC2 form has been accepted from the donor vessel in more than one transshipment, the date and location of the final transshipment operation should be entered.			

# ANNEX XVI - Port Inspection Forms

ANNEX XVI Form PSC3						
Inspection Report Number:						
EPSC reference number:						
A. INSPECTION REFERENCE						
Landing	Yes	No	Transhipment	Yes	No	Other reason for port entry
Port State			Port of landing or transhipment			
Vessel name		Flag State		IMO Number <sup>1</sup>		International Radio call sign
Landing/transhipment started		Date		Time		
Landing/transhipment ended		Date		Time		
Vessel Type		Certificate of Registry ID		Port of Registry		VMS
Vessel master's name		Vessel master's nationality		Fishing master's name		Fishing master's nationality
Vessel's owner/operator		Vessel's beneficial owner <sup>8</sup>			Vessel's agent	
Last Port of Call				Date		
B. INSPECTION DETAILS						
Name of Donor Vessel <sup>2</sup>		IMO Number <sup>1</sup>		Radio Call sign		Flag State
B1. CATCH RECORDED IN THE LOGBOOK						
Species <sup>3</sup>		Area of catch		Declared live weight kg		Conversion Factor Used

**B2. FISH LANDED OR TRANSHIPED\*\*** In cases where a Vessel has engaged in transshipment operations a separate form shall be used for each donor vessel

Species <sup>4</sup>	Product <sup>5</sup>	Packaging or Container <sup>5</sup>	Type of processing <sup>9</sup>	Area of Catch	Product weight landed in kg	Conversion Factor	Equivalent Live weight	Diff (kg) between live weight declared in the logbook and the live weight landed	Diff (%) between live weight declared in the logbook and the live weight landed	Diff (kg) between product weight landed and PSC 1/2	Diff (%) between product weight landed and PSC 1/2

Relevant Transshipment Authorisation:

**B3. INFORMATION ABOUT LANDINGS AUTHORISED WITHOUT CONFIRMATION FROM THE FLAG STATE** ref: NEAFC article 23.3/ NAFO art 43.7

Name of Storage:	
Name of Competent Authorities:	
Deadline for Receiving Confirmation:	

**B4. FISH RETAINED ON BOARD**

Species <sup>6</sup>	Product <sup>7</sup>	Type of Packaging or Container <sup>7</sup>	Type of processing <sup>10</sup>	Area of Catch	Product Weight (kg)	Conversion Factor	Live weight (kg)	Diff (kg) between product weight on board and PSC 1/2	Diff (%) between product weight on board and PSC 1/2


**C. RESULTS OF INSPECTION****C1. GENERAL**

Inspection Started	Date:		Time:	
Inspection Ended	Date:		Time:	

Status in other RFMO areas where fishing or fishing related activities have been undertaken including any IUU vessel listing

RFMO	Vessel Identifier	Flag State Status	Vessel on authorised list	Vessel on IUU List
Observation				

**C2 GEAR INSPECTION IN PORT (In accordance with Annex XVIII (e))****A. General Data**

Number of Gear Inspected		Date gear inspected	
Has the vessel been cited?	Yes: <input type="checkbox"/>	No: <input type="checkbox"/>	If yes, complete the full verification of inspection in port. If no, complete the form with the exception of the seal details

**B. Otter Trawl details**

Seal Number		Is the seal undamaged?	Yes: <input type="checkbox"/>	No: <input type="checkbox"/>
Gear Type:				
Attachments:				
Grate Bar Spacing (mm):				
Mesh type				

Average Mesh sizes (mm)	
Trawl part	
Wings	
Body	
Lengthening Piece	
Codend	

<b>D. OBSERVATIONS BY THE MASTER/REPRESENTATIVE OF THE MASTER</b>
<p>I, the undersigned, Master/Representative of the Master of the vessel</p> <p>.....</p> <p>hereby confirm that a copy of this report have been delivered to me on this date. My signature does not constitute acceptance of any part of the contents of this report, except my own observations, if any. Signature:</p> <p>_____ Date :</p> <p>_____</p>

<b>E. INFRINGEMENTS AND FOLLOW-UP</b>			
<b>E1. NAFO</b>			
<b>E.1 A Sea Inspection</b>			
Infringements resulting from Inspections inside NAFO RA			
Inspection Party	Date of Inspection	Division	NAFO CEM infringement legal reference
<b>E1B Port Inspection results</b>			
<b>(a) – Confirmation of Infringements found at sea inspection</b>			
NAFO CEM Infringement legal reference		National Infringement Legal Reference	
<b>(b) – Infringements found at sea inspection and not possible to be confirmed during the Port Inspection</b>			
Comments:			
<b>(c) - Additional infringements found during the Port Inspection</b>			



NAFO CEM Infringement legal reference		National Infringement Legal Reference
E2. NEAFC INFRINGEMENT NOTED		
Article:	NEAFC provision(s) violated and summary of pertinent facts	
Inspectors Observations:		
Action Taken:		
Inspecting authority / agency:		
Inspectors Name	Inspectors Signature	Date and Place
F:DISTRIBUTION		
Copy to flag state	Copy to NEAFC Secretary	Copy to NAFO Executive Secretary

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<sup>1</sup> Fishing vessels not assigned an IMO number shall provide their external registration number

<sup>2</sup> In case where a vessel has engaged in transshipment operations . A separate form shall be used for each donor vessel

<sup>3</sup> FAO Species Codes – NEAFC Annex V NAFO Annex I.C

<sup>4</sup> & <sup>6</sup> FAO Species Codes – NEAFC Annex V NAFO Annex II

<sup>5</sup> & <sup>7</sup> Product presentations – NEAFC Appendix 1 a and b to Annex IV – NAFO Annex II.K

<sup>8</sup> If known and if different from vessel's owner

<sup>9</sup> & <sup>10</sup> Type of processing – NEAFC Appendix 1 c to Annex IV – NAFO Annex II.K

## **ANNEX XVII - General guidelines for risk management in relation to Port State Control**

Risk management means the systematic identification of risks and the implementation of all measures necessary for limiting the occurrence of these risks. This includes activities such as collecting data and information, analysing and assessing risks, preparing and taking action and regular monitoring and review of the process and its outcomes.

On the basis of its risk assessment, each port State defines its risk management strategy to facilitate compliance with the Scheme. Such strategy should encompass the identification, description and allocation of appropriate cost-effective control instruments and inspection means, in relation to the nature and the estimated level of each risk, and the achievement of target benchmarks.

Risk assessment and management criteria are laid down for checking, inspection and verification activities in order to allow timely risk analyses and general assessments of relevant control and inspection information.

Individual fishing vessels, groups of fishing vessels, operators, and/or fishing activity, on different species and in different parts of the Convention Area are subject to control and inspections according to the level of risk attributed, using inter alia the following general assumptions of risk levels criteria in relation to the Port State Control of landings and transshipments in port:

- Catches taken by a non-Contracting Party vessel;
- Frozen catches ;
- Catches of a large volume;
- Catches previously transhipped at sea;
- Catches taken outside the waters under the jurisdiction of Contracting Parties, i.e. in the Regulatory Area;
- Catches taken both inside and outside the Convention Area;
- Catches of high value species;
- Catches from fisheries resources where there are particularly limited fishing opportunities;
- Number of inspections previously carried out and number of detected infringements for a vessel and/or operator.

## ANNEX XVIII - Port State inspection procedures

Inspectors shall:

- a. Verify that the vessel identification documentation onboard and information relating to the owner of the vessel is true, complete and correct, including through appropriate contacts with the flag State or international records of vessels if necessary;
- b. verify that the vessel's flag and markings (e.g. name, external registration number, International Maritime Organization (IMO) ship identification number, international radio call sign and other markings, main dimensions) are consistent with information contained in the documentation;
- c. verify that the authorizations for fishing and fishing related activities are true, complete, correct and consistent with the information provided in accordance with Article 22;
- d. review all other relevant documentation and records held onboard, including those in electronic format and vessel monitoring system (VMS) data from the flag State or relevant Regional Fisheries Management Organizations. Relevant documentation may include logbooks, catch, transshipment and trade documents, crew lists, stowage plans and drawings, descriptions of fish holds, and documents required pursuant to the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES);
- e. examine all relevant fishing gear onboard, including any gear stowed out of sight as well as related devices, and verify that they are in conformity with the conditions of the authorizations. The fishing gear shall also be checked to ensure that features such as the mesh and twine size, devices and attachments, dimensions and configuration of nets, pots, dredges, hook sizes and numbers are in conformity with applicable regulations and that the markings correspond to those authorized for the vessel;
- f. determine whether the fish on board was harvested in accordance with the applicable authorizations;
- g. monitor the entire discharge or transshipment and cross-check between the quantities by species recorded in the prior notice of landing and the quantities by species landed or transhipped;
- h. examine the fish, including by sampling, to determine its quantity and composition. In doing so, inspectors may open containers where the fish has been pre-packed and move the catch or containers to ascertain the integrity of fish holds. Such examination may include inspections of product type and determination of nominal weight;
- i. when the landing or transshipment is completed, verify and note the quantities by species of fish remaining on board;
- j. evaluate whether there is clear evidence for believing that a vessel has engaged in IUU fishing or fishing related activities in support of such fishing;

- k. provide the master of the vessel with the report containing the result of the inspection, including possible measures that could be taken, to be signed by the inspector and the master. The master's signature on the report shall serve only as acknowledgment of the receipt of a copy of the report. The master shall be given the opportunity to add any comments or objection to the report, and, as appropriate, to contact the relevant authorities of the flag State in particular where the master has serious difficulties in understanding the content of the report. A copy of the report shall be provided to the master; and
- l. arrange, where necessary and possible, for translation of relevant documentation.

## ANNEX XIX - Information to be Forwarded When Designating Ports

Port Identification						
Country	Port Name <sup>1</sup>	Port Code <sup>2</sup> (UN/LOCODE, if available)	Border Inspection Post	Type of port		
			yes/no	Landing	Transshipment	Other port services

<sup>1</sup>Please use name as appearing on the UNECE list:

<https://unece.org/cefact/unlocode-code-list-country-and-territory>.

<sup>2</sup>Please use name as appearing on the UNECE list:

<https://unece.org/cefact/unlocode-code-list-country-and-territory>.



## **ANNEX XX - Information to be provided when applying for status as active co- operating non-Contracting Party**

Applicants for the status as active co-operating non-Contracting Party shall include information as requested below in their application:

1. A list of the relevant international instruments to which they are a Party, including Regional Fisheries Management Organisations. A list of the Regional Fisheries Management Organisation to which they are a co-operating non-Contracting Party shall also be provided.
2. A description of the port State control measures implemented in accordance with the FAO Port State Measures Agreement.
3. A description of the institutional, legal and technical foundation/ framework for fisheries management (such as that referred to in Article 7 of the 1995 FAO Code of Conduct for Responsible Fisheries) in place, including at a minimum:
  - a. a government agency/ authority with a clear mandate and accountability for the results of fisheries management policy;
  - b. an agency/ authority to issue regulations and ensure control and enforcement;
  - c. internal organisation for inter-departmental coordination, in particular coordination between fisheries authorities and vessel registry authorities; and
  - d. infrastructure for scientific advice.
4. The measures in place to effectively manage fishing activities and transshipment activities of the vessels flying their flag, ensuring the conservation and sustainable use of living marine resources.
5. The legal framework and other measures in place ensuring that vessels flying their flag do not engage in
  - a. activities undermining the effectiveness of international conservation and management measures;
  - b. unauthorised fishing and transshipment activities within areas under the national jurisdiction of other States.
6. How the obligations incumbent upon vessel owners, operators and crews are made clearly accessible and communicated to them; and how guidance is provided regarding how to meet these obligations.
7. A description of the procedures for registration in their national vessel registry, including:
  - a. requirements for information regarding vessel owners and operators which identifies beneficial owners and operators;
  - b. requirements for information regarding characteristics of the vessel;
  - c. verification of vessel history;

- d. grounds for refusal of registration of the vessel, including, to the extent possible, if it is on an IUU list or record, has a history of non-compliance or is registered in two or more States;
  - e. deregistration requirements;
  - f. notification of changes and regular update requirements;
  - g. coordination of registration between fisheries and merchant marine registries; and
  - h. coordination with prior flag States to determine whether there are pending investigations or sanctions; and to prevent double registrations and flag hopping.
8. A description of whether and how pending sanctions against a vessel are settled before it is deregistered.
  9. Whether registration procedures are easily accessible and transparent.
  10. Whether the registry data are publicly available and easily accessible.
  11. A description of their internal organisation for inter-departmental coordination, in particular coordination between the general vessel registry authorities, the record of fishing vessels and the fisheries authorities. This shall include information regarding how information is shared and how it is ensured that each registry/ record/ authority gives appropriate consideration of the other.
  12. A description of whether a record of fishing vessels and vessels involved in transshipments flying their flag is maintained and includes:
    - a. information about the vessel: specific identity sign, call sign, name of the vessel, IMO number, maximum length, breadth, gross tonnage, year of construction/reconstruction, hull material, year of engine construction, engine power and building certificate;
    - b. information about the owners and beneficial owners of the vessel and its co-owner(s): full name, business address, address of residence and postal address; and
    - c. special licences and annual permits.
  13. A description of whether the records are kept in accordance with relevant subregional, regional and international standards and requirements.
  14. A specification of whether the regime for authorisations ensures that no vessel is allowed to fish or be involved in transshipments unless so authorised, in a manner consistent with international law and with the sustainability of the relevant stocks, including:
    - a. appropriate scope for authorisation of fishing and fishing related activities, including conditions for the protection of marine ecosystems;
    - b. prior assessment of a vessel's history of compliance and ability to comply with applicable measures; and
    - c. minimum information requirements in the authorisation that allow identification of accountable persons, areas and species.
  15. A specification of how their regime ensures that authorisations for fishing and taking part in transshipment activities are only issued where:
    - a. the vessel has the ability to comply with the terms and conditions of the authorisation;



- b. they can effectively exercise their jurisdiction and control over the vessel to ensure compliance with applicable conservation and management measures; and
  - c. they can effectively exercise their enforcement jurisdiction and authority over the holder of the authorisation.
- 16. A description of the control regime in place for the vessels flying their flag and whether it includes, as a minimum:
  - a. legal authority to take control of the vessels (e.g. denial of sailing, recall to port);
  - b. up-to-date record of vessels;
  - c. monitoring tools, such as vessel monitoring systems, logbooks/documentation;
  - d. mandatory requirements regarding fisheries-related data that must be recorded and reported in a timely manner by the vessels (e.g. catches, effort, bycatches and discards; landings and transshipments); and
  - e. an inspection regime, including at sea and at port.
- 17. A description of their enforcement regime and whether it includes, as a minimum:
  - a. authority and capacity to detect, conduct timely investigations and take enforcement action with respect to violations, including an appropriate system for the acquisition, collection, preservation and maintenance of the integrity of evidence
  - b. a system of sanctions proportionate to the seriousness of the violation and adequate in severity to effectively secure compliance and discourage violations,
  - c. co-operation and mutual legal assistance, including as appropriate information sharing and reporting arrangements with other States and international organisations,
  - d. prohibition of high seas fishing and fishing related activities by a vessel flying their flag where such vessel has been involved in the commission of a serious violation of relevant subregional or regional conservation and management measures applicable to the high seas, until such time as all outstanding sanctions imposed by the flag State in respect of the violation have been complied with in accordance with their laws.
- 18. Whether any of their vessels are included on any RFMO IUU list. If so, a description of the action taken in respect of this/ these vessel(s) should be included.