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## **Northwest Atlantic Fisheries Organization**



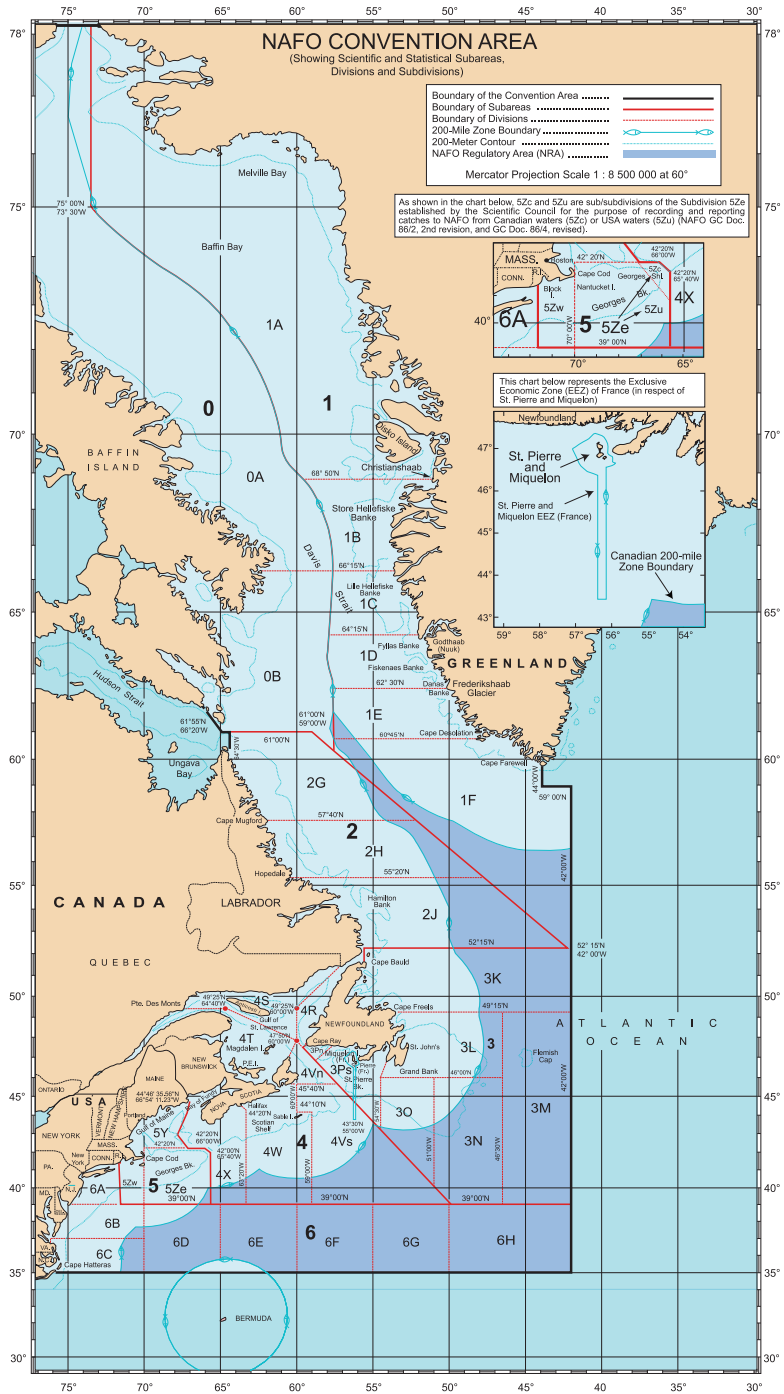
## **Conservation and Enforcement Measures 2019**



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## Foreword

This publication incorporates all NAFO Conservation and Enforcement Measures presently in force as adopted by the Commission in accordance with provisions of Articles VI and XIV of the Convention on Cooperation in the Northwest Atlantic Fisheries.

Every year, the NAFO Conservation and Enforcement Measures (CEM) are revised by the Commission. The amendments for 2019, which were adopted at the 40<sup>th</sup> Annual Meeting in September 2018, are listed on the following pages, along with the reference documents.

All NAFO publications, including the NAFO Conservation and Enforcement Measures, can be downloaded from the NAFO Website: [www.nafo.int](http://www.nafo.int)

Fred Kingston

Executive Secretary



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## Amendments Adopted at Annual Meetings

### Amendments Adopted at Annual Meeting, September 2018

CEM Article/Annex (2019 CEM numbers)	Source
Article 1.13	COM Doc. 18-14
Article 6.3.f	COM Doc. 18-12
Article 7.10	COM Doc. 18-28
Article 10.5.c.ii	COM Doc. 18-07
Article 12.1.b	COM Doc. 18-13
Article 12.1.e-f	COM Doc. 18-17
Article 17.3.b, Table 7, Figure 5	COM Doc. 18-28
Article 28.5	COM Doc. 18-09
Article 28.6.g	COM Doc. 18-13
Article 30	COM Doc. 18-14
Article 35.1.h	COM Doc. 18-08
Article 37.4-6	COM Doc. 18-11
Article 42	COM Doc. 18-10
Article 43.6	COM Doc. 18-10
Article 43.13.f	COM Doc. 18-08
Article 44.2	COM Doc. 18-10
Article 45.3	COM Doc. 18-10
Annex I.E, VI	COM Doc. 18-16
Annex I.F	COM Doc. 18-15
Annex I.G	COM Doc. 18-15
Annex II.E	COM Doc. 18-06
Annex II.L	COM Doc. 18-10

### Deletions Adopted at Annual Meeting, September 2018

CEM Article/Annex (2018 CEM numbers)	Source
Annex I.A footnote 14	COM Doc. 18-12
Annex I.A footnote 15	COM Doc. 18-28





**Amendments Adopted at Annual Meeting, September 2017**

<b>CEM Article/Annex (2018 CEM numbers)</b>	<b>Source</b>
Article 10.1	COM Doc. 17-17
Article 10.4.e	COM Doc. 17-11
Article 12.1; 12.2; 12.5	COM Doc. 17-07
Article 17.1	COM Doc. 17-16
Article 22.4.c	COM Doc. 17-15
Article 23.2	COM Doc. 17-15
Article 29.10.g.ii; 29.12	COM Doc. 17-08
Article 30.A.7.c	COM Doc. 17-13
Article 31.1 to 31.5; 31.7 to 31.9	COM Doc. 17-10
Article 32.1 to 32.3	COM Doc. 17-10
Article 33.1 to 33.4	COM Doc. 17-10
Article 34; 34.a; 34.f; 34.h	COM Doc. 17-10
Article 35.1.f; 35.1.h; 35.1.i; 35.1.n; 35.1.o	COM Doc. 17-10
Article 36.1; 36.2.c; 36.3.b; 36.4; 36.6	COM Doc. 17-10
Article 37	COM Doc. 17-10
Article 38.1.b; 38.1.p	COM Doc. 17-10
Article 38.2 to 38.5	COM Doc. 17-10
Article 39	COM Doc. 17-10
Article 40.1.c; 40.1.d	COM Doc. 17-10
Article 40.2	COM Doc. 17-10
Article 42	COM Doc. 17-11
Article 43 (headings)	COM Doc. 17-11
Article 43.11; 43.13; 43.14; 43.16; 43.17	COM Doc. 17-11
Article 44.3	COM Doc. 17-11
Article 45.3	COM Doc. 17-09
Article 46.2	COM Doc. 17-11
Article 47.1	COM Doc. 17-11
Annex I.A Footnote 14	COM Doc. 17-14
Annex I.A Footnote 15	COM Doc. 17-29
Annex I.F	COM Doc. 17-17
Annex I.G	COM Doc. 17-17
Annex IV.A	COM Doc. 17-10
Annex IV.B	COM Doc. 17-10
Annex IV.H	COM Doc. 17-11
Changes made throughout the CEM as a result of the entry into force of the amendments to the NAFO Convention	COM Doc. 17-12



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## Deletions Adopted at Annual Meeting, September 2017

CEM Article/Annex (2017 CEM numbers)	Source
Article 6.3.f	COM Doc. 17-14
Article 10.2	COM Doc. 17-17
Article 31.5	COM Doc. 17-10
Article 31.8	COM Doc. 17-10
Article 35.2	COM Doc. 17-10
Article 38.3	COM Doc. 17-10
Article 40.1.e	COM Doc. 17-10
Article 40.2	COM Doc. 17-10
Article 46.1.c	COM Doc. 17-11
Article 47.2	COM Doc. 17-11



## Article 1 - Definitions

1. "Bottom fishing activities" means bottom fishing activities where the fishing gear is likely to contact the seafloor during the normal course of fishing operations;
2. "CEM" refers to these Conservation and Enforcement Measures;
3. "Convention" means the 1979 *Convention on Cooperation in the Northwest Atlantic Fisheries*, as amended from time to time;
4. "FMC" means a land-based fisheries monitoring centre of the flag State Contracting Party;
5. "Fishing activities" means harvesting or processing fishery resources, landing or transshipping of fishery resources or products derived from fishery resources, or any other activity in preparation for, in support of, or related to the harvesting of fisheries resources in the Regulatory Area, including:
  - (a) the actual or attempted searching for, catching or taking of fishery resources;
  - (b) any activity that can reasonably be expected to result in locating, catching, taking, or harvesting of fishery resources for any purpose; and
  - (c) any operation at-sea in support of, or in preparation for, any activity described in this definition,but does not include any operations related to emergencies involving the health and safety of the crew members or the safety of a vessel;
6. "Fishing day" means any calendar day or any fraction of a calendar day in which a fishing vessel is present in any Division in the Regulatory Area;
7. "Fishing trip" for a fishing vessel includes the time from its entry into until its departure from the Regulatory Area and continues until all catch on board from the Regulatory Area has been landed or transhipped;
8. "Fishing vessel" means any vessel equipped for, intended for, or engaged in fishing activities, including fish processing, transshipment or any other activity in preparation for or related to fishing activities, including experimental or exploratory fishing activities;
9. "IMO Number" means a 7-digit number, which is assigned under the authority of the International Maritime Organization by IHS-Maritime;
10. "Inspector", unless otherwise specified, means an inspector of the fishery control services of a Contracting Party assigned to the Joint Inspection and Surveillance Scheme;
11. "IUU fishing" means activities as defined in paragraph 3 of the *FAO International Plan of Action to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing*;



12. "IUU Vessel List" means the list, established in accordance with Articles 52 and 53;
13. "Non-Contracting Party vessel" means a vessel entitled to fly the flag of a State that is not a Contracting Party or a vessel suspected to be without nationality;
14. "Observer" means a person who is authorized and certified by a Contracting Party to observe, monitor and collect information aboard fishing vessels;
15. "Port" includes offshore terminals and other installations for landing, transshipping, packaging, processing, refuelling or resupplying;
16. "Processed fish" means any marine organism that has been physically altered since capture, including fish that has been filleted, gutted, packaged, canned, frozen, smoked, salted, cooked, pickled, dried or prepared for market in any other manner;
17. "Research vessel" means a vessel permanently used for research or a vessel normally used for fishing activities or fisheries support activity that is for the time being used for fisheries research;
18. "Transshipment" means transfer, over the side, from one fishing vessel to another, of fisheries resources or products.

## **Article 2 - Scope**

1. The CEM shall, unless otherwise provided, apply to all fishing vessels used or intended for use for the purposes of commercial fishing activities conducted on fisheries resources in the Regulatory Area.
2. Unless otherwise provided, research vessels shall not be restricted by conservation and management measures pertaining to the taking of fish, in particular, concerning mesh size, size limits, closed areas and seasons.

## **Article 3 - Duties of the Contracting Parties**

1. Each Contracting Party shall ensure that every fishing vessel entitled to fly its flag operating in the Regulatory Area complies with the relevant provisions of the CEM; and
2. Each fishing vessel operating in the Regulatory Area shall perform the relevant duties set out in the CEM and comply with the relevant provisions of the CEM.

## **CHAPTER I**

### **CONSERVATION AND MANAGEMENT MEASURES**

#### **Article 4 – Research Vessels**

1. Unless otherwise provided, research vessels shall not be restricted by conservation and management measures pertaining to the taking of fish in the Regulatory Area, in particular, mesh size, size limits, closed areas and seasons.
2. A research vessel shall not:
  - (a) conduct fishing activities inconsistent with its research plan; or
  - (b) take 3L shrimp in excess of the allocation of the flag State Contracting Party.
3. No less than seven days prior to the commencement of a fishery research period, the flag State Contracting Party shall:
  - (a) by electronic transmission in the format prescribed in Annex II.C, notify the Executive Secretary of all research vessels entitled to fly its flag it has authorized to conduct research activities in the Regulatory Area; and
  - (b) provide to the Executive Secretary a Research Plan for all vessels entitled to fly its flag it has authorized to conduct research, including the purpose, location and, for vessels temporarily engaged in research, the dates during which the vessel will be engaged as a research vessel.
4. For vessels temporarily employed in research, the flag State Contracting Party shall immediately upon termination of research activities so notify the Executive Secretary.
5. The flag State Contracting Party shall notify the Executive Secretary not less than seven days before the effective date of any changes to the research plan. The research vessel shall maintain a record of the changes on board.
6. Vessels engaged in research shall at all times keep on board a copy of the Research Plan in the English language.

#### ***Duties of the Executive Secretary***

7. Following notification in accordance with paragraph 3(a), the Executive Secretary without delay posts the names of all research vessels in the vessel registry to the NAFO website and includes in such posting any supporting documents provided by the flag State Contracting Party, including the Research Plan.



## Article 5 – Catch and Effort Limitations

### *Quotas*

1. Each Contracting Party shall ensure that:
  - (a) all vessels, including vessels chartered in accordance with Article 26, are subject to the catch and effort limitations specified in this Article;
  - (b) all catch and effort limitations shall apply to stocks identified in Annex I.A and I.B; and
  - (c) unless otherwise stated, all quotas shall be expressed as live weight, in metric tonnes.
2. For any one haul, the species which comprises the largest percentage, by weight, of the total catch in the haul shall be considered as being taken in a directed fishery for the stock concerned.

### *Quotas and Effort*

3. For stocks identified in Annex I.A or I.B caught within the Regulatory Area by vessels entitled to fly its flag, each Contracting Party shall:
  - (a) limit the catch by its vessels so that the quota allocated to that Contracting Party in accordance with Annex I.A is not exceeded;
  - (b) ensure that all species from stocks listed in Annex I.A caught by its vessels are counted against the quota allocated to that Contracting Party, including the bycatch of 3M redfish taken between the estimated date when 50% of the 3M redfish TAC is taken, as notified in accordance with paragraph 15 of this Article, and 1 July;
  - (c) ensure that no more 3M redfish is retained onboard its vessels after the estimated date when 100% of the 3M redfish TAC is taken, as notified in accordance with paragraph 15 of this Article;
  - (d) be permitted to fish for stocks in which it has not been allocated a quota in accordance with Annex I.A, hereafter referred to as “Others” quota, if such quota exists and notification of closure has not been given by the Executive Secretary in accordance with paragraph 15(d) of this Article;
  - (e) post to the NAFO MCS Website the names of vessels that intend to fish the “Others” quota at least 48 hours in advance of each entry, and after a minimum of 48 hours of absence from the Regulatory Area. This notification shall, if possible, be accompanied with an estimate of the projected catch;
  - (f) limit its fishing activities for shrimps in Division 3M in accordance with the fishing effort in Annex I.B; and
  - (g) if also a Contracting Party of NEAFC, deduct Subarea 2 and Divisions 1F+3K redfish catch taken in the NAFO Convention Area from any corresponding quota it has been allocated in the NEAFC Convention Area.

4. When no agreement can be reached by the Commission on a NAFO managed stock, through either consensus or vote, the Commission shall maintain the existing relative percentage quota shares for that stock, as reflected in Annex I.A and I.B. This shall be deemed to be a proposal of the Commission in accordance with Articles VI and XIV of the Convention for the succeeding calendar year.

### ***Closure of Fisheries for Stocks Listed in Annex I.A and I.B Subject to Quota or Fishing Effort***

5. Each Contracting Party shall:
  - (a) close its fishery for stocks listed in Annex I.A in the Regulatory Area on the date on which the available data indicates that the total quota allocated to that Contracting Party for the stocks concerned will be taken, including the estimated quantity to be taken prior to the closure of the fishery, discards, and estimated unreported catch by all vessels entitled to fly the flag of that Contracting Party;
  - (b) ensure its vessels immediately cease fishing activities that may result in catch when notified by the Executive Secretary in accordance with paragraph 15(b) of this Article that the quota allocated to that Contracting Party has been fully taken. If the Contracting Party can demonstrate that it still has quota available for that stock in accordance with paragraph 6 of this Article, the vessels of that Contracting Party may resume fishing on that stock;
  - (c) close its shrimp fishery in Division 3M when the number of fishing days allocated to that Contracting Party is reached. The number of fishing days in respect of each vessel shall be determined using VMS positional data within Division 3M, with any part of a day being considered a full day;
  - (d) close its directed fishery for 3M redfish between the date the accumulated reported catch is estimated to reach 50% of the 3M redfish TAC, as notified in accordance with paragraph 15 of this Article, and 1 July;
  - (e) close its directed fishery for 3M redfish on the date the accumulated reported catch is estimated to reach 100% of the 3M redfish TAC, as notified in accordance with paragraph 15 of this Article;
  - (f) promptly notify the Executive Secretary of the date of closure under paragraphs 5(a), (b), (c), (d) and (e) of this Article;
  - (g) ensure that no vessel entitled to fly its flag continues a directed fishery in the Regulatory Area for a particular stock under an "Others" quota beyond 5 days of notification by the Executive Secretary that that particular "Others" quota is projected to be taken, in accordance with paragraph 15 of this Article;
  - (h) ensure that no vessel entitled to fly its flag commences a directed fishery in the Regulatory Area for a particular stock under an "Others" quota following notification by the Executive Secretary that that particular



Others quota is projected to be taken, in accordance with paragraph 15 of this Article; and

- (i) ensure that, after a closure of its fishery in accordance with this paragraph, no more fish of the stock concerned is retained on board the vessels entitled to fly its flag unless otherwise authorized by the CEM.

### ***Re-opening of a Closed Fishery***

- 6. A fishery that has been closed according to paragraph 5 of this Article may be re-opened within 15 days of notification by the Executive Secretary in accordance with paragraph 15 of this Article:
  - (a) if the Executive Secretary confirms that a Contracting Party has demonstrated that there is remaining quota available from its original allocation; or
  - (b) if a quota transfer from another Contracting Party, in accordance with paragraph 9 of this Article, results in additional quota for the particular stock subject to closure.

### ***Quota Adjustments***

- 7. Catch in excess of a quota allocated to a Contracting Party may result in a deduction of allocations of that stock during a future quota period, if so decided by the Commission. Such a deduction:
  - (a) shall be considered independently from any quota adjustment that may be decided by the Commission;
  - (b) shall not increase the quota allocated on that stock to any other Contracting Party, unless the Commission determines that the increase will not cause further harm to the stock; and
  - (c) shall not affect the allocation of any other quota to that Contracting Party.
- 8. Catch in excess of an “Others” quota may result in temporary or permanent adjustments to fishing opportunities of the relevant Contracting Party, if so decided by the Commission, as appropriate measures to compensate for damage caused to the stock when a Contracting Party has:
  - (a) allowed vessels entitled to fly its flag to harvest stocks allocated to “Others” quota without reporting its intention to fish on that quota to the Executive Secretary in accordance with paragraph 3(e) of this Article;
  - (b) failed to report catches taken under such a quota by vessels entitled to fly its flag; or
  - (c) permitted vessels entitled to fly its flag to continue a directed fishery under such quota after this fishery had been closed following notification by the Executive Secretary, in accordance with paragraph 15 of this Article.



### ***Transfer of Quotas***

9. A Contracting Party may partly or fully transfer its allocated quota under Annex I.A to another Contracting Party, subject:
  - (a) to the consent of the receiving Contracting Party; and
  - (b) to prior notification of the transfer to the Executive Secretary, which shall state the date of the transfer's entry into force.
10. Transfers are not permitted for stocks under the "Others" quota.
11. Fishing days allocated under Annex I.B for shrimps in Division 3M are not transferable between Contracting Parties. However, chartering arrangements related to fishing days are permitted, subject to the provisions of Article 26.
12. Any quota listed for squid may be increased by a transfer from any "coastal State" as defined in Article I, paragraph C of the Convention, provided that the TAC for squid is not exceeded.

### ***Adjustment to the 3NO White Hake Quota***

13. If a Contracting Party experiences a catch per unit of effort (CPUE) of 3NO white hake that is equal to or higher than that observed in 2002 and 2003 and concludes that there is a shift to high availability of white hake during the fishing season, the Contracting Party shall:
  - (a) notify the Executive Secretary of the higher CPUE observed; and
  - (b) submit a summary of evidence for its conclusion (higher than normal CPUE and any other additional relevant information) to the Executive Secretary within one month.
14. When the Executive Secretary provides the evidence submitted in accordance with paragraph 13(b) of this section to the Commission for a mail vote as to whether an exceptional increase in the availability of white hake is occurring, the 3NO TAC for white hake for the remainder of the year shall:
  - (a) increase to 2000 metric tonnes in the case of a positive vote; or
  - (b) remain at 1000 metric tonnes in the case of a negative vote.

### ***Duties of the Executive Secretary***

15. The Executive Secretary:
  - (a) promptly informs all other Contracting Parties of the date of closure of an allocated quota upon notification by a Contracting Party;
  - (b) informs a Contracting Party within one working day that there is data available indicating that its allocated quota of a particular stock has been taken;
  - (c) counts the bycatch of 3M redfish taken by vessels of Contracting Parties that are not allocated 3M redfish in accordance with Annex I.A between



the estimated date when 50% of the 3M redfish TAC is taken and 1 July against the “others” quota;

- (d) notifies all Contracting Parties by electronic means 5 calendar days in advance of the date on which the available data indicates that total reported catch, including discards, is projected to:
  - (i) reach 50% of the TAC, for redfish in Division 3M and in Sub-Area 2 and Divisions 1F + 3K;
  - (ii) reach 100% of an “Others” quota, when such quota exists in accordance with Annex I.A;
- (e) establishes and notifies all Contracting Parties, by electronic means, 96 hours in advance, of the date of closure of the fishery for redfish in Division 3M and in Sub-Area 2 and Divisions 1F + 3K. The date shall be determined on the basis of projections derived from reported catches, including discards, and correspond to the date on which those catches are projected to reach 100% of the TAC;
- (f) reports without delay to the Commission when the Contracting Party referred to under paragraph 15(d) of this Article failed to either cease fishing on that stock or demonstrate that the quota has not been taken within 15 days in accordance with Article 5.5;
- (g) promptly informs all Contracting Parties of notifications of quota transfers received; and
- (h) when notified in accordance with paragraph 13 of this section of a higher CPUE for 3NO white hake, provides the evidence submitted in accordance with paragraph 13(b) to the Commission for a mail vote as to whether an exceptional increase in the availability of white hake is occurring; and
- (i) ensures that the notification posted to the NAFO MCS Website in accordance with subparagraph 5.3(e) is automatically transmitted to Contracting Parties with an inspection presence in the Regulatory Area.

## **Article 6 - Bycatch Retention on Board of Stocks Identified in Annex I.A as Bycatch When No Directed Fishery is Permitted**

1. To the extent possible, each Contracting Party shall ensure that its vessels, including vessels chartered in accordance with Article 26, minimize bycatch of species from stock identified in Annex I.A while operating in the Regulatory Area.
2. A species listed in Annex I.A shall be classified as bycatch when it is taken in a Division where any of the following situations exist:
  - (a) no quota has been allocated to that Contracting Party for that stock in that Division, in accordance with Annex I.A;
  - (b) a ban on fishing for a particular stock is in force (moratoria); or
  - (c) the “Others” quota for a particular stock has been fully utilized, following notification by the Executive Secretary in accordance with Article 5.

### ***Limits for Species Listed in Annex I.A Retained on Board as Bycatch***

3. Each Contracting Party shall ensure that its vessels, including vessels chartered in accordance with Article 26, shall limit the retention of on board species classified as bycatch to the maxima specified below:
  - (a) for cod in Division 3M, redfish in 3LN and witch flounder in 3NO: 1250 kg or 5%, whichever is the greater;
  - (b) for cod in Division 3NO: 1000 kg or 4%, whichever is the greater;
  - (c) for all other stocks listed in Annex I.A where no specific quota has been allocated to the flag State Contracting Party: 2500 kg or 10%, whichever is the greater;
  - (d) where a ban on fishing applies (moratoria), or when the "Others" quota opened to for that stock has been fully utilized: 1250 kg or 5%, whichever is the greater;
  - (e) once the directed fishery for redfish in Division 3M is closed in accordance with Article 5.5 (d): 1250 kg or 5%, whichever is the greater; and
  - (f) while conducting a directed fishery for yellowtail in Divisions 3LNO: 15% of American plaice; otherwise bycatch provisions in Article 6.3 (d) apply.
4. The limits and percentages in paragraph 3 of this Article are calculated by Division as the percentage, by weight, for each stock of the total catch of stocks listed in Annex I.A retained on board for that Division at the time of inspection, on the basis of the fishing logbook figures.
5. By derogation, the calculation of groundfish bycatch levels in paragraph 3 of this Article shall not include the catches of shrimp in the total catch on board.

### ***Exceeding Bycatch Limits in Any One Haul***

6. Each Contracting Party shall ensure that its vessels:
  - (a) do not conduct directed fisheries for species referred to in paragraph 2 of this Article;
  - (b) observe the following, where the weight of any species subject to the bycatch limits exceeds the greater of the limits specified in paragraph 3 of this Article in any one haul:
    - (i) immediately move a minimum of 10 nautical miles from any position of the previous tow/set throughout the subsequent tow/set;
    - (ii) leave the Division and not return for at least 60 hours if the bycatch limits specified in paragraph 3 of this Article are again exceeded following the first tow/set after moving in accordance with paragraph 6(b)(i) of this Article;



- (iii) undertake a trial tow for a maximum duration of 3 hours before starting a new fishery following an absence of at least 60 hours. If the stocks subjected to bycatch limits form the largest percentage, by weight, of the total resultant catch in the haul, this should not be considered as a directed fishery for those stocks, and the vessel must immediately change position in accordance with provisions of paragraph 6(b)(i) and (ii); and
  - (iv) identify any trial tow conducted in accordance with paragraph 6(b) and record in the fishing logbook the coordinates pertaining to the start and end locations of any trial tow conducted.
7. In a directed fishery for shrimp, the move referred to in paragraph 6 shall apply when, for any one haul, the quantity of the total groundfish stock listed in Annex I.A exceeds 5% in Division 3M or 2.5% in Division 3L.
  8. When a vessel is conducting a directed fishery for skate with a legal mesh size appropriate for that fishery, the first time that catches of stocks for which bycatch limits apply, as specified in paragraph 2, comprise the largest percentage by weight of the total catch in a haul, they shall be considered as incidental catch, but the vessel shall immediately move as specified in paragraph 6.
  9. The percentage of bycatch in any one haul is calculated as the percentage, by weight, for each stock listed in Annex I.A of the total catch from that haul.

## **Article 7 – Cod Recovery Plans**

### ***Cod in Divisions 2J3KL***

1. The Commission shall obtain annually the decision of Canada on the limit it has established for catches by Canadian fishers. This limit shall be 95% of the TAC for this stock.
2. The Commission shall establish a catch limit in the Regulatory Area that shall apply to the other Contracting Parties. This limit shall be 5% of the TAC for this stock.
3. The total of the catch limits set in accordance with paragraphs 1 and 2 shall constitute the TAC for 2J3KL cod.
4. The distribution key that shall apply for the 5% figure when the fishery in the Regulatory Area is resumed shall be 65.4% for the EU and 34.6% for the other Contracting Parties.
5. The measures in this Article shall apply when a decision is taken to allow the resumption of fishing for cod in the Regulatory Area, and shall not serve as a precedent in future years for establishing catch limits of criteria for quota allocations of other stocks.

## ***Interim 3NO Cod Conservation Plan and Rebuilding Strategy***

### 6. Objective(s):

- (a) **Long-term Objective:** The long-term objective of this Conservation Plan and Rebuilding Strategy is to achieve and to maintain the 3NO Cod Spawning Stock Biomass (SSB) in the 'safe zone', as defined by the NAFO Precautionary Approach framework, and at or near  $B_{msy}$ .
- (b) **Interim Milestone:** As an interim milestone, increase the 3NO Cod Spawning Stock Biomass (SSB) to a level above the Limit Reference Point ( $B_{lim}$ ). It may reasonably be expected that  $B_{lim}$  will not be reached until after 2015.

### 7. Reference Points:

- (a) Limit reference point for spawning stock biomass ( $B_{lim}$ ) – 60 000 tonnes<sup>1</sup>
- (b) An intermediate stock reference point or security margin  $B_{isr}$ <sup>2</sup> – [120 000 tonnes]
- (c) Limit reference point for fishing mortality ( $F_{lim} = F_{msy}$ ) – 0.30
- (d) Interim  $B_{target}$  – 185 000 tonnes and interim  $F_{target}$  of  $F_{0.1}$  – 0.19<sup>3</sup>

### 8. Re-opening to Directed Fishery:

- (a) A re-opening of a directed fishery should only occur when the estimated SSB, in the year projected for opening the fishery, has a very low<sup>4</sup> probability of actually being below  $B_{lim}$ .
- (b) An annual TAC should be established at a level which is projected to result in:
  - (i) continued growth in SSB
  - (ii) low<sup>5</sup> probability of SSB declining below  $B_{lim}$  throughout the subsequent 3-year period, and
  - (iii) fishing mortality  $< F_{0.1}$

### 9. Harvest Control Rules:

Noting the desire for relative TAC stability, the projections referred to in items (a) through (d) below should consider the effect of maintaining the

<sup>1</sup> The Commission shall request the Scientific Council to review in detail the limit reference point when the Spawning Stock Biomass has reached 30 000 tonnes.

<sup>2</sup> A 'buffer zone' ( $B_{buf}$ ) is not required under the NAFO PA given the availability of risk analysis related to current and projected biomass values; however, SC has advised that an additional zone(s) between  $B_{lim}$  and  $B_{msy}$  could be considered. An intermediate stock reference point ( $B_{isr}$ ) is proposed to delineate this zone. The proposed value is set at a level equivalent to twice  $B_{lim}$ . Should the SC review of the limit reference point ( $B_{lim}$ ) result in a change to that value then the intermediate stock reference point ( $B_{isr}$ ) should also be re-evaluated.

<sup>3</sup>  $B_{target}$  is a proxy of  $B_{msy}$ . The level of  $F$  has very low probability of being higher than  $F_{lim}$ . The  $B_{target}$  is the equilibrium SSB that results from  $F_{target}$ . These are interim targets until more stock recruitment and productivity regime information is available to better estimate MSY-based reference points.

<sup>4</sup> 'very low' means 10% or less

<sup>5</sup> 'low' means 20% or less



proposed annual TAC over 3 years. Further, in its application of the Harvest Control Rules, Commission may, based on Scientific Council analysis, consider scenarios which either mitigate decline in SSB or limit increases in TACs as a means to balance stability and growth objectives.

(a) When SSB is below  $B_{lim}$ :

- (i) no directed fishing, and
- (ii) bycatch should be restricted to unavoidable bycatch in fisheries directing for other species

Before SSB increases above  $B_{lim}$ , additional or alternative harvest control rules should be developed, following the Precautionary Approach, to ensure the long-term objective is met, such as:

(b) When SSB is between  $B_{lim}$  and  $B_{lsc}$ :

- (i) TACs should be set at a level(s) to allow for continued growth in SSB consistent with established rebuilding objective(s)
- (ii) TACs should result in a low probability of SSB declining below  $B_{lim}$  throughout the subsequent 3-year period, and
- (iii) Biomass projections should apply a low risk tolerance

(c) When SSB is above  $B_{lsc}$ :

- (i) TACs should be set at a level(s) to allow for growth in SSB consistent with the long term objective, and
- (ii) Biomass projections should apply a risk neutral approach (i.e. mean probabilities)

(d) When SSB is above  $B_{target}$ :

- (i) TACs should be set at a level of F that has a low probability of exceeding  $F_{msy}$ , and
- (ii) Biomass projections should apply a risk neutral approach (i.e. mean probabilities)

## 10. Ecosystem Considerations:

Considering the importance of capelin as a food source, consistent with the ecosystem approach, the moratorium on 3NO capelin will continue until at least 31 December 2021.

## 11. Bycatch Provisions:

The bycatch provisions in the CEM for 3NO cod should be reviewed periodically, to coincide with scheduled assessments of the stock by Scientific Council, and adjusted to reflect the overall trend in spawning stock biomass.

## Article 8 – American plaice

### ***Interim 3LNO American Plaice Conservation Plan and Rebuilding Strategy***

#### 1. Objective(s):

- (a) **Long-term Objective:** The long-term objective of this Conservation Plan and Rebuilding Strategy is to achieve and to maintain the 3LNO American plaice Spawning Stock Biomass (SSB) in the 'safe zone', as defined by the NAFO Precautionary Approach framework, and at or near  $B_{msy}$ .
- (b) **Interim Milestone:** As an interim milestone, increase the 3LNO American plaice Spawning Stock Biomass (SSB) to a level above the Limit Reference Point ( $B_{lim}$ ). It may reasonably be expected that  $B_{lim}$  will not be reached until after 2014.

#### 2. Reference Points:

- (a) Limit reference point for spawning stock biomass ( $B_{lim}$ ) – 50 000 tonnes
- (b) An intermediate stock reference point or security margin  $B_{isr}$ <sup>6</sup> – [100 000 tonnes]
- (c) Limit reference point for fishing mortality ( $F_{lim} = F_{msy}$ ) – 0.31
- (d)  $B_{msy}$  – [242 000 tonnes]

#### 3. Re-opening to Directed Fishing:

- (a) A re-opening of a directed fishery should only occur when the estimated SSB, in the year projected for opening the fishery, has a very low<sup>7</sup> probability of actually being below  $B_{lim}$ .
- (b) An annual TAC should be established at a level which is projected to result in:
  - (i) continued growth in SSB,
  - (ii) low<sup>8</sup> probability of SSB declining below  $B_{lim}$  throughout the subsequent 3-year period, and
  - (iii) fishing mortality  $< F_{0.1}$ .

#### 4. Harvest Control Rules:

Noting the desire for relative TAC stability, the projections referred to in items (a) through (d) below should consider the effect of maintaining the proposed annual TAC over 3 years. Further, in its application of the Harvest

<sup>6</sup> A 'buffer zone' ( $B_{buf}$ ) is not required under the NAFO PA given the availability of risk analysis related to current and projected biomass values; however, SC has advised that an additional zone(s) between  $B_{lim}$  and  $B_{msy}$  could be considered. An intermediate stock reference point ( $B_{isr}$ ) is proposed to delineate this zone. The proposed value is equivalent to twice  $B_{lim}$ .

<sup>7</sup> 'very low' means 10% or less

<sup>8</sup> 'low' means 20% or less



Control Rules, Commission may, based on Scientific Council analysis, consider scenarios which either mitigate decline in SSB or limit increases in TACs as a means to balance stability and growth objectives.

- (a) When SSB is below  $B_{lim}$ :
  - (i) no directed fishing, and
  - (ii) bycatch should be restricted to unavoidable bycatch in fisheries directing for other species
- (b) When SSB is between  $B_{lim}$  and  $B_{isr}$ :
  - (i) TACs should be set at a level(s) to allow for continued growth in SSB consistent with established rebuilding objective(s)
  - (ii) TACs should result in a low probability of SSB declining below  $B_{lim}$  throughout the subsequent 3-year period, and
  - (iii) Biomass projections should apply a low risk tolerance
- (c) When SSB is above  $B_{isr}$ :
  - (i) TACs should be set at a level(s) to allow for growth in SSB consistent with the long term objective, and
  - (ii) Biomass projections should apply a risk neutral approach (i.e. mean probabilities)
- (d) When SSB is above  $B_{msy}$ :
  - (i) TACs should be set at a level of F that has a low probability of exceeding  $F_{msy}$  and
  - (ii) Biomass projections should apply a risk neutral approach (i.e. mean probabilities)



## Article 9 – Shrimp

### *Shrimp in Division 3M*

1. For the purpose of this measure, Division 3M includes that portion of Division 3L enclosed by lines joining the points described below in Table 1 and depicted in Figure 1(1):

Table 1. Boundary points delineating the portion of Division 3L that is included in Division 3M for the management of shrimp in accordance with Annex I.B.

Coordinate No.	Latitude	Longitude
1	47°20'0 N	46°40'0 W
2	47°20'0 N	46°30'0 W
3	46°00'0 N	46°30'0 W
4	46°00'0 N	46°40'0 W

2. Subject to allocations set out in Annex I.B as amended from time to time, each Contracting Party that conducted a shrimp fishery in Division 3M in the period beginning 1 January 1993 and ending 31 August 1995 is permitted a minimum of 400 fishing days per year. A Contracting Party without such track record may authorize only one vessel to fish shrimp in Division 3M for a maximum of 100 fishing days per year.
3. A vessel fishing for shrimp and other species on the same trip shall transmit a report to the Executive Secretary signalling the change of fishery. The number of fishing days shall be calculated accordingly.
4. Fishing days referred to in this Article are not transferable between Contracting Parties. Fishing days of one Contracting Party may be utilized by a vessel entitled to fly the flag of another Contracting Party only in accordance with Article 26.
5. No vessel shall fish for shrimp in Division 3M between 00:01 UTC on 1 June and 24:00 UTC on 31 December in the following area as described in Table 2 and depicted in Figure 1(2):

Table 2. Boundary points delineating the shrimp closure area referred to in Article 9.5.

Coordinate No.	Latitude	Longitude
1 (same as no. 7)	47°55'0 N	45°00'0 W
2	47°30'0 N	44°15'0 W
3	46°55'0 N	44°15'0 W
4	46°35'0 N	44°30'0 W
5	46°35'0 N	45°40'0 W
6	47°30'0 N	45°40'0 W
7 (same as no. 1)	47°55'0 N	45°00'0 W



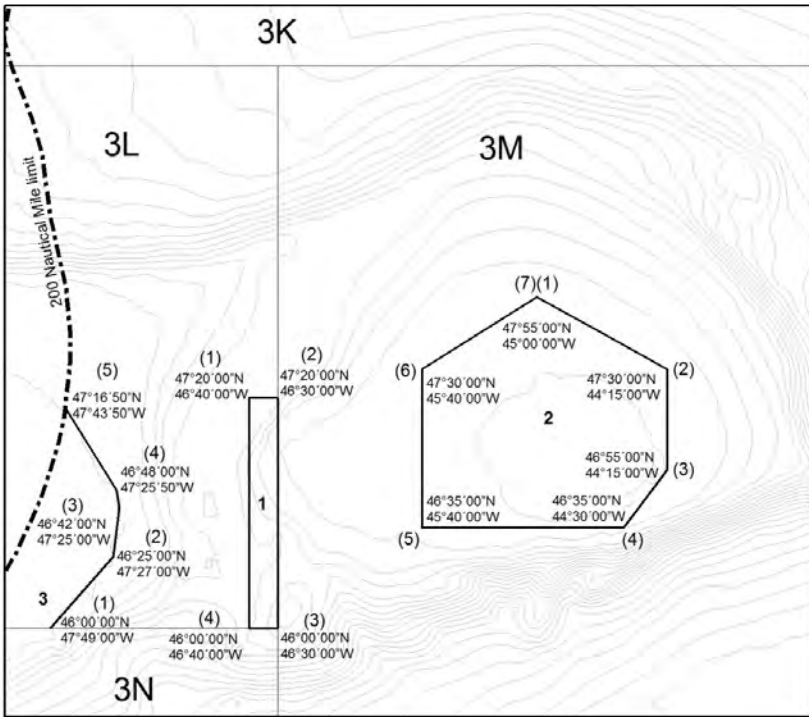


Figure 1. 3L 200 meter depth restriction line, portion of 3L considered 3M, and 3M closed area.

### Shrimp in Division 3L

6. All fishing for shrimp in Division 3L shall take place in depths greater than 200 m. Fishing in the Regulatory Area shall be restricted to an area east of a line bound by the following coordinates described in Table 3 and depicted in Figure 1(3):

Table 3. Boundary points delineating 200 m bathymetric curve referred to in Article 9.6

Coordinate No.	Latitude	Longitude
1	46°00'00" N	47°49'00" W
2	46°25'00" N	47°27'00" W
3	46°42'00" N	47°25'00" W
4	46°48'00" N	47°25'50" W
5	47°16'50" N	47°43'50" W

7. Each vessel that has fished for shrimp in Division 3L, or its representatives on its behalf, shall provide to the competent port authority at least 24 hours prior notice of its estimated time of arrival and the estimated quantities on board of shrimp by Division.

## **Article 10 – Greenland Halibut**

### ***Rebuilding Program***

1. The current Management Strategy (MS) for Greenland halibut stock in Subarea 2 + Divisions 3KLMNO adopted by NAFO in 2017 shall be in force from 2018 to 2023 inclusive.
2. The total allowable catch (TAC) shall be adjusted annually according to the harvest control rule (HCR) specified in Annex I.F.
3. The Exceptional Circumstances Protocol (Annex I.G) shall be invoked in response to an event or observation by Scientific Council which is outside of the range of possibilities considered within the MSE.

### ***Control Measures***

4. The following measures apply to vessels 24 meters or greater in overall length engaged in the Greenland halibut fishery in Subarea 2 and Divisions 3KLMNO:
  - (a) Each Contracting Party shall allocate its quota for Greenland halibut among its authorized vessels.
  - (b) An authorized vessel shall land its Greenland halibut catch only in a designated port. To this end, each Contracting Party shall designate one or more ports in its territory where authorized vessels may land Greenland halibut.
  - (c) Each Contracting Party shall post to the NAFO MCS Website, in PDF format, the name of every port it has so designated. Any subsequent changes to the list shall be posted in replacement of the previous one no less than fifteen days before the change comes into effect.
  - (d) At least 48 hours before its estimated time of arrival in port, an authorized vessel or its representative on its behalf, shall advise the competent port authority of its estimated time of arrival, the estimated quantity of Greenland halibut retained onboard, and information on the division or divisions where the catches were taken.
  - (e) Each Contracting Party shall inspect each landing of Greenland halibut in its ports and prepare an inspection report in the format prescribed in Annex IV.C, which it posts to the NAFO MCS Website, in PDF format, within 14 working days from the date on which the inspection was completed. The PSC3 report shall identify and provide details of any infringement to the CEM detected during the port inspection. It shall include all relevant information available in reference to infringements detected at sea during the current trip of the inspected fishing vessel.
5. The following procedures apply with respect to authorized vessels with more than 50 tonnes live weight total catch on board taken outside the Regulatory Area entering the Regulatory Area to fish for Greenland halibut:
  - (a) The master shall notify the Executive Secretary by e-mail or fax, at the latest 72 hours prior to the vessel's entry into the Regulatory Area, of



the amount of catch on board, the position by latitude and longitude where the master intends to commence fishing, the estimated time of arrival at the position, and contact information for the fishing vessel (e.g., radio, satellite phone or email).

- (b) An inspection vessel that intends to inspect a fishing vessel before it begins fishing for Greenland halibut shall notify that fishing vessel and the Executive Secretary of the coordinates of a designated inspection point that is no more than 60 nautical miles from the position where the master estimates that the vessel will commence fishing and shall inform other inspection vessels that may be operating in the Regulatory Area accordingly.
  - (c) A fishing vessel notified in accordance with paragraph (b) shall:
    - (i) proceed to the designated inspection point, and
    - (ii) ensure the stowage plan for catch on board on entry to the NAFO RA meets the requirements of Article 28 paragraph 5 and is made available to inspectors upon request.
  - (d) Until inspected in accordance with this Article, a fishing vessel may not begin fishing unless:
    - (i) it receives no notification within 72 hours of the notification it has transmitted in accordance with subparagraph 5(a); or
    - (ii) within 3 hours of its arrival at the designated inspection point, the inspection vessel has not begun the intended inspection.
6. The Contracting Parties shall prohibit landings of Greenland halibut from non-Contracting Party vessels that have engaged in fishing activities in the Regulatory Area.

### ***Duties of the Executive Secretary***

7. The Executive Secretary:
- (a) places on the agenda of the Commission in the context of reviewing the implementation of this rebuilding plan, the issue of deciding on additional measures to ensure the effective attainment of its objective;
  - (b) ensures that the list of designated ports posted by the Contracting Parties for the purpose of this Article as well as any subsequent changes is automatically made available to all Contracting Parties;
  - (c) ensures that any port inspection report posted to the NAFO MCS Website in accordance with subparagraph 4(e) is transmitted to any Contracting Party that requests it; and
  - (d) transmits the information received in accordance with subparagraph 5(a) to all inspection vessels in the Regulatory Area.
8. If the Executive Secretary does not receive a notification from an inspection vessel within 24 hours of the notification transmitted in accordance with subparagraph 5(b) of this Article, the Executive Secretary immediately

advises the fishing vessel that it may begin fishing and notifies inspection vessels and the flag State FMC accordingly.

### ***Restoration of the “Others” quota***

9. When the TAC exceeds 30 000 tonnes the next 1300 tonnes beyond 30 000 tonnes will be allocated to the “Others” quota. In deciding the relevant contributions of Contracting Parties to the 1300 tonnes “Others” quota, the Commission will take into account the benefit that some Contracting Parties received from the assignment of the “Others” quota that occurred when the Greenland Halibut Rebuilding Plan was adopted.

## **Article 10 bis – 3LN Redfish Conservation Plan and Harvest Control Rule**

The 3LN Redfish Conservation Plan and Harvest Control Rule is outlined in Annex I.H.

## **Article 11 – Squid**

### ***Squid Closure***

1. No vessel may fish for squid between 00:01 UTC on 1 January to 24:00 UTC on 30 June in Sub-areas 3 and 4.

## **Article 12 – Conservation and Management of Sharks**

### ***Duties of the Contracting Party***

1. Each Contracting Party shall:
  - (a) report all catches of sharks, including available historical data, in accordance with the data reporting procedures set out in Article 28.
  - (b) for all observed hauls that contain Greenland shark, observers shall record the number, estimated weight and measured length (estimated length if measured length is not possible) per haul or set, the sex, and catch disposition (alive, dead, unknown) of each individual Greenland shark.
  - (c) prohibit the removal of shark fins on-board vessels.
  - (d) prohibit the retention on-board, transshipment and landing of shark fins fully detached from a carcass.
  - (e) prohibit fishing vessels flying its flag from conducting a directed fishery for Greenland shark (*Somniosus microcephalus*) in the Regulatory Area.
  - (f) require every vessel entitled to fly its flag to undertake all reasonable efforts to minimize incidental catch and mortality, and where alive, release Greenland sharks in a manner that causes the least possible harm.



## **General Provisions**

2. Without prejudice to paragraph 1, in order to facilitate on-board storage, shark fins may be partially sliced through and folded against the carcass.
3. No fishing vessel shall retain on board, tranship or land any fins harvested in contravention of these provisions.
4. In fisheries that are not directed at sharks, each Contracting Party shall encourage every vessel entitled to fly its flag to release sharks alive, and especially juveniles, that are not intended for use as food or subsistence.

## **Research**

5. Contracting Parties shall, where possible:
  - (a) undertake research to identify ways to make fishing gear more selective for the protection of sharks.
  - (b) conduct research on key biological and ecological parameters, life-history, behavioural traits and migration patterns, as well as on the identification of potential mapping, pupping and nursery grounds of key shark species.
6. Contracting Parties shall provide the results of such research to the Executive Secretary.

## **Article 13 - Gear Requirements**

### **Mesh Sizes**

1. For the purpose of this Article, mesh size is measured in accordance with Annex III.A.
2. No vessel shall fish with a net having a mesh size smaller than prescribed for each of the following species:
  - (a) 40 mm for shrimps and prawns (PRA);
  - (b) 60 mm for short finned squid (SQI);
  - (c) 280 mm in the codend and 220 mm in all other parts of the trawl for skate (SKA);
  - (d) 130 mm for all other groundfish, as defined in Annex I.C.;
  - (e) 100 mm for pelagic *Sebastes mentella* (REB) in Subarea 2 and Divisions 1F and 3K; and
  - (f) 90 mm for redfish (RED) in the fishery using mid-water trawls in Division 30, 3M and 3LN. Within this fishery mid-water trawl means trawl gear that is designed to fish for pelagic species, no portion of which is designed to be or is operated in contact with the bottom at any time. The gear shall not include discs, bobbins or rollers on its footrope or any other attachments designed to make contact with the bottom. The trawl may have chafing gear attached.

3. A vessel conducting a fishery for a species referred to in paragraph 2 that has on board nets having a mesh size smaller than that specified in that paragraph, shall ensure such nets are securely lashed and stowed and are not available for immediate use during that fishery.
4. A vessel conducting a directed fishery for species other than those identified in paragraph 2 is, however, permitted to take regulated species with nets having a mesh size less than specified in paragraph 2, provided that the bycatch requirements in Article 6, paragraph 3 are complied with.

### ***Use of Attachments***

5. Strengthening ropes, splitting straps and codend floats may be used on trawls, as long as these attachments do not in any way restrict the authorized mesh or obstruct the mesh opening.
6. No vessel shall use any means or device that obstructs or diminishes the size of the meshes. However, vessels may attach devices described in Annex III.B to the upper side of the codend in a manner that does not obstruct the meshes of the codend including any lengthener(s). Canvas, netting or other material may be attached to the underside of the codend of a net only to the extent required to prevent or minimize damage to the codend.
7. Vessels fishing for shrimp in Divisions 3L or 3M shall use sorting grids or grates with a maximum bar spacing of 22 mm. Vessels fishing for shrimp in Division 3L shall also be equipped with toggle chains with a minimum length of 72 cm as measured in accordance with Annex III.B.
8. When fishing in the seamount closures defined in Article 17(1), only gear that is designed to fish for pelagic species, no portion of which is designed to be or is operated in contact with the bottom at any time, is allowed. The gear shall not include discs, bobbins or rollers on its footrope or any other attachments designed to make contact with the bottom. The trawl may have chafing gear attached.

### ***Marking of Gear***

9. No fishing vessel shall:
  - (a) use gear that is not marked in accordance with generally accepted international standards, in particular, the *Convention on Conduct of Fishing Operations in the North Atlantic*; or
  - (b) deploy any marker buoy or similar object floating on the surface and intended to indicate the location of fixed fishing gear without displaying the vessel's registration number.



## ***Lost or Abandoned Fishing Gears***

### ***Retrieval of fishing gears***

10. Each Contracting Party shall ensure that:
  - (a) vessels fishing in the NRA entitled to fly its flag have equipment on board to retrieve lost gear;
  - (b) the master of a vessel that has lost gear or part of it shall make every reasonable attempt to retrieve it as soon as possible; and
  - (c) no master shall deliberately abandon fishing gear, except for safety reasons.
11. If the lost gear cannot be retrieved, the master of the vessel shall notify the flag State Contracting Party within 24 hours of the following:
  - (a) the name and call sign of the vessel;
  - (b) the type of lost gear;
  - (c) the quantity of gear lost;
  - (d) the time when the gear was lost;
  - (e) the position where the gear was lost; and
  - (f) the measures taken by the vessel to retrieve the lost gear.
12. Following retrieval of lost gear, the master of the vessel shall notify the flag State Contracting Party within 24 hours of the following:
  - (a) the name and call sign of the vessel that has retrieved the gear;
  - (b) the name and call sign of the vessel that lost the gear (if known);
  - (c) the type of gear retrieved;
  - (d) the quantity of gear retrieved;
  - (e) the time when the gear was retrieved; and
  - (f) the position where the gear was retrieved.
13. The flag State Contracting Party shall without delay notify the Executive Secretary of the information referred to in paragraphs 11 and 12 of this Article.

### ***Duties of the Executive Secretary***

14. The Executive Secretary posts without delay the information provided by Contracting Parties in accordance with paragraph 13 of this Article to the secure part of the NAFO website.



## **Article 14 - Minimum Fish Size Requirements**

1. No vessel shall retain on board any fish smaller than the minimum size established in accordance with Annex I.D, which it shall immediately return to the sea.
2. Processed fish which is below a length equivalent prescribed for that species in Annex I.D is considered to derive from fish that is smaller than the minimum fish size prescribed for that species.
3. Where the number of undersized fish in a single haul exceeds 10% of the total by number of fish in that haul, the vessel shall for its next tow maintain a minimum distance of 5 nautical miles from any position of the previous tow.



## CHAPTER II

# PROTECTION OF VULNERABLE MARINE ECOSYSTEMS (VMEs) IN THE REGULATORY AREA FROM BOTTOM FISHING ACTIVITIES

### Article 15 –Definitions

#### ***Definitions***

In addition to the definitions listed in Article 1, the following definitions apply to this Chapter.

1. The term “Encounter” means catch of a VME indicator species above threshold levels as set out in Article 22.1. Any encounter with a VME indicator species or merely detecting its presence is not sufficient to identify a VME. That identification should be made on a case-by-case basis through assessment by relevant bodies;
2. “Exploratory bottom fishing activities” means bottom fishing activities conducted outside the footprint, or within the footprint with significant changes to the conduct or in the technology used in the fishery;
3. “Footprint”, otherwise known as “Existing bottom fishing areas”, means that portion of the Regulatory Area where bottom fishing has historically occurred, and is defined by the coordinates shown in Table 4 and illustrated in Figure 2;
4. “Significant adverse impacts” refers to paragraphs 17 to 20 of the *FAO International Guidelines for the Management of Deep Sea Fisheries in the High Seas*;
5. “Vulnerable marine ecosystems (VMEs)” refers to paragraphs 42 and 43 of the *FAO International Guidelines for the Management of Deep-Sea Fisheries in the High Seas*;
6. “VME indicator element” refers to topographical, hydrophysical or geological features which potentially support VMEs, as specified in Part VII of Annex I.E;
7. “VME indicator species” refers to species that signal the occurrence of vulnerable marine ecosystems, as specified in Part VI of Annex I.E.

### **Article 16 - Map of Footprint (Existing Bottom Fishing Areas)**

The map of existing bottom fishing areas in the NAFO Regulatory Area illustrated in Figure 2 is delimited on the western side by the Canadian EEZ boundary and the eastern side by the coordinates shown in Table 4. The map shall be revised regularly to incorporate any new relevant information. Contracting Parties may propose revising the map on the basis of any information available, in particular on the haul by haul catch data.

Table 4. Boundary Points Delineating the Eastern Side of the Footprint.

Coordinate No.	Latitude	Longitude	Coordinate No.	Latitude	Longitude
1	48°17'39"N	EEZ boundary <sup>1</sup>	26	46°26'32"N	46°58'53"W
2	48°16'51"N	47°25'37"W	27	46°27'40"N	47°12'01"W
3	48°19'15"N	46°53'48"W	28	46°04'15"N	47°09'10"W
4	48°29'21"N	46°21'17"W	29	46°04'53"N	47°31'01"W
5	48°32'43"N	46°08'04"W	30	45°48'17"N	47°37'16"W
6	48°48'10"N	45°37'59"W	31	45°33'14"N	47°52'41"W
7	48°59'54"N	45°17'46"W	32	45°27'14"N	48°10'15"W
8	49°02'20"N	44°53'17"W	33	45°16'17"N	48°26'50"W
9	48°56'46"N	44°33'18"W	34	44°54'01"N	48°43'58"W
10	48°33'53"N	44°10'25"W	35	44°33'10"N	48°50'25"W
11	48°08'29"N	43°57'28"W	36	44°09'57"N	48°48'49"W
12	47°42'00"N	43°36'44"W	37	43°50'44"N	48°52'49"W
13	47°12'44"N	43°28'36"W	38	43°34'34"N	48°50'12"W
14	46°57'14"N	43°26'15"W	39	43°23'13"N	49°03'57"W
15	46°46'02"N	43°45'27"W	40	43°03'48"N	48°55'23"W
16	46°38'10"N	44°03'37"W	41	42°54'42"N	49°14'26"W
17	46°27'43"N	44°20'38"W	42	42°48'18"N	49°32'51"W
18	46°24'41"N	44°36'01"W	43	42°39'49"N	49°58'46"W
19	46°19'28"N	45°16'34"W	44	42°37'54"N	50°28'04"W
20	46°08'16"N	45°33'27"W	45	42°40'57"N	50°53'36"W
21	46°07'13"N	45°57'44"W	46	42°51'48"N	51°10'09"W
22	46°15'06"N	46°14'21"W	47	42°45'59"N	51°31'58"W
23	45°54'33"N	46°24'03"W	48	42°51'06"N	51°41'50"W
24	45°59'36"N	46°45'33"W	49	43°03'56"N	51°48'21"W
25	46°09'58"N	46°58'53"W	50	43°22'12"N	EEZ boundary <sup>2</sup>

<sup>1</sup> approximately 47°47'45"W<sup>2</sup> approximately 52°09'46"W

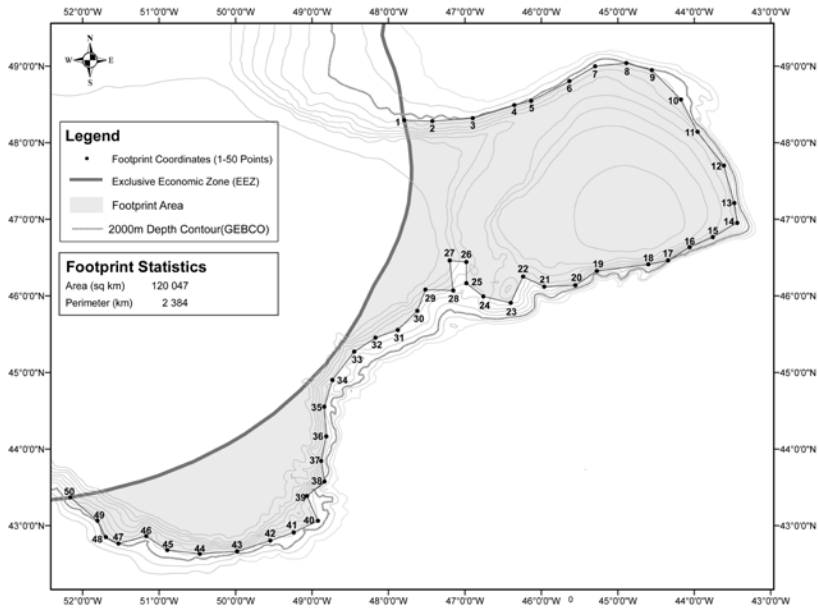


Figure 2. NAFO Regulatory Area footprint map (shaded).

## Article 17 – Area Restrictions for Bottom Fishing Activities

### *Seamount Closures*

1. Until 31 December 2020, no vessel shall engage in bottom fishing activities in any of the areas illustrated in Figure 3 and defined by connecting the following coordinates specified in Table 5 in numerical order and back to coordinate 1.

Table 5. Boundary Points Delineating the Seamount Closures in the NAFO Regulatory Area Referenced in Article 17.1

Description	Coordinate No.	Latitude	Longitude
Fogo Seamounts 1	1	42°31'33"N	53°23'17"W
	2	42°31'33"N	52°33'37"W
	3	41°55'48"N	53°23'17"W
	4	41°55'48"N	52°33'37"W
Fogo Seamounts 2	1	41°07'22"N	52°27'49"W
	2	41°07'22"N	51°38'10"W
	3	40°31'37"N	52°27'49"W
	4	40°31'37"N	51°38'10"W
Orphan Knoll	1	50°00'30"N	45°00'30"W
	2	51°00'30"N	45°00'30"W
	3	51°00'30"N	47°00'30"W
	4	50°00'30"N	47°00'30"W
Corner Rise Seamounts	1	35°00'00"N	48°00'00"W
	2	36°00'00"N	48°00'00"W
	3	36°00'00"N	52°00'00"W
	4	35°00'00"N	52°00'00"W
Newfoundland Seamounts	1	43°29'00"N	43°20'00"W
	2	44°00'00"N	43°20'00"W
	3	44°00'00"N	46°40'00"W
	4	43°29'00"N	46°40'00"W
New England Seamounts*	1	38°51'54.000" N	66°55'51.600" W
	2	37°12'0.000" N	60°48'0.000" W
	3	35°00'0.000" N	59°00'0.000" W
	4	35°00'0.000" N	56°30'0.000" W
	5	36°48'0.000" N	57°48'0.000" W
	6	39°00'0.000" N	60°00'0.000" W
	7	39°18'0.000" N	61°30'0.000" W
	8	39°56'20.400" N	65°56'34.800" W

\* From point 8 back to point 1, following the outer boundary of the US EEZ.





Figure 3. Polygons Delineating Seamount Closures Referenced in Article 17.1.

**30 Coral Area Closure**

2. Until 31 December 2020, no vessel shall engage in bottom fishing activities in the area of Division 30 illustrated in Figure 4 and defined by connecting the coordinates specified in Table 6 in numerical order and back to coordinate 1.

Table 6. Boundary Points Delineating the 30 Coral Area Closure in the NAFO Regulatory Area Referenced in Article 17.2.

Coordinate No.	Latitude	Longitude
1	42° 53' 00" N	51° 00' 00" W
2	42° 52' 04" N	51° 31' 44" W
3	43° 24' 13" N	51° 58' 12" W
4	43° 24' 20" N	51° 58' 18" W
5	43° 39' 38" N	52° 13' 10" W
6	43° 40' 59" N	52° 27' 52" W
7	43° 56' 19" N	52° 39' 48" W
8	44° 04' 53" N	52° 58' 12" W
9	44° 18' 38" N	53° 06' 00" W
10	44° 18' 36" N	53° 24' 07" W
11	44° 49' 59" N	54° 30' 00" W
12	44° 29' 55" N	54° 30' 00" W
13	43° 26' 59" N	52° 55' 59" W
14	42° 48' 00" N	51° 41' 06" W
15	42° 33' 02" N	51° 00' 00" W

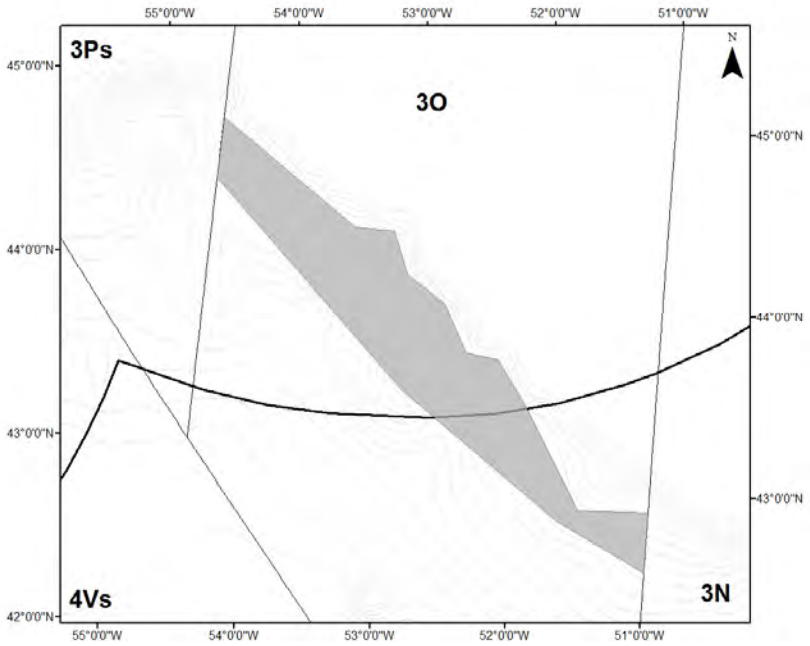


Figure 4. Polygon Delineating Area of 30 Coral Closure Referenced in Article 17.2.

### ***High Sponge and Coral Concentration Area Closures***

3. Until 31 December 2020, no vessel shall engage in bottom fishing activities in areas 1-13 illustrated in Figure 5 and defined by connecting the coordinates specified in Table 7 in numerical order and back to coordinate 1.

Table 7. Boundary Points Delineating the High Sponge and Coral Concentration Area Closures in the NAFO Regulatory Area Referenced in Article 17.3.

Area	Description	Coordinate No.	Latitude	Longitude
1	Tail of the Bank	1.1	44° 02' 53.88" N	48° 49' 9.48" W
		1.2	44° 21' 31.32" N	48° 46' 48" W
		1.3	44° 21' 34.56" N	48° 50' 32.64" W
		1.4	44° 11' 48.12" N	48° 50' 32.64" W
		1.5	44° 02' 54.6" N	48° 52' 52.32" W
2	Flemish Pass/ Eastern Canyon	2.1	44° 50' 56.4" N	48° 43' 45.48" W
		2.2	46° 18' 54.72" N	46° 47' 51.72" W
		2.3	46° 25' 28.56" N	46° 47' 51.72" W
		2.4	46° 46' 32.16" N	46° 55' 14.52" W
		2.5	47° 03' 29.16" N	46° 40' 4.44" W
		2.6	47° 11' 47.04" N	46° 57' 38.16" W
		2.7	46° 40' 40.8" N	47° 03' 4.68" W
		2.8	46° 24' 24.12" N	46° 51' 23.04" W
		2.9	46° 21' 4.78" N	46° 58' 53" W
		2.10	46° 26' 32" N	46° 58' 53" W
		2.11	46° 30' 22.20" N	47° 11' 2.93" W
		2.12	46° 17' 13.30" N	47° 15' 46.64" W
		2.13	46° 07' 1.56" N	47° 30' 36.36" W
		2.14	45° 49' 6.24" N	47° 41' 17.88" W
		2.15	45° 19' 43.32" N	48° 29' 14.28" W
		2.16	44° 53' 47.4" N	48° 49' 32.52" W
3	Beothuk Knoll	3.1	45° 49' 10.2" N	46° 06' 2.52" W
		3.2	45° 59' 47.4" N	46° 06' 2.52" W
		3.3	45° 59' 47.4" N	46° 18' 8.28" W
		3.4	45° 49' 10.2" N	46° 18' 8.28" W
4	Eastern Flemish Cap	4.1	46° 44' 34.80" N	44° 03' 14.40" W
		4.2	46° 58' 19.20" N	43° 34' 16.32" W
		4.3	47° 10' 30.00" N	43° 34' 16.32" W
		4.4	47° 10' 30.00" N	43° 20' 51.72" W
		4.5	46° 48' 35.28" N	43° 20' 51.72" W
		4.6	46° 39' 36.00" N	43° 58' 8.40" W



Area	Description	Coordinate No.	Latitude	Longitude
5	Northeast Flemish Cap	5.1	47° 47' 46.00" N	43° 29' 07.00" W
		5.2	47° 40' 54.47" N	43° 27' 06.71" W
		5.3	47° 35' 57.48" N	43° 43' 9.12" W
		5.4	47° 51' 14.4" N	43° 48' 35.64" W
		5.5	48° 27' 19.44" N	44° 21' 7.92" W
		5.6	48° 41' 37.32" N	43° 45' 08.08" W
		5.7	48° 37' 13.00" N	43° 41' 24.00" W
		5.8	48° 30' 15.00" N	43° 41' 32.00" W
		5.9	48° 25' 08.00" N	43° 45' 20.00" W
		5.10	48° 24' 29.00" N	43° 50' 50.00" W
		5.11	48° 14' 20.00" N	43° 48' 19.00" W
		5.12	48° 09' 53.00" N	43° 49' 24.00" W
6	Sackville Spur	6.1	48° 18' 51.12" N	46° 37' 13.44" W
		6.2	48° 28' 51.24" N	46° 08' 33.72" W
		6.3	48° 49' 37.2" N	45° 27' 20.52" W
		6.4	48° 56' 30.12" N	45° 08' 59.99" W
		6.5	49° 00' 9.72" N	45° 12' 44.64" W
		6.6	48° 21' 12.24" N	46° 39' 11.16" W
7	Northern Flemish Cap	7.1	48° 25' 02.28" N	45° 17' 16.44" W
		7.2	48° 25' 02.28" N	44° 54' 38.16" W
		7.3	48° 19' 08.76" N	44° 54' 38.16" W
		7.4	48° 19' 08.76" N	45° 01' 58.56" W
		7.5	48° 20' 29.76" N	45° 01' 58.56" W
		7.6	48° 20' 29.76" N	45° 17' 16.44" W
8	Northern Flemish Cap	8.1	48° 38' 07.95" N	45° 19' 31.92" W
		8.2	48° 38' 07.95" N	45° 11' 44.36" W
		8.3	48° 40' 9.84" N	45° 11' 44.88" W
		8.4	48° 40' 9.84" N	45° 05' 35.52" W
		8.5	48° 35' 56.4" N	45° 05' 35.52" W
		8.6	48° 35' 56.4" N	45° 19' 31.92" W
9	Northern Flemish Cap	9.1	48° 34' 23.52" N	45° 26' 18.96" W
		9.2	48° 36' 55.08" N	45° 31' 15.96" W
		9.3	48° 30' 18.36" N	45° 39' 42.48" W
		9.4	48° 27' 30.6" N	45° 34' 40.44" W
10	Northwest Flemish Cap	10.1	47° 49' 41.51" N	46° 22' 48.18" W
		10.2	47° 47' 17.14" N	46° 17' 27.91" W
		10.3	47° 58' 42.28" N	46° 6' 43.74" W
		10.4	47° 59' 15.77" N	46° 7' 57.76" W
		10.5	48° 7' 48.97" N	45° 59' 58.46" W
		10.6	48° 9' 34.66" N	46° 4' 8.54" W



Area	Description	Coordinate No.	Latitude	Longitude
11	Northwest Flemish Cap	11.1	47° 25' 48" N	46° 21' 23.76" W
		11.2	47° 30' 1.44" N	46° 21' 23.76" W
		11.3	47° 30' 1.44" N	46° 27' 33.12" W
		11.4	47° 25' 48" N	46° 27' 33.12" W
12	Northwest Flemish Cap	12.1	48° 12' 6.60" N	45° 54' 12.94" W
		12.2	48° 17' 11.82" N	45° 47' 25.36" W
		12.3	48° 16' 7.06" N	45° 45' 48.19" W
		12.4	48° 11' 3.32" N	45° 52' 40.63" W
13	Beothuk Knoll	13.1	46° 13' 58.80" N	45° 41' 13.20" W
		13.2	46° 13' 58.80" N	46° 02' 24.00" W
		13.3	46° 21' 50.40" N	46° 02' 24.00" W
		13.4	46° 21' 50.40" N	45° 56' 48.12" W
		13.5	46° 20' 14.32" N	45° 55' 43.93" W
		13.6	46° 20' 14.32" N	45° 41' 13.20" W

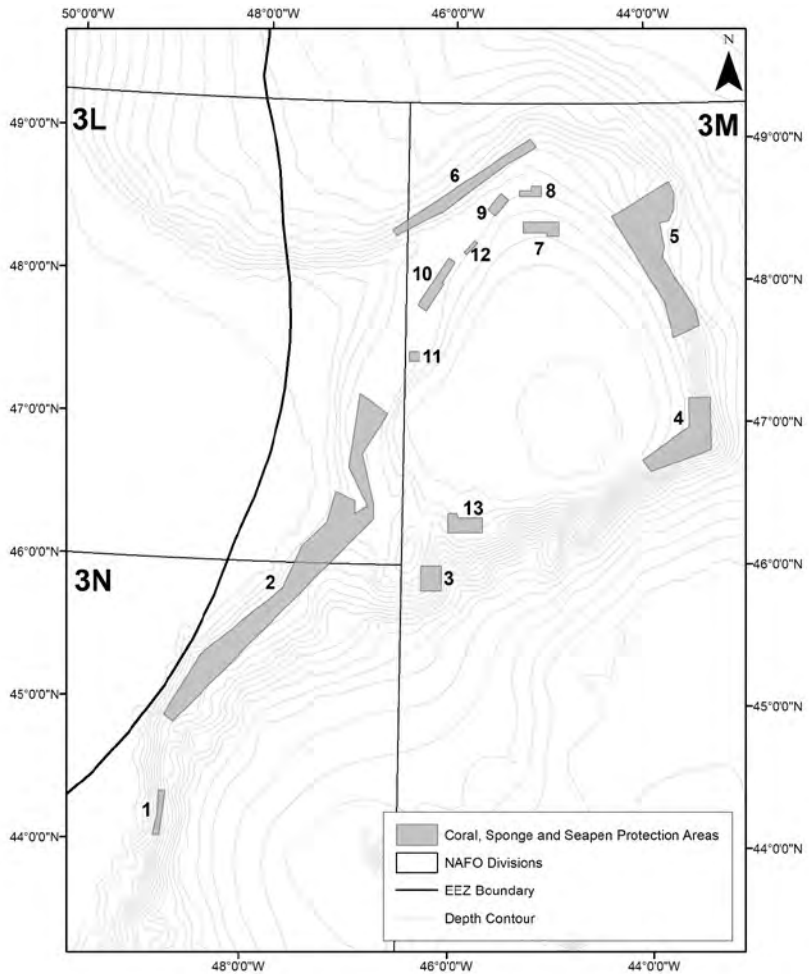


Figure 5. Polygons Delineating Areas of High Sponge and Coral Concentrations Referenced in Article 17.3.

4. Contracting Parties are encouraged to the extent possible to record all coral and sponge catch in their annual government and/or industry research programs and to consider non-destructive means for the long-term monitoring of coral and sponged in the closed areas.

### Article 18 – Exploratory Bottom Fishing Activities

1. Exploratory bottom fishing activities shall be subject to a prior exploration conducted in accordance with the exploratory protocol set out in Annex I.E.
2. Contracting Parties whose vessels wish to engage in exploratory bottom fishing activities shall, for the purpose of the evaluation referred to in Article 20:



- (a) communicate to the Executive Secretary the 'Notice of Intent to Undertake Exploratory Bottom Fishing' in accordance with Annex I.E together with the assessment required under Article 19.1;
- (b) require vessels entitled to fly their flag to start exploratory bottom fishing activities only after they have been authorized in accordance with Article 20;
- (c) have an observer with sufficient scientific expertise on board for the duration of the exploratory bottom fishing activity; and
- (d) provide to the Executive Secretary an "Exploratory Bottom Fishing Trip Report" in accordance with Annex I.E. within 3 months of the completion of the exploratory bottom fishing activities.

### ***Duties of the Executive Secretary***

- 3. The Executive Secretary:
  - (a) promptly forward the documents referred to in paragraph 2(a) of this Article to the Scientific Council and to the Commission; and
  - (b) circulates the "Exploratory Bottom Fishing Trip Reports" to the Scientific Council and to all Contracting Parties.

## **Article 19 – Preliminary Assessment of Proposed Exploratory Bottom Fishing Activities**

- 1. Any Contracting Party proposing to participate in exploratory bottom fishing activities shall submit, in support of their proposal, a preliminary assessment of the known and anticipated impacts of the bottom fishing activity, which will be exercised by the vessels entitled to fly its flag, on VMEs.
- 2. The preliminary assessment referred to in paragraph 1 of this Article shall:
  - (a) be sent to the Executive Secretary no less than two weeks in advance of the opening of the June meeting of the Scientific Council;
  - (b) be in accordance with guidance developed by the Scientific Council, or, in the absence of such guidance, to the best ability of the Contracting Party; and
  - (c) address the elements in accordance with Annex I.E.
- 3. The Commission will request the Scientific Council to:
  - (a) undertake an analysis of the preliminary assessment submitted in accordance with Article 19.1 at its meeting immediately following the submission by the Contracting Parties, according to procedures and standards it develops, and taking into account the risks of significant adverse impacts on VMEs;
  - (b) consider any available additional information, including information from other fisheries in the region or similar fisheries elsewhere; and

- (c) in line with the precautionary approach, provide advice to the Commission on possible adverse impacts on VMEs and on the mitigation measures to prevent them.
- 4. The Joint Commission-Scientific Council Working Group on Ecosystem Approach Framework to Fisheries Management shall:
  - (a) examine the advice of the Scientific Council delivered in accordance with Article 19.3; and
  - (b) make recommendations to the Commission in accordance with its mandate.

## **Article 20 – Management of Exploratory Bottom Fishing Activities**

1. The Commission shall adopt conservation and management measures to prevent significant adverse impacts of the exploratory fishing activities on VMEs, taking account of advice and recommendations provided by the Scientific Council and the Joint Commission-Scientific Council Working Group on Ecosystem Approach Framework to Fisheries Management, including data and information arising from reports pursuant to Article 22. These measures may include:
  - (a) allowing, prohibiting or restricting bottom fishing activities;
  - (b) requiring specific mitigation measures for bottom fishing activities;
  - (c) allowing, prohibiting or restricting bottom fishing with certain gear types, or changes in gear design and/or deployment; and
  - (d) any other relevant requirements or restrictions to prevent significant adverse impacts to vulnerable marine ecosystems.

## **Article 21 – Evaluation of Exploratory Bottom Fishing Activities**

1. The Commission will request the Scientific Council to:
  - (a) evaluate the exploratory bottom fishing activities at its meeting immediately following the reception of the “Exploratory Bottom Fishing Trip Report” circulated in accordance with Article 18.2; and
  - (b) in line with the precautionary approach, provide advice to the Commission on the decision to be taken in accordance with Article 21.3, taking account the risks of significant adverse impacts on VMEs.
2. The Joint Commission-Scientific Council Working Group on Ecosystem Approach Framework to Fisheries Management shall examine the advice of the Scientific Council delivered in accordance with Article 21.1 and shall make recommendations to the Commission in accordance with its mandate.
3. The Commission shall, taking account of advice and recommendations provided by the Scientific Council and the Joint Commission-Scientific



Council Working Group on Ecosystem Approach Framework to Fisheries Management either to:

- (a) authorize the bottom fishing activity for part or all of the area in which exploratory bottom fishing was carried out and include this area in the footprint, or
- (b) discontinue the exploratory bottom fishing activity and, if necessary, close part or all of the area where which exploratory bottom fishing was carried out, or
- (c) authorize the continued conduct of exploratory bottom fishing activity, in line with Article 18 with a view to gather more information.

## **Article 22 – Provisions in Case of Encounter**

### ***Encounter Threshold***

1. An encounter with VME indicator species is defined as catch per set (e.g. trawl tow, longline set, or gill net set) of more than 7 kg of sea pens and/or 60 kg of other live coral and/or 300 kg of sponges.

### ***Duties of the Master***

2. Each Contracting Party shall:
  - (a) require that masters of vessels entitled to fly its flag and conducting bottom fishing activities in the NAFO Regulatory Area abide by the following rules, where evidence of VME indicator species, in accordance with Annex I.E, are encountered during the course of fishing operations:
    - (1) quantify the catch of VME indicator species; and
    - (2) if the quantity of VME indicator species caught in a fishing operation (such as trawl tow or set of a gill net or longline) is beyond the threshold defined in paragraph 1 of this Article:
      - (i) report the encounter without delay to the flag State Contracting Party including the position that is provided by the vessel, either the end point of the tow or set or another position that is closest to the exact encounter location, the VME indicator species encountered, the quantity (kg) of VME indicator species encountered; and
      - (ii) cease fishing and move away at least 2 nautical miles from the endpoint of the tow/set in the direction least likely to result in further encounters. The captain shall use his best judgment based on all available sources of information.

### ***Duties of the observer***

- (b) require that an observer with sufficient scientific expertise deployed in accordance with Article 18.2(c) for the areas outside the footprint:

- (1) identifies corals, sponges and other organisms to the lowest possible taxonomical level, using the “Exploratory Fishery Data Collection Form” in accordance with Annex I.E (templates); and
- (2) delivers the results of such identification to the master of the vessel to facilitate quantification referenced in paragraph 2(a) (1) of this Article;

### ***Duties of the Contracting Party***

- (c) forward, without delay, the encounter information reported by the master to the Executive Secretary if the quantity of the VME indicator species caught in a fishing operation (such as trawl, tow, set, of a gill net or longline) is beyond the threshold defined in paragraph 1 of this Article. The Contracting Party may allow the master of their vessels to also report the encounter directly to the Executive Secretary;
- (d) issue an immediate alert of the encounter to all fishing vessels entitled to fly its flag; and
- (e) consider temporarily closing a two mile radius around any reported VME encounter location outside of footprint upon notification by the Executive Secretary in accordance with Article 22.3(c). Contracting Parties may reopen temporarily closed areas upon notification from the Executive Secretary in accordance with Article 22.3(e).

### ***Duties of the Executive Secretary***

3. The Executive Secretary:
  - (a) archives the information on incident information reported by masters and without delay transmits it to all Contracting Parties;
  - (b) makes an annual report to the Scientific Council on single and multiple encounters in discrete areas within the footprint. This report should also include reports from the exploratory bottom fishing activities conducted in the last year;
  - (c) requests all Contracting Parties to implement a temporary closure of a two mile radius around the reporting position of an encounter with VME indicator species outside the footprint, as identified in accordance with paragraph 2(c) of this Article. The reporting position is that provided by the master;
  - (d) requests Contracting Parties to maintain the temporary closure until such time that the Commission has adopted conservation and management measures in accordance with paragraph 5 of this Article if the Scientific Council concludes that the area covered by a temporary closure consists of a VME;
  - (e) informs the Contracting Parties that they may reopen the area to their vessels if the Scientific Council does not conclude that the area covered by a temporary closure consists of a VME; and



- (f) makes an annual report to the Scientific Council on archived reports from encounters in areas outside the footprint. This report shall also include reports from the exploratory bottom fishing activities that were conducted in the last year.

### ***Duties of the Scientific Council***

- 4. The Scientific Council will be requested by the Commission to:
  - (a) analyze the information received from the Executive Secretary pursuant to paragraph 3(b) and (f) of this Article;
  - (b) examine any temporary closures implemented in accordance with paragraph 3(c) of this Article at the meeting immediately following the implementation of such closures; and
  - (c) provide advice to the Commission on whether a VME exists following encounters with VME indicator species on a case-by-case basis and on the appropriateness of the temporary closures or other measures. The advice shall be based on annually updated assessments of the accumulated information on encounters as well as other scientific information. The Scientific Council's advice on the need for action, using FAO guidelines as a basis. In determining the appropriateness of the temporary closures or other measures, the Scientific Council should describe how these measures respond to the relevant provisions of the FAO guidelines, in particular the six criteria defining a significant adverse impact on an identified VME, consistent with the best available scientific information and the precautionary approach.

### ***Duties of the Commission***

- 5. The Commission shall:
  - (a) consider the advice provided by the Scientific Council pursuant to paragraph 4(c) of this Article; and
  - (b) adopt conservation and management measures in accordance with Article 20.

## **Article 23 – Reassessment of Bottom Fishing Activities**

- 1. The Commission will request the Scientific Council to:
  - (a) identify VMEs, on the basis of best available scientific information and with the co-operation of Contracting Parties;
  - (b) map sites where these VMEs are known to occur or likely to occur; and
  - (c) provide such data and information to the Executive Secretary for circulation to all Contracting Parties.
- 2. The Commission shall:
  - (a) conduct a reassessment of bottom fishing activities in 2021 and every 5 years thereafter, or when there is new scientific information indicating



a VME in a given area, other new scientific information becomes available, or there is significant change in the fishery, in collaboration with the Scientific Council and the Joint Commission-Scientific Council Working Group on Ecosystem Approach Framework to Fisheries Management; and

- (b) take the necessary actions to protect VMEs, including potential adjustment of closed areas, following the reassessment specified in paragraph 2(a) of this Article.

## **Article 24 - Review**

The provisions of this Chapter shall be reviewed by the Commission at its Annual Meeting no later than 2020.



## **CHAPTER III**

### **VESSEL REQUIREMENTS AND CHARTERING**

#### **Article 25 – Vessel Requirements**

##### ***Notification of Fishing Vessels***

1. Each Contracting Party shall notify the Executive Secretary of the following by electronic means:
  - (a) a list of its vessels entitled to fly its flag which it may authorize to conduct fishing activities, in the Regulatory Area, hereinafter referred to as a “notified vessel”, in the format prescribed in Annex II.C1 (NOT message);
  - (b) from time to time, any deletion from the list of notified vessels, without delay, in the format prescribed in Annex II.C2 (WIT message).
2. No fishing vessel shall conduct fishing activities in the Regulatory Area unless:
  - (a) it is listed as a notified vessel; and
  - (b) eligible vessels have been issued an IMO number.

##### ***Authorization to Conduct Fishing Activities***

3. No Contracting Party shall:
  - (a) permit a vessel entitled to fly its flag to conduct fishing activities in the Regulatory Area unless it has authorized it to do so; or
  - (b) authorize a fishing vessel entitled to fly its flag to conduct fishing activities in the Regulatory Area unless it is able to exercise effectively its flag State duties in respect of such vessel.
4. Each Contracting Party shall manage the number of authorized fishing vessels and their fishing effort in a manner that takes due account of the fishing opportunities available to that Contracting Party in the Regulatory Area.
5. Each Contracting Party shall transmit to the Executive Secretary by electronic means:
  - (a) the individual authorization for each vessel from the list of notified vessels it has authorized to conduct fishing activities in the Regulatory Area, hereinafter referred to as an “authorized vessel”, in the format prescribed in Annex II.C3 and no later than 30 days before the start of the fishing activities for the calendar year (AUT message).

Each authorization shall in particular identify the start and end dates of validity and, the species for which directed fishery is allowed, unless exempted in Annex II.C.3. If the vessel intends to fish for regulated species referred to in Annexes I.A or I.B, the identification shall refer

- to the stock, where the regulated species is associated to the area concerned;
- (b) the suspension of the authorization, in the format prescribed in Annex II.C4, without delay, in case of removal of the authorization concerned or of any modification to its content, where the removal or the modification occurs during the period of validity (SUS message);
  - (c) in case of resuming a suspended authorization, the new authorization, transmitted in accordance with the procedure described in subparagraph (a) above.
6. Each Contracting Party shall ensure that the period of validity of the authorization matches with the certification period concerning the certification of the capacity plan referred to in paragraphs 10 and 11 below.

### ***Vessel Markings***

7. Every fishing vessel shall bear markings that are readily identified in accordance with internationally accepted standards, such as the *FAO Standard Specifications for the Marking and Identification of Fishing Vessels*.

### ***Vessel Documents to be Carried on Board***

8. No fishing vessel shall operate in the Regulatory Area without carrying on board current valid documents issued by the competent authority of the flag State at a minimum establishing the following particulars concerning the vessel:
- (a) its name, if any;
  - (b) the letter(s) of the port or district in which it is registered, if any;
  - (c) the number(s) under which it is registered;
  - (d) the IMO number;
  - (e) its international radio call sign, if any;
  - (f) the names and addresses of the owner(s) and, where applicable, the charterers;
  - (g) its length overall;
  - (h) its engine power;
  - (i) the capacity plan referred to in paragraph 10; and
  - (j) estimation of freezing capacity or certification of refrigeration system will be provided if possible.

### ***Capacity Plan***

9. No fishing vessel shall conduct fishing activities in the Regulatory Area without carrying on board an accurate up-to-date capacity plan, the capacity plan must be certified by a competent authority or recognized by its flag State.



10. The capacity plan shall:
  - (a) take the form of a drawing or description, of its fish storage place, including the storage capacity of each fish storage place in cubic meters. The drawing must consist of longitudinal section of the vessel, including a plan for each deck on which a fish storage place is located and the locations of freezers;
  - (b) show in particular the positions of any door, hatch and any other access to each fish storage place, with reference to the bulkheads;
  - (c) indicate the main dimensions of the fish storage tanks (refrigerated sea water tanks) and, for each one, indicating the calibration in cubic meters at intervals of 10 cm; and
  - (d) have the true scale clearly indicated on the drawing.
11. Each Contracting Party shall ensure that, every two years, the capacity plan of its authorized vessels is certified correct by the competent authority.

### ***Duties of the Executive Secretary***

12. The Executive Secretary
  - (a) maintains a register of all fishing vessels notified in accordance with paragraph 1(a);
  - (b) identifies in the register the authorized vessels, including chartered vessels; and
  - (c) amends the register and any element related to the authorizations following notification by a Contracting Party of any modification.
13. Subject to the appropriate confidentiality requirements, the Executive Secretary:
  - (a) posts the register referred to in paragraph 12, to the NAFO MCS Website and ensures that it is automatically made available to all Contracting Parties;
  - (b) deletes from the register any vessel that has not conducted fishing activities in the Regulatory Area for a period of two consecutive years, or that has been classified as IUU.

## **Article 26 - Chartering Arrangements**

1. For the purpose of this Article “chartering Contracting Party” refers to the Contracting Party that holds an allocation as indicated in Annexes I.A and I.B, and “flag State Contracting Party” refers to the Contracting Party in which the chartered vessel is registered.
2. A Contracting Party may authorize all or part of its allocation to be harvested using a chartered authorized vessel entitled to fly the flag of another Contracting Party, subject to the following conditions:

- (a) the flag State Contracting Party has consented in writing to the chartering arrangement;
  - (b) the chartering arrangement is limited to one fishing vessel per flag State Contracting Party in any calendar year;
  - (c) the duration of the fishing operations under the chartering arrangement does not exceed six months cumulatively in any calendar year; and
  - (d) the authorized vessel is not a vessel that has previously been identified as having engaged in IUU fishing.
3. Without prejudice to the duties of the chartering Contracting Party, flag State Contracting Party shall ensure that the vessel complies with the CEM. This does not nullify the obligations under the CEM of the chartering Contracting Party to which the quota and fishing days have been allocated originally.
  4. All catch and bycatch taken by the chartered vessel according to the chartering arrangement shall be attributed to the chartering Contracting Party.
  5. The flag State Contracting Party shall not authorize the chartered vessel, when conducting fishing operations under the chartering arrangement, to fish any of the flag State Contracting Party's allocations or under another charter at the same time.
  6. No transshipment at-sea may be carried out without the prior authorization of the chartering Contracting Party, which shall ensure that it is carried out under the supervision of an observer on board.
  7. The chartering Contracting Party shall, before the date the chartering arrangement is effective, provide the following information in writing to the Executive Secretary:
    - (a) the name, flag State registration, IMO number and flag State of the vessel;
    - (b) previous name(s) and flag State(s) of the vessel, if any;
    - (c) the name and address of the owner(s) and operators of the vessel;
    - (d) a copy of the chartering arrangement and any fishing authorization or licence it has issued to the vessel; and
    - (e) the allocation assigned to the vessel.
  8. The flag State Contracting Party shall notify the Executive Secretary in writing prior to the start of the chartering arrangement of its consent to the chartering arrangement and provide to the chartered vessel a copy of the notice sent by the Executive Secretary in accordance with paragraph 14.
  9. The chartering Contracting Party and the flag State Contracting Party shall both notify the Executive Secretary immediately upon the occurrence of the following events:
    - (a) start of fishing operations under the chartering arrangement;



- (b) suspension of fishing operations under the chartering arrangement;
  - (c) resumption of fishing operations under a chartering arrangement that has been suspended;
  - (d) end of fishing operations under the chartering arrangement.
10. The flag State Contracting Party shall maintain a separate record of catch and bycatch data from fishing operations in accordance with every charter of a vessel entitled to fly its flag and report them to the chartering Contracting Party and the Executive Secretary.
  11. Each chartering Contracting Party shall report to the Executive Secretary by 1 March each year, all relevant information concerning the implementation of chartering arrangements for the previous calendar year notified under this Article, including information on the catch, fishing effort and bycatch of each vessel it has chartered in accordance with this Article.
  12. The chartered vessel shall at all times carry a copy of the documentation referred to in paragraph 7.

### ***Duties of the Executive Secretary***

13. Upon receipt of the information specified in paragraphs 7 and 8, the Executive Secretary verifies whether the chartering arrangement complies with this Article, and without delay so notifies the Contracting Parties concerned indicating the date on which the chartering arrangement becomes effective.
14. The Executive Secretary circulates without delay to all Contracting Parties and posts to the NAFO MCS Website the information notified in accordance with paragraph 9 and ensures that the catch and bycatch notified in accordance with paragraph 11 is attributed to the chartering Contracting Party.
15. By 15 August each year, the Executive Secretary submits a report to the Commission detailing the chartering arrangements for the preceding calendar year to ensure that the Commission has an opportunity to review compliance with the provisions of this Article at each Annual Meeting.

## **CHAPTER IV MONITORING OF FISHERIES**

### **Article 27 - Product Labelling Requirements**

1. When processed, all species harvested in the Regulatory Area shall be labelled in such a way that each species and product category is identifiable. All species must be labelled using respectively the following data:
  - (a) the name of the capture vessel;
  - (b) the 3-Alpha Code for each species as listed in Annex I.C;
  - (c) in the case of shrimps the date of capture;
  - (d) the Regulatory Area and Division of fishing; and
  - (e) the product form presentation code as listed in Annex II.K.
2. Labels shall be securely affixed, stamped or written on packaging at the time of stowage and be of a size that can be read by inspectors in the normal course of their duties.
3. Labels shall be marked in ink on a contrasting background.
4. Each package shall contain only:
  - (a) one product form category;
  - (b) one division of capture;
  - (c) one date of capture (in the case of shrimps); and
  - (d) one species.

### **Article 28 – Monitoring of Catch**

#### ***Recording of Catch and Stowage***

1. For the purposes of monitoring catch, each fishing vessel shall utilize a fishing logbook, a production logbook and a stowage plan as defined below, to record fishing activities in the Regulatory Area:

#### ***Fishing Logbook***

2. Each fishing vessel shall maintain a fishing logbook consistent with Annex II. A that:
  - (a) accurately records catch of each tow/set related to the smallest geographical area for which a quota has been allocated;
  - (b) indicates the disposition of the catch of each tow/set, including the amount (in kg, live weight) of each stock that is retained on board, discarded, offloaded, or transhipped during the current fishing trip; and
  - (c) is retained on board for at least 12 months.



## ***Production Logbook***

3. Each fishing vessel shall maintain a production logbook that:
  - (a) accurately records the daily cumulative production for each species and product type in kg for the preceding day from 00:01 UTC until 24:00 UTC;
  - (b) relates the production of each species and product type to the smallest geographical area for which a quota has been allocated;
  - (c) lists the conversion factors used to convert production weight of each product type into live weight when recorded in the fishing logbook;
  - (d) labels each entry in accordance with Article 27; and
  - (e) is retained on board for at least 12 months.

## ***Stowage of Catch***

4. Each vessel shall, with due regard for safety and navigational responsibilities of the master, stow all catch taken in the NAFO Regulatory Area separately from all catch taken outside the NAFO Regulatory Area, and ensure that such separation is clearly demarcated using plastic, plywood or netting;
5. Each fishing vessel shall maintain a stowage plan that:
  - (a) clearly shows:
    - (i) the location and quantity, expressed as product weight in kg, of each species within each fish hold;
    - (ii) the location in each hold of shrimp taken in Division 3L and in Division 3M that includes the quantity of shrimp in kg, by Division;
    - (iii) the top view of product within each fish hold;
  - (b) is updated daily for the preceding day from 00:01 to 24:00 UTC; and
  - (c) is retained on board for each day fished until the vessel has been unloaded completely.

## ***Catch Reporting***

6. Every fishing vessel shall transmit electronically to its FMC the following reports in accordance with the format and the content prescribed for each type of report in Annex II.D and Annex II.F:
  - (a) on entry (COE): quantity of catch on board by species upon entry into the Regulatory Area, transmitted at least six (6) hours in advance of the vessel's entry;
  - (b) catch on exit (COX): quantity of catch onboard by species upon exit from the Regulatory Area transmitted at least six (6) hours in advance of the vessel's exit;



- (c) catch report (CAT): quantity of catch retained and quantity discarded by species for the day preceding the report, by Division, including nil catch returns, sent daily before 12:00 UTC. Nil catch retained and nil discards of all species shall be reported using the 3 alpha code MZZ (marine species not specified) and quantity as "0" as the following examples demonstrate (//CA/MZZ 0// and //RJ/MZZ 0//);
- (d) catch on board (COB): for any vessel fishing shrimp in Division 3L, prior to entry or exit from Division 3L, transmitted one hour prior to crossing the boundary of Division 3L;
- (e) transshipment (TRA):
  - (i) by donor vessel, transmitted at least twenty-four (24) hours in advance of the transshipment; and
  - (ii) by receiving vessel, no later than one (1) hour after the transshipment.
- (f) port of landing (POR): by a vessel that has received a transshipment at least twenty-four (24) hours in advance of any landing;
- (g) catch of species listed in Annex I.C for which the total live weight on board is less than 100 kg, may be reported using the 3-alpha code MZZ (marine species not specified), except in the case of sharks. All sharks shall be reported at the species level under their corresponding 3-alpha code presented in Annex I.C or if not contained in Annex I.C the FAO ASFIS List of Species for Fishery Statistics. When species specific reporting is not possible, shark species shall be recorded as either large sharks (SHX) or dogfishes (DGX), as appropriate and in accordance with the 3-alpha codes presented in Annex I.C. The estimated weight of sharks caught per haul or set shall also be recorded.

These reports may be cancelled using the format specified in Annex II.F(8). If any of these reports is subject to correction, a new report must be sent without delay after Cancel report within time limits set out in this paragraph.

In case the flag State FMC accepts the cancellation of a report from its vessels it shall communicate it to the Executive Secretary without delay.

7. Each Contracting Party shall ensure that its FMC, immediately upon receipt, transmits electronically the reports referred to in paragraph 6 to the Executive Secretary in the format prescribed in Annex II.D.

### ***Catch and Fishing Effort Reporting by Contracting Parties***

8. Each Contracting Party shall:

- (a) report its provisional monthly catches by species and stock area, and its provisional monthly fishing days for the 3M shrimp fishery, whether or not it has quota or effort allocations for the relevant stocks. It shall transmit these reports to the Executive Secretary within 30 days of the end of the calendar month in which the catch was taken.



- (b) ensure that logbook information is submitted in either Extensible Markup Language (XML) or in a Microsoft Excel file format, to the Executive Secretary containing at a minimum the information outlined in Annex II.N within 60 days following the completion of each fishing trip.

### ***Duties of the Executive Secretary***

#### **9. The Executive Secretary:**

- (a) assigns sequential numbers to the reports of each Contracting Party listed in paragraph 6, including any cancellation reports, then posts them to the NAFO MCS Website and ensures that they are automatically transmitted to Contracting Parties with an inspection presence in the Regulatory Area;
- (b) ensures that each port of landing report (POR) posted to the NAFO MCS Website is automatically transmitted to the flag State Contracting Party of the receiving vessel and, in conformity with Annex II.B, to all Contracting Parties;
- (c) upon request, confirms receipt of all electronic reports (RET);
- (d) no later than 10 days after the end of each calendar month, collates the information received in accordance with paragraph 8(a) and circulates it together with aggregate catch statistics by stock area to all Contracting Parties;
- (e) makes the catch reporting data specified in Article 28.6(c) available to the Scientific Council and Scientific Council/ Commission Working Groups upon their request, without the vessel's and flag State identification, in line with the data confidentiality rules as specified in Annex II.B and for data transmitted to the NAFO Secretariat after 1 January 2013. In case the request includes VMS data under Article 29.10(d) a vessel codification should permit the cross analysis of both catch and VMS data by vessel and this way allow the Scientific Council and Scientific Council/ Commission Working Groups to carry out their mandated responsibilities. Data made available shall be used only for the purpose of research within the functions of the Scientific Council or Scientific Council/ Commission Working Groups and publication of scientific results should be in an aggregated format without any detailed information regarding individual vessels or flag States;
- (f) makes the logbook data specified in Article 28.8(b) available to Scientific Council upon their request, without the vessel's and flag State identification, in line with the data confidentiality rules as specified in Annex II.B. If the request includes VMS data under Article 29.10(d), a vessel codification should permit the cross analysis of both catch and VMS data by vessel and this way allow the Scientific Council to carry out their mandated responsibilities. Data made available shall be used only for the purpose of research within the functions of the Scientific Council and publication of scientific results should be in an aggregated format without any detailed information regarding individual vessels or flag States.

## **Article 29 - Vessel Monitoring System (VMS)**

### ***VMS Position Data and Costs***

1. Every fishing vessel operating in the Regulatory Area shall be equipped with a satellite monitoring device capable of continuous automatic transmission of position to its land-based Fisheries Monitoring Centre (FMC), no less frequently than once an hour, the following VMS data:
  - (a) vessel identification;
  - (b) most recent vessel position, by latitude and longitude, having an error tolerance margin no greater than 500 metres and a confidence interval of 99%;
  - (c) UTC date and time of the fixing of the position; and
  - (d) vessel course/heading and speed.
2. The flag State Contracting Party shall ensure that its FMC:
  - (a) receives the position data referred to in paragraph 1 and records them using the following 3 letter codes:
    - (i) "ENT", first VMS position transmitted by each vessel upon entering the Regulatory Area;
    - (ii) "POS", every subsequent VMS position transmitted by each vessel from within the Regulatory Area; and
    - (iii) "EXI", first VMS position transmitted by each vessel upon exiting the Regulatory Area.
  - (b) is equipped with computer hardware and software for automatic data processing and electronic data transmission and applies back-up and recovery procedures and records the data received from fishing vessels in computer readable form that it maintains for no less than three years; and
  - (c) notifies the Executive Secretary of the name, address, telephone, telex, e-mail or facsimile numbers of its FMC and any subsequent changes without delay.
3. Each Contracting Party shall assume all costs associated with its own Vessel Monitoring System.

### ***Failure of a Device***

4. Where an inspector observes a fishing vessel in the Regulatory Area and has not received data in accordance with paragraph 1, 2 or 8 the inspector shall inform the master of the vessel and the Executive Secretary.
5. The flag State Contracting Party shall ensure that the master or the owner of a fishing vessel entitled to fly its flag or its representative is informed when the vessel's satellite monitoring device appears to be defective or non-functioning.



6. Where the satellite monitoring device fails, the master shall ensure it is repaired or replaced within one month following such failure, or, where a fishing trip lasts more than one month, the repair or the replacement is completed upon the vessel's next entry into port.
7. No fishing vessel may commence a fishing trip with a defective satellite monitoring device.
8. Every fishing vessel operating with a defective satellite monitoring device, shall transmit, at least once every 4 hours, the VMS position data to its flag State FMC by other available means of communication, in particular, satellite, email, radio, facsimile or telex.

### ***Transmission of VMS Position Data from the FMC to the Executive Secretary***

9. The flag State Contracting Parties shall ensure that:
  - (a) its FMC transmits VMS position data to the Executive Secretary as soon as possible, but no later than 24 hours after it receives them and may authorize fishing vessels entitled to fly its flag to transmit VMS position data by satellite, email, radio, facsimile or telex, direct to the Executive Secretary; and
  - (b) the VMS position data transmitted to the Executive Secretary are in conformity with the data exchange format set out in Annex II.E and further described in Annex II.D.

### ***Duties of the Executive Secretary***

10. The Executive Secretary:
  - (a) upon request, confirms receipt of electronic reports using a return message coded "RET";
  - (b) posts as soon as possible the VMS position data listed in paragraph 2(a) to the NAFO MCS Website and ensures that they are automatically made available to all Contracting Parties with an inspection presence in the Regulatory Area;
  - (c) treats all VMS position data in conformity with Annex II.B;
  - (d) makes VMS data available in a summary form, that does not include the vessel's identification, to the Scientific Council and other NAFO constituent bodies to allow them to carry out their mandated responsibilities;
  - (e) upon determining that a vessel has failed to transmit two consecutive VMS position data reports as specified in paragraph 1, so notifies the FMC of the flag State Contracting Party without delay;
  - (f) upon being informed by an inspector that data has not been received for a fishing vessel in the Regulatory Area in accordance with paragraph 1 and 8, immediately informs the flag State Contracting Party of the vessel; and

- (g) upon request, provides the NAFO VMS data:
  - (i) for Search and Rescue and maritime safety purposes as required; and
  - (ii) to a Contracting Party, in a monthly aggregated and anonymized form limited to the most recent five-year period, for purposes identified in request, made in accordance with paragraph 12.a. Upon receiving a request, the Executive Secretary shall immediately forward it to all Contracting Parties. The data shall only be provided to the requesting Contracting Party in the absence of an objection received from another Contracting Party in accordance with paragraph 12.b. The Executive Secretary shall immediately forward any objection received to all Contracting Parties.

### ***Use of VMS Data for Search and Rescue***

11. Any Contracting Party may use NAFO VMS data for search and rescue or for the purpose of maritime safety.

### ***Use of VMS Data for Other Purposes***

12. (a) A Contracting Party may request access to VMS data for other purposes. Such requests shall be made in writing to the Executive Secretary, and shall identify the purposes for which the VMS data will be used and the entities to which the data will be given. Upon receiving the VMS data the Contracting Party shall only provide them to the entities defined in the request on the condition that it is for their own use only and that the data is not the subject of further distribution.
- (b) A Contracting Party who objects to a request for VMS data made by another Contracting Party shall send the objection in writing to the Executive Secretary within thirty days of the communication of the request by the Executive Secretary in accordance with paragraph 10.g(ii).



## **CHAPTER V OBSERVER SCHEME**

### **Article 30 - Observer Program**

#### ***General provisions***

1. The purpose of this Observer Program is to collect reliable information and data on activities in the NAFO Regulatory Area. The information and data collected through the Observer Program shall be made available to any NAFO body requesting it.
2. Observers shall execute their duties and functions in an unbiased manner regardless of nationality and of which flag the vessel is flying, and shall be free from undue influence or benefit linked to the fishing activity of the vessel.
3. This Program shall apply to all Contracting Parties fishing vessels operating in the Regulatory Area.
4. Observers shall be independent and impartial, and have the training, knowledge, skills and abilities to perform all of the duties, functions and requirements as specified in Article 30.

#### ***Duty to carry observers***

5. Subject to the exception in paragraph 6, each flag State Contracting Party shall ensure that every fishing vessel flying its flag, while conducting fishing activities in the Regulatory Area, carries at all times at least one observer in accordance with the provisions of this Program. A vessel shall not commence fishing until the observer is deployed on the vessel.

#### ***Partial withdrawal of observers***

6. By way of derogation from paragraph 5, and providing that the Commission has not requested a higher observer coverage level, a flag State Contracting Party may allow its vessels to carry an observer for less than 100 %, but not less than 25% of the fishing trips conducted by its fleet, or of the days the vessels are present, in the Regulatory Area during the year, on the condition that the flag State Contracting Party for the vessels not carrying an observer:
  - (a) ensures that the vessels concerned target species in areas where negligible by-catch of other species is expected to occur;
  - (b) ensures that the vessel complies with all real-time reporting requirements;
  - (c) physically inspects or otherwise evaluates as appropriate, following risk assessment, each landing in its ports by the vessel concerned according to domestic monitoring control and surveillance procedures. If any infringement to the CEM is detected and confirmed, it shall prepare a

report in the format prescribed in Annex IV. C (PSC 3). The PSC 3 shall be uploaded to the NAFO MCS Website, in computer readable format, as soon as possible after the infringement has been confirmed.

- (d) as soon as possible in advance of the fishing trip, posts to the NAFO MCS Website, in PDF format:
    - (i) the name, IMO number, and International Radio Call sign of the vessel,
    - (ii) the factors that support the decision to grant the derogation to the 100% coverage;
  - (e) submits to the Executive Secretary by 1 March each year, for the previous calendar year, a report containing a comparison of all relevant catch and fishing activities showing the difference between the trips where the vessel had an observer on board and those where the observer was withdrawn.
7. Where an inspector issues a notice of an infringement to a fishing vessel that is not carrying an observer, in accordance with this derogation, at the time of the notice, the infringement shall be deemed a serious infringement for the purpose of Article 38.1 and, where the flag State Contracting Party does not require the fishing vessel to proceed immediately to port in accordance with Article 38.3, it shall deploy an observer to the fishing vessel without delay.

### ***Duties of the flag State Contracting Party***

8. Each Contracting Party shall:
- (a) each year, before its vessels start fishing in the NAFO Regulatory Area, post to the MCS Website an ongoing list of observers (name and ID if applicable) that it intends to deploy to vessels entitled to fly its flag operating in the Regulatory Area;
  - (b) require its vessels to carry an observer from the list it has posted to the NAFO MCS website, in accordance with this Program;
  - (c) to the extent practicable, ensure that individual observers are not deployed on consecutive trips on the same vessel;
  - (d) ensure that vessel Masters, operators, or owners cannot refuse to accept an observer deployment;
  - (e) ensure that observers are equipped with an independent two-way communication device at sea;
  - (f) take appropriate action with respect to their vessels to ensure safe working conditions, the protection, security and welfare of observers in the performance of their duties, consistent with international standards or guidelines.
  - (g) ensure that the observers treat all data and information related to the fishing operations collected during their deployment, including



images and videos taken, in accordance with applicable confidentiality requirements;

9. Upon the receipt of an OBR from an observer reporting discrepancies with the NAFO CEM or an incident, including any instances of obstruction, intimidation, interference with, or otherwise prevention of the observer from performing their duties, concerning a vessel entitled to fly its flag, a Contracting Party shall:
  - (a) treat the report with upmost sensitivity and discretion, in accordance with applicable confidentiality requirements;
  - (b) assess discrepancies identified in the OBR and conduct any follow-up action deemed appropriate;
  - (c) create a report on follow-up actions and post it in a computer readable format to the NAFO MCS website.
10. Each Contracting Party shall provide to the Executive Secretary:
  - (a) no later than 24 hours in advance of an observer's deployment onboard a fishing vessel, by posting to the MCS Website the name of the fishing vessel and International Radio Call Sign, together with the name and ID (if applicable) of the observer concerned;
  - (b) electronically and without delay following its receipt, the daily OBR report referred to in paragraph 14 (e);
  - (c) within 30 days following the arrival of the vessel in port, the observer trip report referred to in paragraph 14;
  - (d) by 1 March each year for the previous calendar year, a report on its compliance with the obligations outlined in this Article.
11. If a vessel is carrying an observer from another Contracting Party, that Contracting Party shall ensure that its observer reports to the vessel's flag State Contracting Party.
12. If a vessel required to carry an observer is not carrying one, the flag State Contracting Party may allow any other Contracting Party to deploy an observer to the vessel.
13. If, during deployment, it is determined that a serious risk to the observer exists, the flag State Contracting Party of the vessel concerned shall take steps to ensure that the observer is removed from the vessel unless and until the risk is addressed;

### ***Duties of the Observer***

14. Each Contracting Party shall ensure that observers assigned to their vessels shall, at a minimum, perform the duties listed below:
  - (a) record for each haul/set, in the format indicated in Annex II.M, hereafter referred to as the observer trip report:
    - (i) the quantity of all catch, by species, including for discards and VMEs indicators as referred to in Annex I.E.VI:



- (1) as recorded in the vessel fishing and production logbooks,
- (2) as estimated independently by the observer. For hauls where independent observer estimations are not possible, the relevant data cells should be left blank and noted in the comments section;
- (ii) record in the observer trip report any discrepancy identified between the different sources of catch data;
- (iii) gear type, mesh size, attachments;
- (iv) effort data;
- (v) longitude and latitude, fishing depth; and
- (vi) in the case of trawl fisheries, the time from the end of setting to the start of gear retrieval. In any other case, the start of setting and the end of retrieval;
- (b) monitor the vessel's stowage plan referred to in Article 28, and record in the observer report any discrepancies identified;
- (c) record any observed interruption or interference with the Vessel Monitoring System (VMS);
- (d) only set vessel's instruments with the Master's agreement;
- (e) transmit daily, whether the vessel is fishing or not, before 12:00 UTC to the Fisheries Monitoring Centre (FMC) of the flag State Contracting Party, in accordance with Annex II.G, the OBR report, by division;
- (f) perform such work, including for scientific purposes, as the Commission may request;
- (g) submit the observer report, in a computer readable form, where possible with the associated images taken by the observer as attachment
  - (i) as soon as possible after leaving the Regulatory Area and at the latest at arrival of the vessel in port, to the flag State Contracting Party,
  - (ii) immediately upon arrival in port, to the local port inspection authority if an inspection in port occurs;
- (h) make themselves available to inspectors at sea, or in port upon arrival of the vessel, for the purposes of inspecting the fishing activities of the vessel;
- (i) referring to any incidents of discrepancies with the NAFO CEM:
  - (i) report without delay to the competent authority of the flag State Contracting Party of the vessel, any discrepancy with the NAFO CEM, including any instances of obstruction, intimidation, interference with or otherwise prevention of the observer from performing their duties, using the independent two-way communication device, and



- (ii) maintain detailed records, including relevant images and video footage, of any circumstances and information related to any instances of discrepancies with the NAFO CEM, for transmission to the Fisheries Monitoring Centre (FMC) of the flag State Contracting Party at the earliest opportunity, and at the latest upon arrival of the vessel in port.

### ***Obligations of the Master***

15. Each flag Contracting Party shall ensure that Masters of vessels entitled to fly their flag:
  - (a) extend such co-operation and assistance as may be required to enable the observer to carry out his or her duties. This cooperation shall include providing the observer with such access as may be required to the catch, including such catch as the vessel may intend to discard;
  - (b) provide food and accommodations to the observer of a standard no less than that provided to the vessel's officers. If officers' accommodations are not available, the observer shall be provided accommodations of a standard as close to an officer's as practicable but no less than that provided to the crew;
  - (c) provide access to all operational areas of the vessel necessary to complete their duties, including the vessel's hold(s), production area(s), bridge, garbage processing equipment and navigation and communication equipment;
  - (d) do not obstruct, intimidate, interfere with, influence, bribe or attempt to bribe an observer in the performance of his/her duties;
  - (e) include the observer in all emergency drills conducted on-board; and
  - (f) notify the observer when an inspection party has signaled their intent to board the vessel.

### ***Costs***

16. Subject to any arrangement with another Contracting Party, each Contracting Party shall bear the costs of remunerating every observer it has deployed.
17. Contracting Parties shall ensure that their observers have no financial or beneficial interest in, and are paid in a manner that demonstrates financial independence from, the vessel(s) being monitored.

### ***Duties of the Executive Secretary***

18. The Executive Secretary:
  - (a) shall make available to all Contracting Parties, via the NAFO MCS website for enforcement purposes only, without delay:
    - (i) a copy of the observer trip report in the format of Annex II.M,
    - (ii) the annual lists of observers and observed vessels,

- (iii) the name of fishing vessel together with the name and ID (if applicable) of the observer concerned as communicated by the flag State Contracting Party,
  - (iv) any observer report of a discrepancy with the CEM, including, but not limited to any instances of obstruction, intimidation, interference with or otherwise prevention of the observers from performing their duties, and the report of the investigation conducted, and
  - (v) the daily OBR report.
- (b) makes available upon request the observer data, including the daily OBR report, to the other NAFO bodies;
  - (c) where a daily OBR report has not been received for 2 consecutive days, notifies the flag State Contracting Party and any Contracting Party participating in the at-sea Inspection and Surveillance Scheme that an OBR has not been received;
  - (d) submits to STACTIC, at its Intersessional meeting, a synthesis of the Contracting Parties performance reports referred to in paragraph 10.d.

### ***Implementation***

- 19. This Observer Program will be reviewed by STACTIC in 2022.
- 20. Any Contracting Party may elect to delay the application of Article 30 until 01 January 2020, but shall follow the provisions of Article 30 outlined in the 2018 NAFO CEM (COM Doc. 18-01). Those Contracting Parties electing to delay shall notify the Executive Secretary no later than 31 December 2018, and the Executive Secretary shall post this information to the MCS Website.



## **CHAPTER VI**

### **AT-SEA INSPECTION AND SURVEILLANCE SCHEME**

#### **Article 31 - General Provisions**

1. Inspection and surveillance shall be carried out by inspectors assigned by a Contracting Party to this At-sea Inspection and Surveillance Scheme (hereinafter, "Scheme").
2. A Contracting Party may by mutual agreement deploy inspectors it has assigned to the Scheme to an inspection platform of another Contracting Party.
3. A Contracting Party with more than 15 fishing vessels operating at any one time in the Regulatory Area shall during that time:
  - (a) have an inspector or other competent authority present in the Regulatory Area; or
  - (b) have a competent authority present in the territory of a Contracting Party adjacent to the Convention Area; and
  - (c) respond without delay to every notice of infringement in the Regulatory Area by a fishing vessel entitled to fly its flag.
4. Each Contracting Party participating in the Scheme shall provide to each inspection platform, upon its entry into the Regulatory Area, a list of sightings and boarding it has conducted in the previous ten-day period including the date, coordinates and any other relevant information.
5. Each Contracting Party participating in the Scheme shall ensure that every inspection platform entitled to fly its flag operating in the Regulatory Area maintains secure contact, daily where possible, with every other inspection platform operating in the Regulatory Area, to exchange information necessary to co-ordinate their activities.
6. Inspectors visiting a research vessel shall note the status of the vessel, and shall limit inspection procedures to those necessary to ascertain that the vessel is conducting activities consistent with its Research Plan. Where the inspectors have reasonable grounds to suspect the vessel is conducting activities that are not consistent with its Research Plan, the CEM fully apply.
7. When participating in the Scheme, a Contracting Party shall ensure its inspectors treat vessels operating in the Regulatory Area on an equitable footing by avoiding a disproportionate number of inspections on vessels entitled to fly the flag of any one Contracting Party. Accordingly, in respect of any quarter-annual period, the number of inspections its inspectors conduct on vessels entitled to fly the flag of another Contracting Party shall, insofar as possible, reflect the proportion of the total fishing activity in the Regulatory Area by vessels entitled to fly the flag of that Contracting Party. This proportion includes, inter alia, the level of catches and vessel days. In determining the frequency of inspections, inspectors may take into account the fishing patterns and compliance record of any fishing vessel.

8. When participating in the Scheme, a Contracting Party shall ensure that, except when inspecting a fishing vessel entitled to fly its own flag and in accordance with its domestic law, inspectors and inspector trainees it has assigned to this Scheme:
  - (a) remain under its operational control;
  - (b) apply the provisions of this Scheme;
  - (c) do not carry arms when boarding the vessel;
  - (d) refrain from enforcing laws and regulations related to its own exclusive economic zone;
  - (e) observe generally accepted international regulations, procedures and practices relating to the safety of the vessel being inspected and its crew;
  - (f) do not interfere with fishing activities or stowage of product and, to the extent practicable, avoid action which would adversely affect the quality of the catch on board; and
  - (g) open containers in a manner that facilitates their prompt resealing, repacking and eventual re-storage.
9. All inspection, surveillance and investigation reports referred to in this Chapter, and associated images or evidence shall be treated as confidential, in accordance with Annex II.B.

### **Article 32 - Notification Requirements**

1. Each Contracting Party shall, no later than 1 December each year, post to the NAFO MCS Website, in PDF format:
  - (a) the contact information of the competent authority which shall act as the contact point for the purpose of immediate notification of infringements in the Regulatory Area, and any subsequent changes to this information, no less than 15 days before the change comes into effect;
  - (b) the names of inspectors and inspector trainees and the name, radio call sign and communication contact information of each inspection platform it has assigned to the Scheme. It shall notify changes to the particulars so notified, whenever possible, no less than 60 days in advance;
2. When participating in the Scheme, a Contracting Party shall ensure that the Executive Secretary is notified in advance, of the date, start time and end of each patrol by the inspection platform it has so assigned.

### ***Duties of the Executive Secretary***

3. The Executive Secretary:
  - (a) ensures that the information referred to in paragraph 1 is automatically made available to all Contracting Parties;



- (b) issues the NAFO documents of identity in accordance with Annex IV.D; and
- (c) may make suggestions to Contracting Parties participating in the Scheme for the co-ordination of their deployment of resources.

### **Article 33 - Surveillance Procedures**

1. Where an inspector observes in the Regulatory Area a fishing vessel entitled to fly the flag of a Contracting Party for which there are reasons to suspect an apparent infringement of the CEM, and where an immediate inspection is not practicable, the inspector shall:
  - (a) fill out the Surveillance Report Form set out in Annex IV.A. If the inspector has made a volumetric or catch composition evaluation of the content of a haul, the Surveillance Report shall include all relevant information regarding the composition of the tow, and refer the method used for the volumetric evaluation;
  - (b) record images of the vessel and record the position, date and time the image was recorded; and
  - (c) without delay electronically transmit the Surveillance Report and images to their competent authority.
2. The inspecting Contracting Party shall without delay:
  - (a) post the Surveillance report in PDF format to the NAFO MCS Website for transmission to the flag State Contracting Party of the vessel;
  - (b) transmit a copy of images recorded to the flag State Contracting Party of the vessel;
  - (c) ensure security and continuity of the evidence for subsequent inspections.
3. Each flag State Contracting Party shall:
  - (a) on receipt of a Surveillance Report, including any image recorded, concerning a vessel entitled to fly its flag, conduct such investigation as may be necessary to determine appropriate follow-up action; and
  - (b) post the investigation report in PDF format to the NAFO MCS Website.

### ***Duties of the Executive Secretary***

4. The Executive Secretary ensures that:
  - (a) the Surveillance Reports, including any image recorded, referred to in paragraph 1 are automatically transmitted to the flag State Contracting Party of the vessel concerned; and
  - (b) the investigation report referred to in paragraph 3 is automatically transmitted to Contracting Party that has generated the Surveillance Report.

## **Article 34 - Boarding and Inspection Procedures for Contracting Parties**

Each Contracting Party that conducts an inspection under the Scheme shall ensure that its inspectors:

- (a) prior to boarding, notify the fishing vessel by radio, using the International Code of Signals, of the name of the inspection platform;
- (b) display, on the inspection vessel and boarding vessel, the pennant depicted in Annex IV.E;
- (c) ensure that during boarding, the inspection vessel remains at a safe distance from fishing vessels;
- (d) do not require the fishing vessel to stop or manoeuvre when towing, shooting or hauling;
- (e) limit each inspection team to a maximum of four inspectors including any inspection trainee who may accompany the inspection team for training purposes only. Where an inspection trainee accompanies the inspectors, inspectors shall, upon boarding, identify the trainee to the master. The inspection trainee shall simply observe the inspection operation conducted by the authorized inspectors and shall in no way interfere with the activities of the fishing vessel;
- (f) upon boarding, present to the master their NAFO documents of identity issued by the Executive Secretary in accordance with Article 32.3(b);
- (g) limit inspections to four hours, or the time required for the net to be hauled in and both the net and the catch to be inspected, whichever is longer, except:
  - (i) in the case of an infringement; or
  - (ii) where the inspector estimates the quantity of catch on board to be different from the quantity of catch recorded in the fishing logbook, in which case the inspector will limit the inspection to one additional hour with a view to verifying calculations and procedures, and re-examining the relevant documentation used to calculate the catch taken in the Regulatory Area and the catch on board the vessel; and
- (h) gather any relevant information used for identifying compliance with the CEM provided by the observer.

## **Article 35 - Obligations of Master during Inspection**

1. Every master of a fishing vessel shall take such measures as may be required to facilitate inspection by:
  - (a) ensuring, where an inspection vessel has signalled that an inspection is about to commence, that any net about to be hauled is not taken on board for at least 30 minutes following the signal from the inspection vessel;



- (b) upon request by an inspection platform and to the extent compatible with good seamanship, facilitating boarding by the inspectors;
- (c) providing a boarding ladder in accordance with Annex IV.G;
- (d) ensuring any mechanical pilot hoist is fit for use in a safe manner including safe access between the hoist to the deck;
- (e) providing the inspectors access to all relevant areas, decks and rooms, processed and unprocessed catch, nets or other gear, equipment, and any relevant documents which they consider necessary to verify compliance with the CEM;
- (f) recording and providing to inspectors upon request, coordinates pertaining to the start and end locations of any trial tow conducted in reference to Article 6.6(b)(iii);
- (g) upon request of the inspector, producing registration documents, drawings or descriptions of fish rooms, production logbooks and stowage plans and rendering such assistance as the inspector reasonably requires to ascertain that actual stowage of catch conforms with the stowage plan;
- (h) facilitating the taking of samples of processed fish by inspectors, for the purpose of species identification through DNA analysis;
- (i) refraining from interfering with any contact between the inspectors and the observer;
- (j) taking such action as may be necessary to preserve the integrity of any seal affixed by the inspectors and of any evidence remaining on board, until otherwise directed by the flag State Contracting Party;
- (k) to secure the continuity of evidence, where seals have been affixed and/or evidence has been secured, sign the appropriate section of the inspection report acknowledging the placement of seals;
- (l) ceasing fishing when requested to do so by the inspectors in accordance with Article 38.2(b);
- (m) providing, upon request, the use of the vessel's communication equipment and operator for messages to be sent out and received by the inspectors;
- (n) at the request of the inspectors, removing any part of the fishing gear which appears to be unauthorized under the CEM;
- (o) where the inspectors have made any entries in the logbooks, providing the inspector with a copy of each page where such entry appears, and at the request of the inspectors, signing each page to confirm that it is a true copy, and
- (p) when requested to cease fishing, not resuming fishing until:
  - (i) the inspectors have completed the inspection and secured any evidence; and
  - (ii) the master has signed the appropriate section of the inspection report as referred to in paragraph 1(j).



## **Article 36 - Inspection Report and Follow-up**

1. Each Contracting Party shall ensure that its inspectors complete an inspection report in the form set out in Annex IV.B in relation to each inspection and apply the provisions of this Article in relation thereto.
2. For the purpose of the inspection report:
  - (a) a fishing trip is considered current where the inspected vessel has on board catch harvested in the Regulatory Area during the trip;
  - (b) when comparing entries in the production logbook with entries in the fishing logbook the inspectors shall convert production weight into live weight guided by conversion factors used by the master;
  - (c) the inspectors shall:
    - (i) summarize from logbook records the vessel's catch in the Regulatory Area by species and by Division for the current fishing trip;
    - (ii) record summaries in section 12 of the inspection report, as well as differences between the recorded catch and their estimates of the catch onboard in section 14.1;
    - (iii) upon completion of the inspection, sign the inspection report and present the inspection report to the master for signature and comment, and to any witness who may wish to submit a statement;
    - (iv) immediately notify their competent authority and transmit to it the information and images within 24 hours, or at the earliest opportunity; and
    - (v) provide a copy of the report to the master, duly noting in the appropriate section of the inspection report any refusal by the master to acknowledge receipt.
3. The inspecting Contracting Party shall:
  - (a) post the at-sea inspection report in PDF format to the NAFO MCS Website, if possible within 30 days of the inspection;
  - (b) where the inspectors issue a notice of an infringement, the procedure referred to in Article 37.2 applies.

### ***Duties of the Executive Secretary***

4. The Executive Secretary ensures that the at-sea inspection reports referred to in paragraph 3(a) are:
  - (a) automatically made available to the flag State Contracting Party of the inspected vessel and to the Contracting Parties participating in the Scheme; and
  - (b) transmitted to the port State Contracting Party, on demand of that Contracting Party, should the flag State Contracting Party be different.



## ***Use of Surveillance and Inspection Reports***

5. Each Contracting Party shall ensure that inspection and surveillance reports prepared by NAFO inspectors have equivalent evidentiary status for establishing facts as inspection and surveillance reports of its own inspectors. However, nothing in this Article requires a Contracting Party to accord greater evidentiary weight to an inspection report of an inspector of another Contracting Party than would be accorded to it in similar proceedings by the inspector's own Contracting Party.
6. Contracting Parties shall cooperate to facilitate judicial or other proceedings initiated as follow-up to a report submitted by a NAFO inspector in accordance with the Scheme.

## **Article 37 - Procedures Relating to Infringements**

### ***Duties of the Inspecting Contracting Party***

1. Each inspecting Contracting Party shall ensure that its inspectors upon detecting an infringement of the CEM:
  - (a) record the infringement in the inspection report;
  - (b) enter and sign a notation in the fishing logbook or other relevant document of the inspected vessel indicating the date, coordinates, and nature of the infringement, make a copy of any relevant entry and request that the master sign each page to verify that it is a true copy of the original;
  - (c) record images of any gear, catch, or other evidence the inspector deems necessary related to the infringement;
  - (d) affix securely the inspection seal depicted in Annex IV.F, as appropriate, and duly note the action taken and the serial number of each seal in the inspection report;
  - (e) request the master:
    - (i) in order to secure the continuity of proof and evidence, to sign the appropriate section of the inspection report acknowledging the placement of seals, and
    - (ii) to give a written statement in the appropriate section of the inspection report;
  - (f) request that the master remove any part of the fishing gear which appears to be unauthorized under the CEM; and
  - (g) where practicable, notify the observer of the infringement.
2. The inspecting Contracting Party shall:
  - (a) within 24 hours,
    - (i) transmit to the competent authority of the flag State Contracting Party written notification of the infringement reported by its inspectors. The written notification shall:

- (1) include the information entered in point 15 of the inspection report, cite the relevant measures and describe in detail the basis for issuing the notice of infringement, and the evidence in support of the notice; and
- (2) where possible, be accompanied by images of any gear, catch or other evidence related to the infringement referred to in paragraph 1.);
- (ii) transmit a copy of the written notification to the Executive Secretary.
- (b) within 10 days of the inspection vessel's return to port, post the at-sea inspection report to the NAFO MCS Website in PDF format.

### ***Duties of the flag State Contracting Party***

- 3. The follow-up to infringements by the flag State Contracting Party shall be conducted in accordance with the provisions of Article 39.

### ***Duties of the Executive Secretary***

- 4. The Executive Secretary transmits without delay to the other Contracting Parties participating in the Scheme the written notification of the infringement including a copy of the report of inspection consistent with Annex IV.B.
- 5. The Executive Secretary transmits without delay to all Contracting Parties electronic notification that an infringement has been issued to a particular vessel.
- 6. Upon a request from a Contracting Party receiving a vessel for landing to which an infringement has been issued, the Executive Secretary will transmit to that Contracting Party without delay a copy of the report of inspection consistent with Annex IV.B.

## **Article 38 - Additional Procedures for Serious Infringements**

### ***List of Serious Infringements***

- 1. Each of the following violations constitutes a serious infringement:
  - (a) fishing an "Others" quota without prior notification to the Executive Secretary contrary to Article 5;
  - (b) fishing an "Others" quota more than five working days following closure by the Executive Secretary contrary to Article 5;
  - (c) directed fishing for a stock which is subject to a moratorium, or for which fishing is otherwise prohibited, contrary to Article 6;
  - (d) directed fishing for stocks or species after the date of closure by the flag State Contracting Party notified to the Executive Secretary contrary to Article 5;



- (e) fishing in a closed area, contrary to Article 9.6 and Article 11;
- (f) fishing with a bottom fishing gear in an area closed to bottom fishing activities, contrary to Chapter II;
- (g) using an unauthorized mesh size contrary to Article 13;
- (h) fishing without a valid authorization issued by the flag State Contracting Party contrary to Article 25;
- (i) mis-recording of catches contrary to Article 28;
- (j) failing to carry or interfering with the operation of the satellite monitoring system contrary to Article 29;
- (k) failure to communicate messages related to catch contrary to Article 10.6 or Article 28;
- (l) obstructing, intimidating, interfering with or otherwise preventing inspectors or observers from performing their duties;
- (m) committing an infringement where there is no observer on board;
- (n) concealing, tampering with or disposing of evidence related to an investigation, including the breaking or tampering of seals or gaining access to sealed areas;
- (o) presentation of falsified documents or providing false information to an inspector that would prevent a serious infringement from being detected;
- (p) landing, transshipping or making use of other port services:
  - (i) in a port not designated in accordance with the provisions of Article 43.1; or
  - (ii) without authorization of the port State referred to in Article 43.6.
- (q) failure to comply with the provisions of Article 45.1;
- (r) failure to carry an observer if required.

### ***Duties and Authority of the Inspectors***

2. Where citing a vessel for having committed a serious infringement, the inspector shall:
  - (a) take all measures necessary to ensure security and continuity of the evidence, including, as appropriate, sealing the vessel's hold and/or fishing gear for further inspection;
  - (b) request that the master cease all fishing activity that appears to constitute a serious infringement; and
  - (c) immediately notify the inspector's competent authority, and transmit to it the information and, where possible images, within 24 hours, for further notification to the flag State Contracting Party in accordance with Article 37.

### ***Duties of the Flag State Contracting Party***

3. In the case of a serious infringement, the flag State Contracting Party shall:
  - (a) acknowledge receipt of the related information and images without delay;
  - (b) ensure the inspected vessel does not resume fishing until further notification;
  - (c) using all information and material available, review the case and, within 72 hours:
    - (i) require the vessel to proceed immediately to a port for a full inspection under its authority, if any of the following serious infringements are apparent:
      - (1) directed fishing for a stock which is subject to a moratorium;
      - (2) directed fishing for a stock for which fishing is prohibited under Article 6;
      - (3) mis-recording of catch, contrary to Article 28; or
      - (4) repetition of the same serious infringement during a 6 months period.

Where the serious infringement is mis-recording of catch, the full inspection shall ensure the physical inspection and enumeration of total catch on board, by species and Division.

In this paragraph, “mis-recording of catches” means a difference of at least 10 tonnes or 20%, whichever is greater, between the inspectors’ estimates of processed catch on board, by species or in total, and the figures recorded in the production logbook, calculated as a percentage of the production logbook figures.

Subject to the consent of the flag State Contracting Party and, if the port state Contracting Party is different, inspectors of another Contracting Party may participate in the full inspection and enumeration of the catch.

- (ii) if (i) does not apply, the flag State Contracting Party shall either:
    - (1) allow the vessel to resume fishing. In such a case, the flag State Contracting Party shall provide written justification to the Executive Secretary on why the vessel has not been ordered to port no later than 3 working days following the notice of infringement; or
    - (2) require the vessel to proceed immediately to a port for a full physical inspection, under its authority.
4. Where the flag State Contracting Party orders the inspected vessel to port, the inspectors on board may board or remain onboard the vessel as it proceeds to port, provided that the flag State Contracting Party does not require the inspector to leave the vessel.



### ***Duties of the Executive Secretary***

5. The Executive Secretary transmits without delay to the inspecting Contracting Party the written justification referred to in paragraph 3(c)(ii) and makes that justification available to any Contracting Party, on request.

## **Article 39 – Follow-up to Infringements**

### ***Duties of the Flag State Contracting Party***

1. In the case of an infringement by a vessel flying its flag, the flag State Contracting Party shall:
  - (a) investigate fully, including as appropriate, by physically inspecting the fishing vessel at the earliest opportunity;
  - (b) cooperate with the inspecting Contracting Party to preserve the evidence and the chain of custody in a form that will facilitate proceedings in accordance with its laws;
  - (c) take immediate judicial or administrative action in conformity with its national legislation against the persons responsible for the vessel; and
  - (d) ensure that sanctions applicable in respect of infringements are adequate in severity to be effective in securing compliance, deterring further infringements or their repetition and depriving the offenders of the benefits accruing from the infringement.
2. The judicial or administrative action and sanctions referred to in paragraph 1(c) and (d) may include, but is not limited to, the following, depending on the gravity of the offence and in accordance with domestic law:
  - (a) fines;
  - (b) seizure of the vessel, illegal fishing gear and catches;
  - (c) suspension or withdrawal of authorization to conduct fishing activities; and
  - (d) reduction or cancellation of any fishing allocations.
3. Each Contracting Party shall ensure that it treats all notices of infringement as if the infringement was reported by its own inspectors.
4. The flag State Contracting Party and the port State Contracting Party, shall immediately notify the Executive Secretary of:
  - (a) the judicial or administrative action and sanctions referred to in paragraph 1(c) and (d);
  - (b) as soon as practicable but no later than four months following the occurrence of a serious infringement, a report setting out the progress of the investigation, including details of any action it has taken or has initiated in relation to the infringement; and
  - (c) upon completion of its investigation, a report on the final outcome.

### ***Duties of the Executive Secretary***

5. The Executive Secretary posts the final outcome report referred to in paragraph 4(c) to the NAFO MCS Website and ensures that it is made available to any Contracting Party, on request.

## **Article 40 - Contracting Party Reports on Inspection, Surveillance and Infringements**

### ***Duties of Contracting Parties***

1. Each Contracting Party shall annually by 1 March report to the Executive Secretary in accordance with the Scheme:
  - (a) the number of inspections of fishing vessels entitled to fly the flag of each Contracting Party it has conducted in the previous calendar year;
  - (b) the name of every fishing vessel in relation to which its inspectors have issued a notice of infringement including the date and position of the inspection and the nature of the infringement;
  - (c) the number of hours flown by the its surveillance aircraft on patrol, the number of sightings made by such aircraft surveillance reports it has transmitted and, for each such report, the date, time and position of the sightings;
  - (d) the action it has taken during the previous year, including a description of the specific terms of any judicial or administrative actions or sanctions imposed (e.g. amount of fines, value of forfeited fish and/or gear, written warnings given), concerning:
    - (i) every infringement cited by an inspector related to vessels entitled to fly its flag; and
    - (ii) each Surveillance Report it has received.
2. The reports referred to in subparagraph 1(d) shall indicate the current status of the case (e.g. case pending, under appeal, still under investigation, closed). The Contracting Party shall continue to list such infringement on each subsequent report until it reports the final disposition of the infringement.
3. A Contracting Party shall provide a sufficiently detailed explanation regarding every infringement for which it has taken no action or where no penalties were imposed.

### ***Duties of the Executive Secretary***

4. The Executive Secretary makes available to all Contracting Parties at the annual meeting reports that summarize the information contained in paragraph 1.



## **Article 41 - Dispute Resolution Regarding the Interpretation or Application of this Scheme**

1. Where two or more Contracting Parties disagree on the interpretation or application of this Chapter, they shall consult with each other with a view to resolving their disagreement.
2. Where following consultations the disagreement remains unresolved, the Chair of the Standing Committee on International Control (STACTIC) shall at the request of one of them convene a special meeting of STACTIC to consider the dispute and seek to recommend a resolution to the Contracting Parties concerned.
3. No later than 60 days following its special meeting, STACTIC shall transmit a report to all members of the Commission setting out its findings and recommendations.
4. No later than 60 days after receiving the report referred to in paragraph 3, any member of the Commission may, by request addressed to the Chair of the Commission through the Executive Secretary, ask the Commission to convene a special meeting to consider the report and to take appropriate action.
5. Following receipt of the request referred to in paragraph 4, the Commission considers whether to convene a special meeting to consider the report.



## CHAPTER VII PORT STATE CONTROL

### Article 42 - Scope

Subject to the right of the port State Contracting Party to impose requirements of its own under domestic laws and regulations for entry or denial to its ports, the provisions in this Chapter apply to landings, transshipments, or use of ports of Contracting Parties by fishing vessels entitled to fly the flag of another Contracting Party, conducting fishing activities in the Regulatory Area. The provisions apply to vessels carrying fish caught in the Regulatory Area, or fish products originating from such fish, that have not been previously landed or transhipped at a port.

This Chapter also sets out the respective duties of the flag State Contracting Party and obligations of the master of fishing vessels requesting entry to a port of a Contracting Party.

This Chapter shall be:

- (a) interpreted in a manner consistent with international law, including the right of port access in case of force majeure; and
- (b) applied in a fair and transparent manner.

All inspection and investigation reports and associated images or evidence, and forms referred to in this Chapter shall be treated as confidential, in accordance with Annex II.B.

### Article 43 - Duties of the Port State Contracting Party

#### *Designated ports, prior request periods and contact points*

1. The port State Contracting Party shall post to the NAFO MCS Website, in PDF format, a list of designated ports to which fishing vessels may be permitted entry for the purpose of landing, transshipment and/or provision of port services, and shall to the greatest extent possible ensure that each designated port has sufficient capacity to conduct inspections pursuant to this Chapter. Any subsequent changes to the list shall be posted in replacement of the previous one no less than fifteen days before the change comes into effect.
2. The port State Contracting Party shall establish a minimum prior request period. The prior request period should be 3 working days before the estimated time of arrival. However, the port State Contracting Party may make provisions for another prior request period, taking into account, inter alia, catch product type or the distance between fishing grounds and its ports. The port State Contracting Party shall post the prior request period to the NAFO MCS Website, in PDF format.
3. The port State Contracting Party shall designate the competent authority which shall act as the contact point for the purposes of receiving requests



in accordance with Article 45 (1, 2 and/or 4), receiving confirmations in accordance with Article 44.2 and issuing authorizations in accordance with paragraph 6. The port State Contracting Party shall post to the NAFO MCS Website, in PDF format, the competent authority name and its contact information.

4. The requirements contained in paragraphs 1, 2 and 3 do not apply to a Contracting Party that does not permit landings, transshipments, or use of ports by vessels entitled to fly the flag of another Contracting Party.

### ***Procedure to allow port entrance***

5. The port State Contracting Party shall forward a copy of the form as referred to in Article 45 (1 and 2) without delay to the flag State Contracting Party of the vessel and to the flag State Contracting Party of donor vessels where the vessel has engaged in transshipment operations.
6. Fishing vessels may not enter port without prior authorization by the competent authorities of the port State Contracting Party. Authorization to land, tranship or make use of other port services shall only be given if the confirmation from the flag State Contracting Party as referred to in Article 44.2 has been received.
7. By way of derogation from paragraph 6 the port State Contracting Party may authorize all or part of a landing in the absence of the confirmation referred to in paragraph 6. In such cases the fish concerned shall be kept in storage under the control of the competent authorities. The fish shall only be released to be sold, taken over, produced or transported once the confirmation referred to in paragraph 6 has been received. If the confirmation has not been received within 14 days of the landing the port State Contracting Party may confiscate and dispose of the fish in accordance with national rules.
8. The port State Contracting Party shall without delay notify the master of the fishing vessel of its decision on whether to authorize or deny the port entry, or if the vessel is in port, the landing, transshipment and other use of port. If the vessel entry is authorized the port State returns to the master a copy of the form PSC 1 or 2 with Part C duly completed. This copy shall also be posted to the NAFO MCS Website, in PDF format, without delay. In case of a denial the port State shall also notify the flag State Contracting Party.
9. In case of cancellation of the prior request referred to in Article 45, paragraph 2, the port State Contracting Party shall post a copy of the cancelled PSC 1 or 2 to the NAFO MCS Website, in PDF format, for automatic transmission to the flag State Contracting Party.

### ***Inspection of vessels in port***

10. Unless otherwise required in a recovery plan, the port State Contracting Party shall carry out inspections of at least 15% of all such landings or transshipments during each reporting year.

In determining which vessels to inspect, port State Contracting Parties shall give priority to:

- (a) vessels that have been denied entry or use of a port in accordance with this Chapter or any other provision of the CEM; and
  - (b) requests from other Contracting Parties, States or RFMOs that a particular vessel be inspected.
11. Inspections shall be conducted consistent with Annex IV.H by authorized Contracting Party inspectors who shall present documents of identity to the master of the vessel prior to the inspection.
12. The port State Contracting Party may invite inspectors of other Contracting Parties to accompany their own inspectors and observe the inspection.
13. An inspection of a landing or transshipment in port shall involve the monitoring of the entire landing or transshipment of fishery resources in that port, as applicable. During any such inspection, the port State Contracting Party shall, at a minimum:
- (a) cross-check against the quantities of each species landed or transhipped,
    - (i) the quantities by species recorded in the logbook;
    - (ii) catch and activity reports; and
    - (iii) all information on catches provided in the prior notification (PSC 1 or 2);
  - (b) verify and record the quantities by species of catch remaining on board upon completion of landing or transshipment;
  - (c) verify any information from inspections carried out in accordance with Chapter VI;
  - (d) verify all nets on board and record mesh size measurements;
  - (e) verify fish size for compliance with minimum size requirements;
  - (f) where relevant, verify species for compliance with accuracy of catch declaration.
14. The port State Contracting Party shall make all possible effort to communicate with the master or senior crew members of the vessel, as well as with the observer, including where possible and where needed, that the inspector is accompanied by an interpreter.
15. The port State Contracting Party shall make all possible efforts to avoid unduly delaying the fishing vessel and ensure that the vessel suffers the minimum interference and inconvenience and that unnecessary degradation of the quality of the fish is avoided.



16. Each inspection shall be documented by completing form PSC 3 (port State Control inspection form) as set out in Annex IV.C. The process for completion and handling of the PSC 3 report shall include the following:
  - (a) the inspectors shall identify and provide details of any infringement to the CEM detected during the port inspection. Details shall include all relevant information available, in reference to infringements detected at sea during the current trip of the inspected fishing vessel;
  - (b) the inspectors may insert any comments they consider relevant;
  - (c) 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;
  - (d) the inspectors shall sign the report and request that the master sign the report. The master's signature on the report shall serve only as acknowledgment of the receipt of a copy of the report;
  - (e) the master of the vessel shall be provided with a copy of the report containing the result of the inspection, including possible measures that could be taken.
17. The port State Contracting Party shall without delay post a copy of each port State Control inspection report to the NAFO MCS Website, in PDF format, for automatic transmission to the flag State Contracting Party and to the flag State of any vessel that transhipped catch to the inspected fishing vessel.

## **Article 44 - Duties of the Flag State Contracting Party**

1. The flag State Contracting Party shall ensure that the master of any fishing vessel entitled to fly its flag complies with the obligations relating to masters set out in Article 45.
2. The flag State Contracting Party of a fishing vessel intending to land, tranship or make use of other port services, or where the vessel has engaged in transshipment operations outside a port, the flag State Contracting Party or parties, shall confirm by returning a copy of the form, PSC 1 or 2, transmitted in accordance with Article 43.5 with part B duly completed, stating that:
  - (a) the fishing vessel declared to have caught the fish had sufficient quota for the species declared;
  - (b) the declared quantity of fish on board has been duly reported by species 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 authorization to fish in the areas declared; and
  - (d) the presence of the vessel in the area in which it has declared to have taken its catch has been verified by VMS data.

3. The flag State Contracting Party shall post to the NAFO MCS website in PDF format the contact information of the competent authority, which shall act as the contact point for the purposes of receiving requests in accordance with Article 43.5 and providing confirmation in accordance with Article 43.6.

## **Article 45 - Obligations of the Master of a Fishing Vessel**

1. The master or the agent of any fishing vessel intending to enter port shall forward the request for entry to the competent authorities of the port State Contracting Party within the request period referred to in Article 43.2. Such request shall be accompanied by the form provided for in Annex II.L with Part A duly completed as follows:
  - (a) Form PSC 1, as referred to in Annex II.L.A shall be used where the vessel is carrying, landing or transshipping its own catch; and
  - (b) Form PSC 2, as referred to in Annex II.L.B, shall be used where the vessel has engaged in transshipment operations. A separate form shall be used for each donor vessel.
  - (c) Both forms PSC 1 and PSC 2 shall be completed in cases where a vessel carries, lands or transships its own catch and catch that was received through transshipment.
2. A master or Agent may cancel a prior request by notifying the competent authorities of the port they intended to use. The request shall be accompanied by a copy of the original PSC 1 or 2 with the word "cancelled" written across it.
3. The master of a fishing vessel shall not commence landing or transshipment operations, or make use of other port services, before authorization has been given by the port State Contracting Party or prior to the Estimated Time of Arrival (ETA) as reported in PSC 1 or PSC 2 has expired. However, landing, transshipment operations and make use of other port services may commence prior to ETA with permission from the competent authorities of the port State Contracting Party.
4. The master of a fishing vessel shall:
  - (a) co-operate with and assist in the inspection of the fishing vessel conducted in accordance with these procedures and shall not obstruct, intimidate or interfere with the port State inspectors in the performance of their duties;
  - (b) provide access to any areas, decks, rooms, catch, nets or other gear or equipment, and provide any relevant information which the port State inspectors request including copies of any relevant documents.



## **Article 46 - Duties of the Executive Secretary**

1. The Executive Secretary ensures that the following information is automatically made available to all Contracting Parties:
  - (a) the list of designated ports and any changes thereto;
  - (b) the prior request periods established by each port State Contracting Party;
  - (c) the information about the designated competent authorities in each flag State Contracting Party; and
  - (d) copies of all PSC 1 and 2 forms transmitted by port State Contracting Parties.
2. The Executive Secretary ensures that the port inspection reports referred to in Article 43.16 (PSC 3 form) are automatically made available:
  - (a) to the flag State Contracting party of the inspected vessel;
  - (b) to any other Contracting Party; and
  - (c) to the flag State of any vessel that transhipped catch to the inspected fishing vessel.
3. All forms related to a specific landing or transhipment shall be posted together.

## **Article 47 - Infringements Detected During In-Port Inspections**

1. Where an infringement is detected during an inspection of a vessel in port, the relevant provisions of Articles 37 to 40 shall apply.

## **CHAPTER VIII**

### **NON-CONTRACTING PARTY SCHEME**

#### **Article 48 - General Provisions**

1. The purpose of this Chapter is to promote compliance of non-Contracting Party vessels with recommendations established by NAFO and to prevent, deter and eliminate IUU fishing by non-Contracting Party vessels (hereinafter referred to as “NCP” vessels) that undermine the effectiveness of the Conservation and Enforcement Measures established by the Organization.
2. Nothing in this Chapter shall be construed to:
  - (a) affect the sovereign right of any Contracting Party to take additional measures to prevent, deter and eliminate IUU fishing by NCP vessels or, where evidence so warrants, take such action as may be appropriate, consistent with international law; or
  - (b) prevent a Contracting Party from allowing an NCP vessel entry to its ports for the purpose of conducting an inspection of, or taking appropriate enforcement action, which, if there is sufficient proof of IUU fishing, is at least as effective as denial of port entry in preventing, deterring and eliminating IUU fishing.
3. This Chapter shall be:
  - (a) interpreted in a manner consistent with international law, including the right of port access in case of force majeure or distress; and
  - (b) applied in a fair and transparent manner.
4. Each Contracting Party shall ensure that vessels entitled to fly its flag do not engage in joint fishing activities with NCP vessels referred to in Article 49, including receiving or delivering transshipments of fish to or from an NCP vessel.

#### **Article 49 – Presumption of IUU fishing**

1. An NCP vessel is presumed to have undermined the effectiveness of the CEM, and to have engaged in IUU fishing, if it has been:
  - (a) sighted or identified by other means as engaged in fishing activities in the Regulatory Area;
  - (b) involved in transshipment with another NCP vessel sighted or identified as engaged in fishing activities inside or outside the Regulatory Area; and/or
  - (c) included in the IUU list of the North East Atlantic Fisheries Commission (NEAFC).



## **Article 50 – Sighting and Inspection of NCP Vessels in the NRA**

1. Each Contracting Party with an inspection and/or surveillance presence in the Regulatory Area authorized under the Joint Inspection and Surveillance Scheme that sights or identifies an NCP vessel engaged in fishing activities in the NRA shall:
  - (a) transmit immediately the information to the Executive Secretary using the format of the surveillance report set out in Annex IV.A;
  - (b) attempt to inform the Master that the vessel is presumed to be engaged in IUU fishing and that this information will be distributed to all Contracting Parties, relevant Regional Fisheries Management Organizations (RFMOs) and the flag State of the vessel;
  - (c) if appropriate, request permission from the Master to board the vessel for inspection; and
  - (d) where the Master agrees to inspection:
    - (i) transmit the inspector's findings to the Executive Secretary without delay, using the inspection report form set out in Annex IV.B; and
    - (ii) provide a copy of the inspection report to the Master.

### ***Duties of the Executive Secretary***

2. The Executive Secretary, within one business day, posts the information received pursuant to this Article to the secure part of the NAFO website and distributes it to all Contracting Parties, other relevant RFMOs, and to the flag State of the vessel as soon as possible.

## **Article 51 – Port Entry and Inspection of NCP vessels**

### ***Duties of the Master of an NCP vessel***

1. Each Master of an NCP vessel shall request permission to enter port from the competent authority of the port State Contracting Party in accordance with the provisions of Article 45.

### ***Duties of the Port State Contracting Party***

2. Each port State Contracting Party shall:
  - (a) forward without delay to the flag State of the vessel and to the Executive Secretary the information it has received pursuant to Article 45;
  - (b) refuse port entry to any NCP vessel where:
    - (i) the Master has not fulfilled the requirements set out in Article 45 paragraph 1; or



- (ii) the flag State has not confirmed the vessel's fishing activities in accordance with Article 44 paragraph 2;
  - (c) inform the Master or agent, the flag State of that vessel, and the Executive Secretary of its decision to refuse port entry, landing, transshipment or other use of port of any NCP vessel;
  - (d) withdraw denial of port entry only if the port State has determined there is sufficient proof that the grounds on which entry was denied were inadequate or erroneous or that such grounds no longer apply;
  - (e) inform the Master or agent, the flag State of that vessel, and the Executive Secretary of its decision to withdraw denial of port entry, landing, transshipment or other use of port of any NCP vessel;
  - (f) where it permits entry, ensure the vessel is inspected by duly authorized officials knowledgeable in the CEM and that the inspection is carried out in accordance with Article 43 paragraphs 11 – 18; and
  - (g) send a copy of the inspection report and details of any subsequent action it has taken to the Executive Secretary without delay.
3. Each Contracting Party shall ensure that no NCP vessel engages in landing, or transshipment operations or other use of its ports unless the vessel has been inspected by its duly authorized officials knowledgeable in the CEM and the Master establishes that the fish species on board subject to the NAFO Convention were harvested outside the Regulatory Area or in compliance with the CEM.

### ***Duties of the Executive Secretary***

4. The Executive Secretary posts without delay the information received pursuant to this Article to the secure part of the NAFO website, and distributes it to all Contracting Parties, relevant RFMOs, the flag State of the vessel and the state of which the vessel's master is a national, if known.

## **Article 52 - Provisional IUU Vessel List**

1. In addition to information submitted from Contracting Parties in accordance with Articles 49 and 51, each Contracting Party may, without delay, transmit to the Executive Secretary any information that may assist in identification of any NCP vessel that might be carrying out IUU fishing in the Regulatory Area.
2. If a Contracting Party objects to a NEAFC IUU-listed vessel being incorporated into or deleted from the NAFO IUU Vessel List in accordance with Article 53, such vessel shall be placed on the Provisional IUU Vessel List.

### ***Duties of the Executive Secretary***

3. The Executive Secretary:
- (a) establishes and maintains a list of NCP vessels presumed to have engaged in IUU fishing in the Regulatory Area referred to as the Provisional IUU Vessel List;



- (b) upon receipt, records the information received pursuant to paragraph 1, including, if available, the name of the vessel, its flag State, call sign and registration number, and any other identifying features, in the Provisional IUU Vessel List;
- (c) posts the Provisional IUU Vessel List and all updates to the secure part of the NAFO website; and
- (d) advises the flag State of the NCP vessel listing, including:
  - (i) the reasons and supporting evidence;
  - (ii) a copy of the CEM and a link to its place on the NAFO website;
- (e) requests that the flag State of the NCP vessel:
  - (i) take all measures to ensure that the vessel immediately ceases all fishing activities that undermine the effectiveness of the CEM;
  - (ii) report within 30 days from the date of the request on the measures it has taken with respect to the vessel concerned; and
  - (iii) state any objections it may have to including the vessel in the IUU Vessel List;
- (f) transmits to the flag State of the NCP vessel any additional information received pursuant to Articles 49-51 in respect of vessels entitled to fly its flag that have already been included in the Provisional IUU Vessel List;
- (g) distributes any information received from the flag State to all Contracting Parties;
- (h) advises the flag State of the NCP vessel of the dates STACTIC and the Commission will consider listing the vessel in the IUU Vessel List, and invites the flag State to attend the meeting as an observer where it will be given the opportunity to respond to the report submitted in accordance with paragraph 3(e)(ii);
- (i) transfers the vessel from the Provisional IUU Vessel List to the IUU Vessel List in accordance with Article 53 if the flag State does not object; and
- (j) places all vessels included in the NEAFC IUU List on the IUU Vessel List unless a Contracting Party objects to such inclusion, in which case it places the vessel on the Provisional IUU Vessel List. Article 53 shall not apply to vessels placed on the Provisional IUU Vessel List in accordance with this paragraph.

## **Article 53 - IUU Vessel List**

### ***Listing a Vessel on the IUU Vessel List***

1. STACTIC recommends to the Commission whether each vessel listed in the Provisional IUU Vessel List should be:
  - (a) deleted from the Provisional IUU Vessel List;
  - (b) retained in the Provisional IUU Vessel List, pending receipt of further information from the flag State; or
  - (c) transferred to the IUU Vessel List only upon expiration of the period referred to in Article 52.3(e)(ii).

### ***Deleting a Vessel from the IUU Vessel List***

2. STACTIC may advise that the Commission delete a vessel from either the Provisional IUU Vessel List or the IUU Vessel List where it is satisfied that the flag State of a vessel concerned has provided sufficient evidence to establish that:
  - (a) it has taken effective action to address the IUU fishing of such vessel, including prosecution and imposition of sanctions of adequate severity;
  - (b) it has taken measures to prevent such vessel from engaging in further IUU fishing under its flag;
  - (c) such vessel has changed ownership, and
    - (i) the previous owner no longer has any legal, financial or real interest in such vessel, or exercises no control over it; or
    - (ii) the new owner has no legal, financial or real interest in, nor exercises control over; another vessel listed in the IUU Vessel List or any similar IUU list maintained by an RFMO, and has not otherwise been engaged in IUU activities;
  - (d) such vessel did not take part in IUU fishing; or
  - (e) such vessel has sunk, been scrapped, or been permanently reassigned for purposes other than fishing activities.
3. The Commission may make any changes to listings in the IUU Vessel List. The Commission determines the final composition of the IUU Vessel List.

### ***Duties of the Executive Secretary***

4. The Executive Secretary:
  - (a) posts the IUU Vessel List to the NAFO website, including the name and flag State and, if available, the call sign, hull number, IMO number, previous name(s) and flag(s) or any other identifying features for each vessel;



- (b) notifies the flag State of the name of each vessel entitled to fly its flag listed in the IUU Vessel List;
- (c) transmits the IUU Vessel List and any relevant information, including the reasons for listing or de-listing each vessel, to other RFMOs, including, in particular, the NEAFC, the South East Atlantic Fisheries Organisation (SEAFO), and the Commission for the Conservation of Antarctic Marine Living Resources (CCAMLR);
- (d) transmits the amendments to the NEAFC IUU list, upon receipt, to all Contracting Parties and amends the IUU Vessel List consistent with amendments to the NEAFC IUU List, within 30 days of such transmittal; unless within the 30 days the Executive Secretary receives from a Contracting Party a written submission establishing that:
  - (i) any of the requirements in paragraph 2(a)-(d) of this Article have been met with regard to a vessel placed on the NEAFC IUU List; or
  - (ii) none of the requirements in paragraph 2(a)-(d) of this Article have been met with regard to a vessel taken off the NEAFC IUU List; and
- (e) advises STACTIC of any action taken pursuant to this Article.

### **Article 54 - Action Against Vessels Listed in the IUU Vessel List**

Each Contracting Parties shall take all measures necessary to deter, prevent, and eliminate IUU fishing, in relation to any vessel listed in the IUU Vessel List, including:

- (a) prohibiting any vessel entitled to fly its flag, from, except in the case of force majeure, participating in fishing activities with such vessel, including but not limited to joint fishing operations;
- (b) prohibiting the supply of provisions, fuel or other services to such vessel;
- (c) prohibiting entry into its ports of such vessel, and if the vessel is in port, prohibiting use of the port, except in the case of force majeure, distress, for the purposes of inspection, or for taking appropriate enforcement action;
- (d) prohibiting change of crew, except as required in relation to force majeure;
- (e) refusing to authorize such vessel to fish in waters under its national jurisdiction;
- (f) prohibiting chartering of such vessel;
- (g) refusing to entitle such vessels to fly its flag;
- (h) prohibiting landing and importation of fish from onboard or traceable to such vessel;

- (i) encouraging importers, transporters and other sectors concerned, to refrain from negotiating transshipment of fish with such vessels; and
- (j) collecting and exchanging any appropriate information regarding such vessel with the other Contracting Parties, non-Contracting Parties and RFMOs with the aim of detecting, deterring and preventing the use of false import or export certificates in relation to fish or fish product from such vessels.

### **Article 55 - Action Against Flag States**

1. Contracting Parties shall jointly and/or individually request the cooperation of the flag State of each NCP vessel listed in the IUU Vessel List with a view to prevent, deter and eliminate future IUU activities by such vessel.
2. The Commission shall review annually the actions taken by the flag States referred to in paragraph 1 with a view to identifying for follow-up action any that has not taken action sufficient to prevent, deter and eliminate IUU activities by any vessel entitled to fly its flag listed in the IUU Vessel List.
3. Each Contracting Party should, to the extent possible and consistent with its international obligations and in accordance with applicable legislation, restrict the export and transfer of any fishing vessel entitled to fly its flag to any State identified pursuant to paragraph 2.





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# ANNEX I – FISHERIES MANAGEMENT

## Annex I.A – Annual Quota Table

CATCH LIMITATIONS – Article 5. Total allowable catches (TACs) and quotas (metric tons in live weight) for 2019 of particular stocks in Subareas 1-4 of the NAFO Convention Area.

Species	Cod			Redfish			American plaice		Yellowtail
Stock Specification	COD 3L	COD 3M	COD 3NO	RED 3LN	RED 3M	RED 3O	REB 1F 2, 3K (i.e. Sub-Area 2 and Divs. 1F+3K)	PLA 3LNO	YEL 3LNO
% of TAC		% of 3M Cod TAC			% of 3LN Redfish TAC				
Contracting Party									
Canada		140	0.80	0	7 710	42.60	500	6 000	0 <sup>1</sup>
Cuba		648	3.70	-	1 774	9.80	1 750	0 <sup>1</sup>	16 575
Denmark (Faroe Islands and Greenland)		3 911	22.35	-	-		69 <sup>10</sup>	0	-
European Union		9 980 <sup>5</sup>	57.03	0 <sup>4</sup>	3 300 <sup>4</sup>	18.23	7 813 <sup>4</sup>	7 000	0
France (St. Pierre et Miquelon)		-		-	-		69 <sup>10</sup>	0 <sup>1</sup>	340
Iceland		-		-	-		-	0	-
Japan		-		-	-		400	150	0 <sup>1</sup>
Korea		-		-	-		69 <sup>10</sup>	100	0 <sup>1</sup>
Norway		1 619	9.25	-	-		-	0	-
Russian Federation		1 132	6.47	0	5 207	28.77	9 137	6 500	0
Ukraine							150	0 <sup>1</sup>	-
United States of America		-		-	-		69 <sup>10</sup>	0 <sup>1</sup>	-
Others		70	0.40	0	109	0.60	124	100	-
TOTAL ALLOWABLE CATCH	*	17 500	100.0 <sup>14</sup>	* <sup>11</sup>	18 100	100.0 <sup>15</sup>	10 500	20 000	0 <sup>3,9</sup>
								* <sup>11</sup>	* <sup>8</sup>
									17 000 <sup>12</sup>

Species	Witch		White hake	Capelin	Skates	Greenland halibut	Squid ( <i>Illex</i> )	Shrimp	
Stock Specification	WIT 3L	WIT 3NO	HKW 3NO	CAP 3NO	SKA 3LNO	GHL 3LMNO	SOI 3.4 (i.e. Sub-areas 3+4)	PRA 3L	PRA 3NO
% of TAC			% of 3NO Witch TAC						
Contracting Party									
Canada		705	294	0	1 167	1 836	NS. <sup>2</sup>	0	
Cuba		-		0		-	510	0	
Denmark (Faroe Islands and Greenland)		-		-		211	-	0	
European Union		156 <sup>4</sup>	13.27	0 <sup>5</sup>	4 408	7 177 <sup>6</sup>	NS. <sup>2</sup> 611 <sup>5</sup>	0 <sup>6</sup>	
France (St. Pierre et Miquelon)		-		-		201	453	0	
Iceland		-		-		-	-	0	
Japan		-		0		1 255	510	0	
Korea		-		-		-	453	0	
Norway		-		0		-	-	0	
Russian Federation		302	25.73	0	1 167	1 562	749	0	
Ukraine						-		0	
United States of America		-		-		-	453	0	
Others		12	1.00	-	258		794	0	
TOTAL ALLOWABLE CATCH	*	1 175	100.00 <sup>16</sup>	* <sup>11</sup>	7 000 <sup>13,8</sup>	12 242	34 000	0	*

\* Ban on fishing in force.

<sup>1</sup> Quota to be shared by vessels from Canada, Cuba, France (St. Pierre et Miquelon), Japan, Korea, Ukraine and USA.

<sup>2</sup> The allocations to these Contracting Parties are as yet undetermined, although their sum shall not exceed the difference between the total of allocations to other Contracting Parties and the TAC (= 29,467 tonnes).

<sup>3</sup> Should NEAFC modify its level of TAC, these figures shall be adjusted accordingly by NAFO through a mail vote.

<sup>4</sup> Including allocations to Estonia, Latvia and Lithuania in accordance with the sharing arrangement of the former USSR quota adopted by the Fisheries Commission in 2003 (FC WP 03/7), as applied by NAFO since 2005 following their accession to the European Union.

<sup>5</sup> Including allocations to Estonia, Latvia and Lithuania in accordance with the sharing arrangement of the former USSR quota adopted by the Fisheries Commission in 2003 (FC WP 03/7), and to Poland, as applied by NAFO since 2005 following their accession to the European Union.

<sup>6</sup> Including allocations to Estonia, Latvia, Lithuania and Poland, as applied by NAFO since 2005 following their accession to the EU.

<sup>7</sup> Allocation of 17.85% to Lithuania and 2.15% to Latvia following their accession to the European Union.

<sup>8</sup> Applicable to 2019 and 2020.

<sup>9</sup> If an increase in the overall TAC as defined in footnote 3 leads to an increase in these shares, the first 500 tonnes of that increase shall be added to the quota share referred to in footnote 1.

<sup>10</sup> Notwithstanding the provision of Article 5.3(b) and without prejudice to future agreements on allocations, these quotas may be fished in their entirety by these Contracting Parties.

<sup>11</sup> Applicable to 2019, 2020, and 2021.

<sup>12</sup> Following the NAFO Annual Meeting and prior to 1 January of the succeeding year, at the request of the USA, Canada will transfer 1,000 tonnes of its 3LNO yellowtail quota to the USA.

<sup>13</sup> Should catches exceed 5 000 tonnes, additional measures would be adopted to further restrain catches in 2019.

### Historical statements

<sup>14</sup> The allocation key of this stock is based on the 1998 Quota Table. In 1999, a moratorium on cod in Division 3M was declared.

<sup>15</sup> The allocation key of this stock is based on the 1997 Quota Table. In 1998, a moratorium on redfish in Division 3LN was declared.

<sup>16</sup> The allocation key of this stock is based on the 1994 Quota Table. In 1995, a moratorium on witch flounder in Division 3NO was declared.

**Annex I.B****Effort Allocation Scheme for Shrimp Fishery in the  
NAFO Regulatory Area Div. 3M, 2019–2020**

<b>Contracting Party</b>	<b>Number of Fishing Days<sup>1</sup></b>	<b>Number of Vessels<sup>1</sup></b>
Canada	0	0
Cuba	0	0
Denmark – Faroe Islands – Greenland	0	0 0
European Union	0	0
France (in respect of St. Pierre et Miquelon)	0	0
Iceland	N/A	N/A
Japan	0	0
Korea	0	0
Norway	0	0
Russia	0	N/A
Ukraine	0	0
USA	0	0

<sup>1</sup> When the scientific advice estimates that the stock shows signs of recovery, the fishery shall be re-opened in accordance with the effort allocation key in place for this fishery at the time of the closure.

## Annex I.C

### List of Species

Common English Name	Scientific Name	3-Alpha Code
<b>Groundfish</b>		
Atlantic Cod	<i>Gadus morhua</i>	COD
Haddock	<i>Melanogrammus aeglefinus</i>	HAD
Atlantic redfishes	<i>Sebastes</i> sp.	RED
Golden redfish	<i>Sebastes marinus</i>	REG
Beaked redfish (deepwater)	<i>Sebastes mentella</i>	REB
Acadian redfish	<i>Sebastes fasciatus</i>	REN
Silver hake	<i>Merluccius bilinearis</i>	HKS
Red hake*	<i>Urophycis chuss</i>	HKR
Pollock (=Saithe)	<i>Pollachius virens</i>	POK
American plaice	<i>Hippoglossoides platessoides</i>	PLA
Witch flounder	<i>Glyptocephalus cynoglossus</i>	WIT
Yellowtail flounder	<i>Limanda ferruginea</i>	YEL
Greenland halibut	<i>Reinhardtius hippoglossoides</i>	GHL
Atlantic halibut	<i>Hippoglossus hippoglossus</i>	HAL
Winter flounder	<i>Pseudopleuronectes americanus</i>	FLW
Summer flounder	<i>Paralichthys dentatus</i>	FLS
Windowpane flounder	<i>Scophthalmus aquosus</i>	FLD
Flatfishes (NS)	<i>Pleuronectiformes</i>	FLX
American angler (=Goosefish)	<i>Lophius americanus</i>	ANG
Atlantic searobins	<i>Prionotus</i> sp.	SRA
Atlantic tomcod	<i>Microgadus tomcod</i>	TOM
Blue antimora	<i>Antimora rostrata</i>	ANT
Blue whiting	<i>Micromesistius poutassou</i>	WHB
Cunner	<i>Tautoglabrus adspersus</i>	CUN
Cusk (=Tusk)	<i>Brosme brosme</i>	USK
Greenland cod	<i>Gadus ogac</i>	GRC
Blue ling	<i>Molva dypterygia</i>	BLI
Ling	<i>Molva molva</i>	LIN
Lumpfish =(Lumpsucker)	<i>Cyclopterus lumpus</i>	LUM
Northern kingfish	<i>Menticirrhus saxatilis</i>	KGF
Northern puffer	<i>Sphoeroides maculatus</i>	PUF
Eelpouts (NS)	<i>Lycodes</i> sp.	ELZ
Ocean pout	<i>Macrozoarces americanus</i>	OPT
Polar cod	<i>Boreogadus saida</i>	POC
Roundnose grenadier	<i>Coryphaenoides rupestris</i>	RNG
Roughhead grenadier	<i>Macrourus berglax</i>	RHG
Sandeels (=Sand Lances)	<i>Ammodytes</i> sp.	SAN



Common English Name	Scientific Name	3-Alpha Code
Sculpins	<i>Myoxocephalus</i> sp.	SCU
Scup	<i>Stenotomus chrysops</i>	SCP
Tautog	<i>Tautoga onitis</i>	TAU
Tilefish	<i>Lopholatilus chamaeleonticeps</i>	TIL
White hake*	<i>Urophycis tenuis</i>	HKW
Longfin hake	<i>Urophycis chesteri</i>	GPE
Threebeard rockling	<i>Gaidropsarus ensis</i>	GDE
Wolffishes (NS)	<i>Anarhichas</i> sp.	CAT
Atlantic wolffish	<i>Anarhichas lupus</i>	CAA
Spotted wolffish	<i>Anarhichas minor</i>	CAS
Northern wolffish	<i>Anarhichas denticulatus</i>	CAB
Groundfish (NS)		GRO
Pelagics		
Atlantic herring	<i>Clupea harengus</i>	HER
Atlantic mackerel	<i>Scomber scombrus</i>	MAC
Atlantic butterfish	<i>Peprilus triacanthus</i>	BUT
Atlantic menhaden	<i>Brevoortia tyrannus</i>	MHA
Atlantic saury	<i>Scomberesox saurus</i>	SAU
Bay anchovy	<i>Anchoa mitchilli</i>	ANB
Bluefish	<i>Pomatomus saltatrix</i>	BLU
Crevalle jack	<i>Caranx hippos</i>	CVJ
Frigate tuna	<i>Auxis thazard</i>	FRI
King mackerel	<i>Scomberomourus cavalla</i>	KGM
Atlantic Spanish mackerel	<i>Scomberomourus maculatus</i>	SSM
Sailfish	<i>Istiophorus platypterus</i>	SAI
White marlin	<i>Tetrapturus albidus</i>	WHM
Blue marlin	<i>Makaira nigricans</i>	BUM
Swordfish	<i>Xiphias gladius</i>	SWO
Albacore tuna	<i>Thunnus alalunga</i>	ALB
Atlantic bonito	<i>Sarda sarda</i>	BON
Little tunny	<i>Euthynnus alletteratus</i>	LTA
Bigeye tunny	<i>Thunnus obesus</i>	BET
Northern bluefin tuna	<i>Thunnus thynnus</i>	BFT
Skipjack tuna	<i>Katsuwonus pelamis</i>	SKJ
Yellowfin tuna	<i>Thunnus albacares</i>	YFT
Tunas (NS)	<i>Scombridae</i>	TUN
Pelagic fish (NS)		PEL
Other Fish		
Alewife	<i>Alosa pseudoharengus</i>	ALE
Amberjacks	<i>Seriola</i> sp.	AMX
American conger	<i>Conger oceanicus</i>	COA

Common English Name	Scientific Name	3-Alpha Code
American eel	<i>Anguilla rostrata</i>	ELA
Atlantic hagfish	<i>Myxine glutinosa</i>	MYG
American shad	<i>Alosa sapidissima</i>	SHA
Argentines (NS)	<i>Argentina</i> sp.	ARG
Atlantic croaker	<i>Micropogonias undulatus</i>	CKA
Atlantic needlefish	<i>Strongylura marina</i>	NFA
Atlantic salmon	<i>Salmo salar</i>	SAL
Atlantic silverside	<i>Menidia menidia</i>	SSA
Atlantic thread herring	<i>Opisthonema oglinum</i>	THA
Baird's slickhead	<i>Alepocephalus bairdii</i>	ALC
Black drum	<i>Pogonias cromis</i>	BDM
Black seabass	<i>Centropristis striata</i>	BSB
Blueback herring	<i>Alosa aestivalis</i>	BBH
Capelin	<i>Mallotus villosus</i>	CAP
Chars (NS)	<i>Salvelinus</i> sp.	CHR
Cobia	<i>Rachycentron canadum</i>	CBA
Common (Florida) pompano	<i>Trachinotus carolinus</i>	POM
Gizzard shad	<i>Dorosoma cepedianum</i>	SHG
Grunts (NS)	<i>Pomadasyidae</i>	GRX
Hickory shad	<i>Alosa mediocris</i>	SHH
Lanternfish	<i>Notoscopelus</i> sp.	LAX
Mullets (NS)	<i>Mugilidae</i>	MUL
North atlantic harvestfish	<i>Peprilus alepidotus (=paru)</i>	HVF
Pigfish	<i>Orthopristis chrysoptera</i>	PIG
Rainbow smelt	<i>Osmerus mordax</i>	SMR
Red drum	<i>Sciaenops ocellatus</i>	RDM
Red porgy	<i>Pagrus pagrus</i>	RPG
Rough scad	<i>Trachurus lathami</i>	RSC
Sand perch	<i>Diplectrum formosum</i>	PES
Sheepshead	<i>Archosargus probatocephalus</i>	SPH
Spot croaker	<i>Leiostomus xanthurus</i>	SPT
Spotted weakfish	<i>Cynoscion nebulosus</i>	SWF
Squeteague (Gray Weakfish)	<i>Cynoscion regalis</i>	STG
Striped bass	<i>Morone saxatilis</i>	STB
Sturgeons (NS)	<i>Acipenseridae</i>	STU
Tarpon	<i>Tarpon (=megalops) atlanticus</i>	TAR
Trouts (NS)	<i>Salmo</i> sp.	TRO
White perch	<i>Morone americana</i>	PEW
Alfonsinos (NS)	<i>Beryx</i> sp.	ALF
Spiny (=picked) dogfish	<i>Squalus acantias</i>	DGS
Dogfishes (NS)	<i>Squalidae</i>	DGX



Common English Name	Scientific Name	3-Alpha Code
Sand Tiger shark	<i>Odontaspis taurus</i>	CCT
Porbeagle	<i>Lamna nasus</i>	POR
Shortfin mako shark	<i>Isurus oxyrinchus</i>	SMA
Dusky shark	<i>Carcharhinus obscurus</i>	DUS
Great Blue shark	<i>Prionace glauca</i>	BSH
Large sharks (NS)	<i>Squaliformes</i>	SHX
Atlantic Sharpnose shark	<i>Rhizoprionodon terraenovae</i>	RHT
Black Dogfish	<i>Centroscyllium fabricii</i>	CFB
Boreal (Greenland) shark	<i>Somnousus microcephalus</i>	GSK
Basking shark	<i>Cetorhinus maximus</i>	BSK
Skates (NS)	<i>Raja</i> sp.	SKA
Little skate	<i>Leucoraja erinacea</i>	RJD
Arctic skate	<i>Amblyraja hyperborea</i>	RJG
Barndoor skate	<i>Dipturus laevis</i>	RJL
Winter skate	<i>Leucoraja ocellata</i>	RJT
Thorny skate (Starry Ray)	<i>Amblyraja radiata</i>	RJR
Smooth skate	<i>Malcoraja senta</i>	RJS
Spinytail skate (Spinetail Ray)	<i>Bathyraja spinicauda</i>	RJQ
Finfishes (NS)		FIN
<b>Invertebrates</b>		
Long-finned squid ( <i>Loligo</i> )	<i>Loligo pealei</i>	SQL
Short-finned squid ( <i>Illex</i> )	<i>Illex illecebrosus</i>	SQI
Squids (NS)	<i>Loliginidae, Ommastrephidae</i>	SQU
Atlantic razor clam	<i>Ensis directus</i>	CLR
Hard clam	<i>Mercenaria mercenaria</i>	CLH
Ocean quahog	<i>Arctica islandica</i>	CLQ
Soft clam	<i>Mya arenaria</i>	CLS
Surf clam	<i>Spisula solidissima</i>	CLB
Stimpson's surf clam	<i>Spisula polynyma</i>	CLT
Clams (NS)	<i>Prionodesmacea, Teleodesmacea</i>	CLX
Bay scallop	<i>Argopecten irradians</i>	SCB
Calico scallop	<i>Argopecten gibbus</i>	SCC
Iceland scallop	<i>Chlamys islandica</i>	ISC
Sea scallop	<i>Placopecten magellanicus</i>	SCA
Scallops (NS)	<i>Pectinidae</i>	SCX
American cupped oyster	<i>Crassostrea virginica</i>	OYA
Blue mussel	<i>Mytilus edulis</i>	MUS
Whelks (NS)	<i>Busycon</i> sp.	WHX
Periwinkles (NS)	<i>Littorina</i> sp.	PER
Marine molluscs (NS)	<i>Mollusca</i>	MOL
Atlantic rock crab	<i>Cancer irroratus</i>	CRK



Common English Name	Scientific Name	3-Alpha Code
Blue crab	<i>Callinectes sapidus</i>	CRB
Green crab	<i>Carcinus maenas</i>	CRG
Jonah crab	<i>Cancer borealis</i>	CRJ
Queen crab	<i>Chionoecetes opilio</i>	CRQ
Red crab	<i>Geryon quinqueedens</i>	CRR
Stone king crab	<i>Lithodes maia</i>	KCT
Marine crabs (NS)	Reptantia	CRA
American lobster	<i>Homarus americanus</i>	LBA
Northern prawn	<i>Pandalus borealis</i>	PRA
Aesop shrimp	<i>Pandalus montagui</i>	AES
Penaeus shrimps (NS)	<i>Penaeus</i> sp.	PEN
Pink (=Pandalid) shrimps	<i>Pandalus</i> sp.	PAN
Marine crustaceans (NS)	<i>Crustacea</i>	CRU
Sea-urchin	<i>Strongylocentrotus</i> sp.	URC
Marine worms (NS)	<i>Polycheata</i>	WOR
Horseshoe crab	<i>Limulus polyphemus</i>	HSC
Marine invertebrates (NS)	<i>Invertebrata</i>	INV

- \* In accordance with a recommendation adopted by STACRES at the 1970 Annual Meeting (ICNAF Redbook 1970, Part I, Page 67), hakes of the Genus *Urophycis* are designated as follows for statistical reporting: (a) hake reported from Subareas 1, 2, and 3, and Divisions 4R, S, T and V be designated as white hake, *Urophycis tenuis*; (b) hake taken by line gears or any hake greater than 55 cm standard length, regardless of how caught, from Divisions 4W and X, Subarea 5 and Statistical Area 6 be designated as white hake, *Urophycis tenuis*; (c) Except as noted in (b), other hake of the Genus *Urophycis* taken in Divisions 4W and X, Subarea 5 and Statistical Area 6 be designated as red hake, *Urophycis chuss*.



## Annex I.D

### Minimum Fish Size \*

Species	Gilled and gutted fish whether or not skinned; fresh or chilled, frozen, or salted.			
	Whole	Head Off	Head and Tail Off	Head Off and Split
Atlantic Cod	41 cm	27 cm	22 cm	27/25 cm**
Greenland halibut	30 cm	N/A	N/A	N/A
American plaice	25 cm	19 cm	15 cm	N/A
Yellowtail flounder	25 cm	19 cm	15 cm	N/A

\* Fish size refers to fork length for Atlantic cod; whole length for other species.

\*\* Lower size for green salted fish.

## **Annex I.E**

### **Templates for the Conduct of Exploratory Bottom Fishing Activities**

#### **I. Exploratory Protocol for New Fishing Areas**

The Exploratory Protocol shall consist of:

- A harvesting plan which outlines target species, dates and areas. Area and effort restrictions should be considered to ensure fisheries occur on a gradual basis in a limited geographical area.
- A mitigation plan including measures to prevent significant adverse impact to vulnerable marine ecosystems that may be encountered during the fishery.
- A catch monitoring plan that includes recording/reporting of all species caught, 100% satellite tracking and 100% observer coverage. The recording/reporting of catch should be sufficiently detailed to conduct an assessment of activity, if required.
- A data collection plan to facilitate the identification of vulnerable marine ecosystems/species in area fished.



## II. Notice of Intent to Undertake Exploratory Fishing

### HARVESTING PLAN

- Target species
- Fishing dates
- Description of area to be fished
- Anticipated effort
- Bottom fishing gear-type(s) used
- IMO Number

### MITIGATION PLAN

- Measures to prevent significant adverse impacts to VMEs

### CATCH MONITORING PLAN

- Identify and record all species brought onboard to the lowest possible taxonomic level
- 100% satellite coverage
- 100% observer coverage

### DATA COLLECTION PLAN

- Data will be collected and reported in a standardized format

### III. Exploratory Fishing Trip Report

#### Advanced notice of intent to undertake exploratory fishing<sup>1</sup>

**Name** of vessel:

**Flag State** of vessel:

Anticipated **location(s)** of exploratory fishing activities (include lat/long):

Anticipated **dates** of exploratory fishing activities:

Has any **previous fishing** been undertaken in adjacent areas (if so, identify information source):

**Depths** expected to be encountered during exploratory fishing activities:

Do **habitat maps** of the area exist (if so, please identify source(s)):

Are **taxonomic keys** identifying potentially vulnerable species available (if so, identify sources(s)):

Known **vulnerable marine ecosystems (VMEs)**<sup>2</sup> in the location(s) to be fished:

**Mitigation measures** to prevent significant adverse impact to VMEs, if encountered:

Do **bathymetric maps** of the exploratory area exist (if so, please identify source(s)):

Does any **fisheries scientific information** in the exploratory area exist (if so, identify source(s)):

**Target species** being sought:

What **gear type(s)** are being proposed to be used (please identify) in what areas (include lat/long):

<sup>1</sup> exploratory fishing is defined as all bottom fishing activities in new areas or with bottom gear not previously used in the area concerned and not identified in Article 16

<sup>2</sup> refer to FAO *International Guidelines for the Management of Deep-Sea Fisheries in the High Seas*

## Contracting party exploratory fishing<sup>1</sup> trip report submitted to the NAFO Scientific Council

**Name** of vessel:

**Flag State** of vessel:

**Location(s)** of areas fished (include lat/long):

**Dates** of fishing activities:

**Depths** encountered during fishing (list for each haul including lat/long):

**Total hours/area fished** (list for each haul including lat/long):

**Gear type(s)** used (please identify) in what areas (include lat/long):

**Vulnerable marine ecosystems (VMEs)**<sup>2</sup> encountered (list for each haul include lat/long):

**Mitigation measures** taken to prevent significant adverse impact to VMEs if encountered:

**List of all organisms** (retained, bycatch) brought onboard (identified to the lowest taxonomic unit):

**List of potential vulnerable indicator species**<sup>3</sup> brought onboard by location (include lat/long):

List of organisms retained for **biological sampling** (e.g., length-weight, sex, age), if any:

<sup>1</sup> exploratory fishing is defined as all bottom fishing activities in new areas or with bottom gear not previously used in the area concerned and not identified in Article 16

<sup>2</sup> refer to *FAO International Guidelines for the Management of Deep-Sea Fisheries in the High Seas*

<sup>3</sup> refer to Annex 1 *FAO International Guidelines for the Management of Deep-Sea Fisheries in the High Seas*

*Note:* data reporting should follow a standardized specification, for example, as adopted by scientific observer program



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## IV. Exploratory Fishery Data Collection Form

Exploratory Fishery Data Collection Form											
A. Fishing Trip Information											
Flag State		Vessel Name		Call Sign		Date of Encounter (ddmmyy)					
B. Gear and Fishing Information (use separate form for each gear).											
Fishing Gear (e.g. trawl, gill net, hook and line, etc.)		Gear Details	Gear Type (e.g. bottom trawl, set gill net, etc.)								
			Gear Size (groundrope length, panel length, etc.)								
			Other Details (cod end mesh size, # of hooks, etc.)								
		hr.	min.	degrees		minutes		metres			
Tow or Set Start:	GMT Time:			Latitude	N			Depth			
				Longitude	W						
Tow or Set End:	GMT Time:			Latitude	N			Depth			
				Longitude	W						
C. Catch Information *Do not leave blank. Indicate zero catch if necessary											
Live Corals total weight in the haul (kg)*				Live Sponges total weight in the haul (kg)*							
Organisms identified to the lowest taxonomic unit as possible** Include fish and invertebrates				Biological Samples Taken?		Biological samples of Vulnerable Indicator Species taken?		Total Weight (kg) in catch	Weight is estimate or actual? Tick one.		
				yes	no	yes	no		Act.	Est.	
D. Comments											

\*\*Refer to Annex I of the *FAO International Guidelines for the Management of Deep-Sea Fisheries in the High Seas*.  
Also, use *NAFO Coral and Sponge Identification Guides* as appropriate.



## V. Assessment of Bottom Fishing Activities

Assessments should consider the best available scientific and technical information on the current state of fishery resources.

Assessments should address, *inter alia*:

1. Type(s) of fishing conducted or contemplated, including vessels and gear types, fishing areas, target and potential bycatch species, fishing effort levels and duration of fishing (harvesting plan);
2. Existing baseline information on the ecosystems, habitats and communities in the fishing area, against which future changes are to be compared;
3. Identification, description and mapping of VMEs known or likely to occur in the fishing area;
4. Identification, description and evaluation of the occurrence, scale and duration of likely impacts, including cumulative impacts of activities covered by the assessment on VMEs;
5. Consideration of VME elements known to occur in the fishing area;
6. Data and methods used to identify, describe and assess the impacts of the activity, the identification of gaps in knowledge, and an evaluation of uncertainties in the information presented in the assessment;
7. Risk assessment of likely impacts by the fishing operations to determine which impacts on VMEs are likely to be significant adverse impacts; and
8. The proposed mitigation and management measures to be used to prevent significant adverse impacts on VMEs, and the measures to be used to monitor effects of the fishing operations.



## VI. List of VME Indicator Species

Benthic Invertebrate VME Indicator Species			
Common name of taxonomic group	Known Taxon	Family	Phylum
Large-sized sponges (SPO)	<i>Iophon piceum</i> (WJP)	Acarnidae	Porifera
	<i>Stelletta normani</i>	Ancorinidae	
	<i>Stelletta</i> sp. (WSX)	Ancorinidae	
	<i>Stryphnus ponderosus</i>	Ancorinidae	
	<i>Axinella</i> sp.	Axinellidae	
	<i>Phakellia</i> sp.	Axinellidae	
	<i>Esperiopsis villosa</i> (ZEW)	Esperiopsidae	
	<i>Geodia barretti</i>	Geodiidae	
	<i>Geodia macandrewii</i>	Geodiidae	
	<i>Geodia phlegraei</i>	Geodiidae	
	<i>Mycale</i> ( <i>Mycale</i> ) <i>lingua</i> (YHL)	Mycalidae	
	<i>Thenia muricata</i>	Pachastrellidae	
	<i>Polymastia</i> spp. (ZPY)	Polymastiidae	
	<i>Weberella bursa</i>	Polymastiidae	
	<i>Weberella</i> sp. (ZWB)	Polymastiidae	
	<i>Asconema foliatum</i> (ZBA)	Rossellidae	
	<i>Craniella cranium</i>	Tetillidae	
Stony corals (CSS) (known seamount species may not occur in abundance in the NRA)	<i>Lophelia pertusa</i> (LWS)	Caryophylliidae	Cnidaria
	<i>Solenosmilia variabilis</i> (RZT)	Caryophylliidae	
	<i>Enallopsammia rostrata</i> (FEY)	Dendrophylliidae	
	<i>Madrepora oculata</i> (MVI)	Oculinidae	
Small gorgonian corals (GGW)	<i>Anthothela grandiflora</i> (WAG)	Anthothelidae	Cnidaria
	<i>Chrysogorgia</i> sp. (FHX)	Chrysogorgiidae	
	<i>Radicipes gracilis</i> (CZN)	Chrysogorgiidae	
	<i>Metallogorgia melanotrichos</i>	Chrysogorgiidae	
	<i>Acanella arbuscula</i>	Isididae	
	<i>Acanella eburnea</i>	Isididae	
	<i>Swiftia</i> sp.	Plexauridae	
	<i>Narella laxa</i>	Primnoidae	



Large gorgonian corals (GGW)	<i>Acanthogorgia armata</i> (AZC) <i>Iridogorgia</i> sp. <i>Corallium bathyrubrum</i> <i>Corallium bayeri</i> <i>Keratoisis ornata</i> (KRY) <i>Keratoisis</i> sp. <i>Lepidisis</i> sp. (QFX) <i>Paragorgia arborea</i> (BFU) <i>Paragorgia johnsoni</i> (BFV) <i>Paramuricea grandis</i> <i>Paramuricea placomus</i> <i>Paramuricea</i> spp. (PZL) <i>Placogorgia</i> sp. <i>Placogorgia terceira</i> <i>Calyptrophora</i> sp. <i>Parastenella atlantica</i> <i>Primnoa resedaeformis</i> (QOE) <i>Thouarella grasshoffi</i>	Acanthogorgiidae Chrysogorgiidae Coralliidae Coralliidae Isididae Isididae Isididae Paragorgiidae Paragorgiidae Plexauridae Plexauridae Plexauridae Plexauridae Plexauridae Primnoidae Primnoidae Primnoidae Primnoidae	Cnidaria
Sea pens (NTW)	<i>Anthoptilum grandiflorum</i> <i>Funiculina quadrangularis</i> (FQJ) <i>Halipterus</i> cf. <i>christii</i> <i>Halipterus finmarchica</i> (HFM) <i>Halipterus</i> sp. (ZHX) <i>Kophobelemnnon stelliferum</i> (KVF) <i>Pennatula aculeata</i> (QAC) <i>Pennatula grandis</i> <i>Pennatula</i> sp. <i>Distichoptilum gracile</i> (WDG) <i>Protoptilum</i> sp. <i>Umbellula lindahli</i> <i>Virgularia</i> cf. <i>mirabilis</i>	Anthoptilidae  Funiculinidae Halipteridae Halipteridae Halipteridae Kophobelemnidae Pennatulidae Pennatulidae Pennatulidae Protoptilidae Protoptilidae Umbellulidae Virgulariidae	Cnidaria
Tube-dwelling anemones	<i>Pachycerianthus borealis</i> (WQB)	Cerianthidae	Cnidaria
Erect bryozoans (BZN)	<i>Eucratea loricata</i> (WEL)	Eucrateidae	Bryozoa
Sea lilies (Crinoids) (CWD)	<i>Trichometra cubensis</i> <i>Conocrinus lofotensis</i> (WCF) <i>Gephyrocrinus grimaldii</i>	Antedonidae Bourgueticrinidae Hyocrinidae	Echinodermata
Sea squirts (SSX)	<i>Boltenia ovifera</i> (WBO) <i>Halocynthia aurantium</i>	Pyuridae Pyuridae	Chordata

## VII. List of Physical VME Indicator Elements

Physical VME indicator elements	
Seamounts	Fogo Seamounts (Div. 3O, 4Vs)
	Newfoundland Seamounts (Div. 3MN)
	Corner Rise Seamounts (Div. 6GH)
	New England Seamounts (Div. 6EF)
Canyons	Shelf-indenting canyon; Tail of the Grand Bank (Div. 3N)
	Canyons with head > 400 m depth; South of Flemish Cap and Tail of the Grand Bank (Div. 3MN)
	Canyons with heads > 200 m depth; Tail of the Grand Bank (Div. 3O)
Knolls	Orphan Knoll (Div. 3K)
	Beothuk Knoll (Div. 3LMN)
Southeast Shoal	Tail of the Grand Bank Spawning grounds (Div. 3N)
Steep flanks > 6.4°	South and Southeast of Flemish Cap. (Div. 3LM)



## Annex I.F

### Greenland Halibut Management Procedure

The harvest control rule (HCR) will adjust the total allowable catch (TAC) from year ( $y$ ) to year ( $y+1$ ), according to:

a combination of a “target based” and a “slope based” rule detailed below.

#### *Target based (t)*

The basic harvest control rule (HCR) is:

$$TAC_{y+1} = TAC_y (1 + \gamma (J_y - 1)) \quad (1)$$

where

$TAC_y$  is the TAC recommended for year  $y$ ,

$\gamma$  is the “response strength” tuning parameter,

$J_y$  is a composite measure of the immediate past level in the mean weight per tow from surveys ( $I_y^i$ ) that are available to use for calculations for year  $y$ ; five series are used, with  $i = 1, 2, 3, 4$  and  $5$  corresponding respectively to Canada Fall 2J3K, EU 3M 0–1400m, Canada Spring 3LNO, EU 3NO and Canada Fall 3LNO:

$$J_y = \sum_{i=1}^5 \frac{1}{(\sigma^i)^2} \frac{J_{current,y}^i}{J_{target}^i} / \sum_{i=1}^5 \frac{1}{(\sigma^i)^2} \quad (2)$$

with

$(\sigma^i)^2$  being the estimated variance for index  $i$  (estimated in the SCAA model fitting procedure, see Table 1)

$$J_{current,y}^i = \frac{1}{q} \sum_{y'=y-q}^{y-1} I_{y'}^i \quad (3)$$

$$J_{target}^i = \alpha \frac{1}{5} \sum_{y'=2011}^{2015} I_{y'}^i \quad (\text{where } \alpha \text{ is a control/tuning parameter for the MP}) \quad (4)$$

Note the assumption that when a TAC is set in year  $y$  for year  $y+1$ , indices will not at that time yet be available for the current year  $y$ .

#### *Slope based (s)*

The basic harvest control rule (HCR) is:

$$TAC_{y+1} = TAC_y [1 + \lambda_{up/down} (s_y - X)] \quad (5)$$

where

$\lambda_{up/down}$  and  $X$  are tuning parameters,

$s_y$  is a measure of the immediate past trend in the survey-based abundance indices, computed by linearly regressing  $\ln I_{y'}^i$  vs year  $y'$  for  $y' = y - 5$  to  $y' = y - 1$ , for each of the five surveys considered, with

$$s_y = \sum_{i=1}^5 \frac{1}{(\sigma^i)^2} S_y^i / \sum_{i=1}^5 \frac{1}{(\sigma^i)^2} \quad (6)$$

with the standard error of the residuals of the observed compared to model-predicted logarithm of survey index  $i$  ( $\sigma^i$ ) estimated in the SCAA base case operating model.

*Combination Target and Slope based (s+t)*

For the target and slope based combination:

- 1)  $TAC_{y+1}^{target}$  is computed from equation (1),
- 2)  $TAC_{y+1}^{slope}$  is computed from equation (5), and
- 3)  $TAC_{y+1} = (TAC_{y+1}^{target} + TAC_{y+1}^{slope})/2$

Finally constraints on the maximum allowable annual change in TAC are applied, viz.:

$$\text{if } TAC_{y+1} > TAC_y(1 + \Delta_{up}) \text{ then } TAC_{y+1} = TAC_y(1 + \Delta_{up}) \quad (7)$$

and

$$\text{if } TAC_{y+1} < TAC_y(1 - \Delta_{down}) \text{ then } TAC_{y+1} = TAC_y(1 - \Delta_{down}) \quad (8)$$

The control parameters for the adopted MP are shown in Table 2 with a starting TAC of 16 500 t in 2018. Missing survey values are treated as missing in the calculation of the rule as in the MSE.

Table 1: The weights given to each survey in obtaining composite indices of abundance are proportional to the inverse squared values of the survey error standard deviations  $\sigma^i$  listed below.

Survey	$\sigma^i$
Canada Fall 2J3K	0.22
EU 3M 0–1400m	0.21
Canada Spring 3LNO	0.49
EU 3NO	0.38
Canada Fall 3LNO	0.26

Table 2. Control parameter values for the MPs recommended. The parameters  $\alpha$  and  $X$  were adjusted to achieve a median biomass equal to  $B_{msy}$  for the exploitable component of the resource biomass in 2037.

$TAC_{2018}$	16 500 tonnes
$\gamma$	0.15
$q$	3
$\alpha$	0.972
$\lambda_{up}$	1.00
$\lambda_{down}$	2.00
$X$	-0.0056
$\Delta_{up}$	0.10
$\Delta_{down}$	0.10



## **Annex I.G**

### **Exceptional Circumstances Protocol**

The following criteria constitute Exceptional Circumstances:

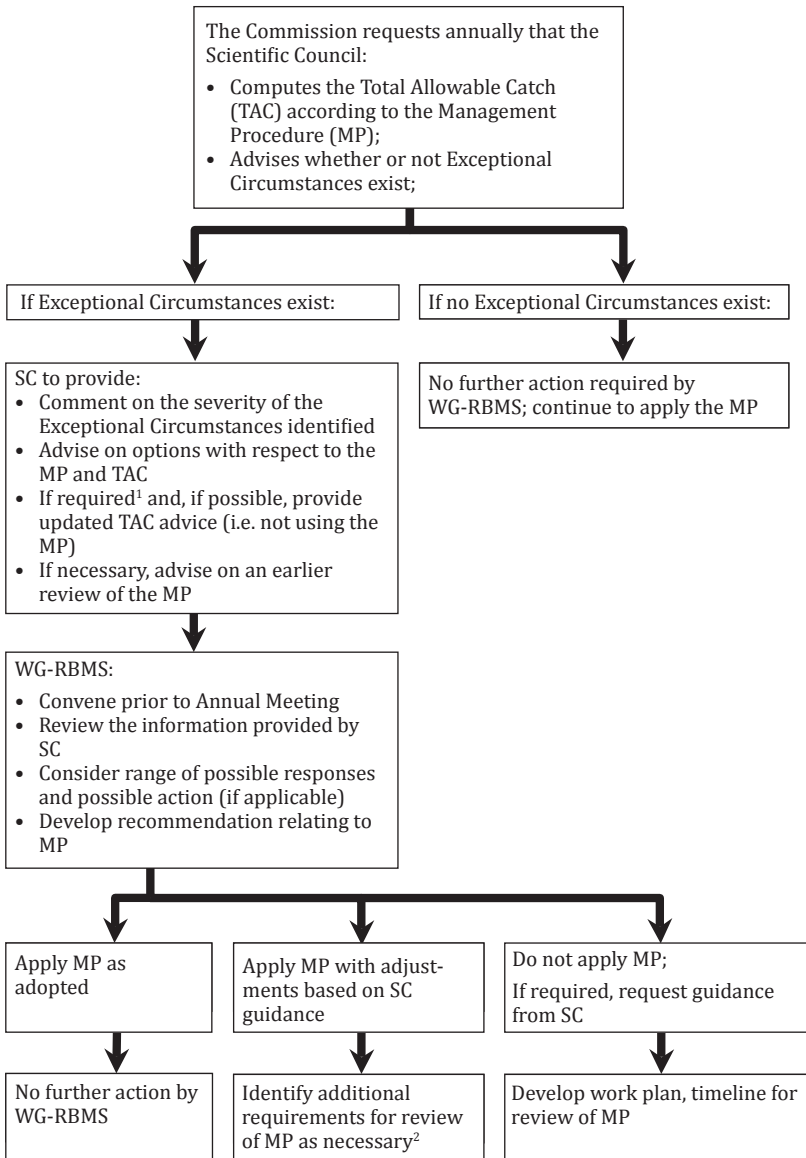
1. Missing survey data:
  - More than one value missing, in a five-year period, from a survey with relatively high weighting in the HCR (Canadian Fall 2J3K, Canadian Fall 3LNO, and EU 3M surveys);
  - More than two values missing, in a five-year period, from a survey with relatively low weighting in the HCR (Canadian Spring 3LNO and EU-Spain 3NO surveys);
2. The composite survey index used in the HCR, in a given year, is above or below the 90 percent probability envelopes projected by the base case operating models from SSM and SCAA under the MS; and
3. TACs established that are not generated from the MP.

The following elements will require application of expert judgment to determine whether Exceptional Circumstances are occurring:

1. the five survey indices relative to the 80, 90, and 95 percent probability envelopes projected by the base case operating models (SSM and SCAA) for each survey;
2. survey data at age four (age before recruitment to the fishery) compared to its series mean to monitor the status of recruitment; and
3. discrepancies between catches and the TAC calculated using the MP.<sup>1</sup>

Figure 1 illustrates the actions to be taken in Exceptional circumstances.

<sup>1</sup> Noting that 10% exceedance of TAC was tested during MSE.



<sup>1</sup> For example, where the SC determines that, in the light of identified exceptional circumstances, the application of the TAC generated by the MP may not be appropriate.

<sup>2</sup> This review may include updated assessment, sensitivity analysis, etc.

**Figure 1.** Decision tree illustrating actions to be taken in the event of Exceptional Circumstances.



## Annex I.H

### 3LN Redfish Conservation Plan and Harvest Control Rule

#### 1. Objectives:

The long-term objective of the Redfish 3LN Conservation Plan is to maintain the biomass in the 'safe zone', as defined by the NAFO Precautionary Approach framework.

#### 2. Reference Points (as identified by NAFO Scientific Council - NAFO SCS Doc. 14/17 Revised):

(a) Limit reference point for biomass ( $B_{lim}$ ): 30% of  $B_{msy}$

(b) Limit reference point for fishing mortality ( $F_{lim}$ ):  $F_{msy}$

#### 3. Performance Statistics (levels of risks that apply to section 4):

(a) Very low (< 10%) probability of biomass declining below  $B_{lim}$ .

(b) Low (< 30%) probability of fishing mortality  $> F_{msy}$

(c) Less than 50% probability of declining below 80%  $B_{msy}$  on or before 2021

#### 4. Supplementary Guidance to the 3LN Redfish Harvest Control Rule:

(a) When biomass is below  $B_{lim}$ :

(i) No directed fishing

(ii) By-catch should be restricted to unavoidable by-catch in fisheries directing for other species

(b) When biomass is between  $B_{lim}$  and 80% of  $B_{msy}$

(i) TAC's should be set at a level(s) to allow for growth to above 80% of  $B_{msy}$  or to avoid or mitigate further decline in biomass consistent with explicit rebuilding objectives. Tolerance for short-term preventable decline is reduced as biomass approaches  $B_{lim}$ .

(c) When biomass is above 80% of  $B_{msy}$

(i) TAC's should be set at a level(s) to maintain biomass above 80% of  $B_{msy}$  or to avoid or mitigate decline below 80% of  $B_{msy}$

(d) If fishing mortality is above  $F_{msy}$

(i) Fishing mortality should be reduced to a level below  $F_{msy}$ .



## **Risk-Based Management Strategy for 3LN Redfish**

Adopted by NAFO in September 2014 for implementation effective  
January 1, 2015

### **Management Strategy/Harvest Control Rule:**

A stepwise biannual catch increase reaching 18 100 tonnes by 2019–2020. (18 100t is the equilibrium yield in the 2014 assessment under the assumption of an MSY of 21 000 tonnes).

2015 TAC:	10 400 t
2016:	10 400 t
2017:	14 200 t
2018:	14 200 t
2019:	18 100 t
2020:	18 100 t

### **Review/Monitoring:**

1. Scientific Council will monitor the performance of the HCR by examining the trends in the survey indices and by conducting a full assessment every 2–3 years and for the first time in 2016.
2. Conduct a full review/evaluation of the management strategy at the end of the 7 year implementation period.



## ANNEX II – REPORTING

### Annex II.A

### Recording of Catch (Logbook Entries)

#### FISHING LOGBOOK ENTRIES

##### Item of Information

1. Vessel name
2. Vessel nationality
3. Vessel registration number
4. IMO number
5. Registration port
6. Type of gear used (\*1) (\*2)
7. Date of fishing activity (day/month/year: dd-mm-yyyy)
8. Start time of tow/set (UTC)
9. Start position of each tow/set:
  - (a) Latitude
  - (b) Longitude
  - (c) Division
  - (d) Water depth
10. End position of each tow/set:
  - (a) Latitude
  - (b) Longitude
  - (c) Division
  - (d) Water depth
11. End time of each tow/set (UTC)
12. Species names caught in each tow/set (Annex I.C)
13. Disposition of each tow/set: (\*3) (\*4)
  - (a) Total catch of each species (kilograms live weight)
  - (b) Discards of each species (kilograms live weight)
14. Were bycatch limits specified in Article 6.6 exceeded? (Y/N)
15. Was a trial tow conducted in accordance with Article 6.6 (iii) conducted? (Y/N)
16. Landings or Transhipments of catch from the Regulatory Area
  - (a) Quantity landed or transhipped of each species
  - (b) Place(s) of landing or transhipment
  - (c) Date(s) of landing or transhipment (day/month/year): dd-mm-yyyy)
17. Master's signature

##### Instructions:

- (\*1) When two or more types of gear are used in the same 24-hours period, records should be separate for the different types
- (\*2) Gears and attachments shall be identified by codes in Annex II.J
- (\*3) Quantities shall be in kg live weight
- (\*4) Species shall be identified by the codes in Annex I.C

## **Annex II.B**

### **Rules on Confidentiality**

#### **PROVISIONS ON SECURE AND CONFIDENTIAL TREATMENT OF ELECTRONIC REPORTS AND MESSAGES TRANSMITTED IN ACCORDANCE WITH ARTICLES 28-29 OF THE CONSERVATION AND ENFORCEMENT MEASURES**

##### **1. Field of application**

The provisions set out below shall apply to all electronic reports and messages transmitted and received in accordance with Articles 28-29 of the Conservation and Enforcement Measures, hereinafter referred to as “reports and messages”.

##### **2. General Provisions**

- 2.1 The Executive Secretary and the appropriate authorities of Contracting Parties transmitting and receiving reports and messages shall take all necessary measures to comply with the security and confidentiality provisions set out in sections 3 and 4.
- 2.2 The Executive Secretary informs all Contracting Parties of the measures taken in the Secretariat to comply with these security and confidentiality provisions.
- 2.3 The Executive Secretary takes all the necessary steps to ensure that the requirements pertaining to the deletion of reports and messages handled by the Secretariat are complied with.
- 2.4 Each Contracting Party shall guarantee the Executive Secretary the right to obtain as appropriate, the rectification of reports and messages or the erasure of reports and messages the processing of which does not comply with the provisions of the Conservation and Enforcement Measures.
- 2.5 Notwithstanding the provisions in Article 29.10(b)-(d), the Commission may instruct the Executive Secretary not to make available the reports and messages received under Article 28 and 29 to a Contracting Party, where it is established that the Contracting Party in question has not complied with these security and confidentiality provisions.

##### **3. Provisions on Confidentiality**

- 3.1 Reports and messages shall be used only for the purposes stipulated in the Conservation and Enforcement Measures. No report or message referred to in section 1 shall be kept in a computer database at the Secretariat unless explicitly provided for in the Conservation and Enforcement Measures.
- 3.2 Each inspecting Contracting Party shall make available reports and messages only to their means of inspection and their inspectors assigned to the Scheme of Joint International Inspection and Surveillance. Reports and messages shall be transmitted to the inspection platforms and inspectors not more than 48 hours prior to entry into the Regulatory Area.



- 3.3 The Executive Secretary deletes all the original reports and messages referred to in section 1 from the database at the Secretariat by the end of the first calendar month following the year in which the reports and messages have originated. Thereafter the information related to the catch and movement of the fishing vessels shall only be retained by the Executive Secretary, after measures have been taken to ensure that the identity of the individual vessels can no longer be established.
- 3.4 The Executive Secretary does not make available reports and messages to other parties than those specified explicitly in Article 29.10(b)-(d) of the Conservation and Enforcement Measures.
- 3.5 Inspecting Contracting Parties may retain and store reports and messages transmitted by the Secretary until 24 hours after the vessels to which the reports and messages pertain have departed from the Regulatory Area without re-entry. Departure is deemed to have been effected six hours after the transmission of the intention to exit from the Regulatory Area.

#### **4. Provisions on security**

##### **4.1 Overview**

Inspecting Contracting Parties and the Secretariat shall ensure the secure treatment of reports and messages in their respective electronic data processing facilities, in particular where the processing involves transmission over a network. Contracting Parties and the Secretariat must implement appropriate technical and organizational measures to protect reports and messages against accidental or unlawful destruction or accidental loss, alteration, unauthorized disclosure or access, and against all inappropriate forms of processing.

The following security issues must be addressed from the outset:

- System access control:  
The system has to withstand a break-in attempt from unauthorized persons.
- Authenticity and data access control:  
The system has to be able to limit the access of authorized parties to a predefined set of data only.
- Communication security:  
It shall be guaranteed that reports and messages are securely communicated.
- Data security:  
It has to be guaranteed that all reports and messages that enter the system are securely stored for the required time and that they will not be tampered with.
- Security procedures:

Security procedures shall be designed addressing access to the system (both hardware and software), system administration and maintenance, backup and general usage of the system.

Having regard to the state of the art and the cost of their implementation, such measures shall ensure a level of security appropriate to the risks represented by the processing of the reports and the messages.

Security measures are described in more detail in the following paragraphs.

#### **4.2 System Access Control**

For their main computer systems the Contracting Parties and the Secretariat shall aim to meet the criteria of a C2-level trusted system, (as described in Section 2.2 of the U.S. Department of Defence Trusted Computer System Evaluation Criteria (TCSEC), DOD 5200.28-STD, December 1985).

The following features are some of the ones provided by a C2-level trusted system:

- A stringent password and authentication system. Each user of the system is assigned a unique user identification and associated password. Each time the user logs on to the system he/she has to provide the correct password. Even when successfully logged on the user only has access to those and only those functions and data that he/she is configured to have access to. Only a privileged user has access to all the data.
- Physical access to the computer system is controlled.
- Auditing; selective recording of events for analysis and detection of security breaches.
- Time-based access control; access to the system can be specified in terms of times-of-day and days-of-week that each user is allowed to login to the system.
- Terminal access control; specifying for each workstation which users are allowed to access.

#### **4.3 Authenticity and Data Access Security**

Data exchange protocols for electronic transmission of reports and messages between Contracting Parties and the Secretariat shall be duly tested by the Secretariat and approved by the Commission. Electronic transmission is subject to security procedures laid down in this Annex.

#### **4.4 Communication Security**

Appropriate encryption protocols duly tested by the Secretariat and approved by the Commission shall be applied to ensure confidentiality and authenticity. Key management policy shall be in place to support the use of cryptographic techniques. In particular,



the integrity of the PKI (public key infrastructure) will be guaranteed by ensuring that digital certificates correctly identify and validate the party submitting the information.

#### 4.5 **Data Security**

Access limitation to the data shall be secured via a flexible user identification and password mechanism. Each user shall be given access only to the data necessary for his task.

#### 4.6 **Security Procedures**

Each Contracting Party and the Executive Secretary shall nominate a security system administrator. The security system administrator shall review the log files generated by the software, properly maintain the system security, restrict access to the system as deemed needed and act as a liaison with the Secretariat in order to solve security matters.

## Annex II.C

### Vessel Notification and Authorization

#### 1) Format for register of vessels

Data Element	Code	Mandatory/ Optional	Remarks
Start record	SR	M	System detail; indicates start of record
Address	AD	M	Message detail; destination, "XNW" for NAFO Secretariat
From	FR	M	Message detail; ISO-3 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, " <b>NOT</b> " as Notification of vessels that may conduct fishing activities in NAFO RA
Vessel Name	NA	M	Name of the vessel
Radio Call Sign	RC	M	International radio call sign of the vessel
Flag State	FS	M	State where the vessel is registered
Internal Reference Number	IR	O <sup>1</sup>	Unique Contracting Party vessel number as ISO-3 flag State code followed by number
External Registration Number	XR	M	The side number of the vessel
Vessel IMO Number	IM	M	IMO number
Port Name	PO	M	Port of registration or home port
Vessel Owner	VO	M <sup>2</sup>	Registered owner and address
Vessel Charterer	VC	M <sup>2</sup>	Responsible for using the vessel
Vessel Type	TP	M	FAO vessel code (Annex II.I)
Vessel Gear	GE	O	FAO statistical classification of fishing gear (Annex II.J)
Vessel Tonnage measurement method tonnage	VT	M	Vessel tonnage capacity in pairs as needed "OC" = "OSLO" Convention 1947, "LC" "London" Convention ICTM-69 Total capacity in metric tons
Vessel length measurement method length	VL	M	Length in meters in pairs as needed "OA" = overall; length in meters
Vessel Power measurement method power	VP	M	Engine power in pairs as needed in "KW" PE = propulsion engine AE= Auxiliary summary engines Total installed engine power in vessel measured in "KW"
End of record	ER	M	System detail; indicates end of the record

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

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



**2) Format for withdrawal of vessels from the register**

<b>Data Element</b>	<b>Code</b>	<b>Mandatory/ Optional</b>	<b>Remarks</b>
Data AI			
Start record	SR	M	System detail; indicates start of record
Address	AD	M	Message detail; destination, "XNW" for NAFO Secretariat
From	FR	M	Message detail; ISO-3 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 notified vessels
Vessel Name	NA	M	Name of the vessel
Radio Call Sign	RC	M	International radio call sign of the vessel
Internal Reference Number	IR	O	Unique Contracting Party vessel number as ISO-3 flag State code followed by number, if exists
External Registration Number	XR	M	The side number of the vessel
Vessel IMO Number	IM	M	IMO number
Start Date	SD	M	The first date as from which the withdrawal takes affect
End of record	ER	M	System detail; indicates end of the record



### 3) Format for authorization to conduct fishing activities

Data Element	Code	Mandatory/ Optional	Remarks
Start record	SR	M	System detail; indicates start of record
Address	AD	M	Message detail; destination, "XNW" for NAFO Secretariat
From	FR	M	Message detail; ISO-3 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 Authorization of vessels to conduct fishing activities in the NAFO RA
Vessel Name	NA	M	Name of the vessel
Radio Call Sign	RC	M	International radio call sign of the vessel
Internal reference Number	IR	O	Unique Contracting Party vessel number as ISO-3 flag State code followed by number, if exists
External registration Number	XR	M	The side number of the vessel
Vessel IMO Number	IM	M	IMO number
Start Date	SD	M	License detail; date as from which the Authorization takes effect
End date	ED	O	License detail: Date on which the authorization go to the end. Maximum time validity is 12 months.
Targeted species and Area	TA	M <sup>3</sup>	License detail; species and area allowed for directed fishery. Regulated species of Annex I.A or I.B must refer to the stock specification. For unregulated species use Sub Area or division or "ANY". Allow for several pairs of fields. e.g. //TA/GHL 3LMNO COD 3M RED 3LN RED 3M HER ANY//
End of record	ER	M	System detail; indicates end of the record

<sup>3</sup> For transport vessels the TA field is optional.



**4) Format to suspend the authorization to conduct fishing activities**

<b>Data Element</b>	<b>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, "XNW" for NAFO Secretariat
From	FR	M	Message detail; ISO-3 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 authorized vessels
Vessel Name	NA	M	Name of the vessel
Radio Call Sign	RC	M	International radio call sign of the vessel
Internal Reference Number	IR	O	Unique Contracting Party vessel number as ISO-3 flag State code followed by number, if exists
External Registration Number	XR	M	The side number of the vessel
Vessel IMO Number	IM	M	IMO number
Start Date	SD	M	License detail; date as from which the Suspension takes effect
End of record	ER	M	System detail; indicates end of the record

## **Annex II.D**

### **Data Exchange Format and Protocols**

#### **A. Data transmission format**

Each data transmission is structured as follows:

1. Data 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 ("/") at the end indicates the end of a record.

#### **B. Data exchange protocols**

Authorized data exchange protocols for electronic transmission of reports and messages between Contracting Parties and the Secretary shall be in accordance with Annex II.B, Rules on Confidentiality.



### C. Format for electronic exchange of fisheries monitoring information (The North Atlantic Format)

Category	Data Element	Field code	Type	Contents	Definitions
System	Start Record	SR			Indicates start of the record
Details	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 II.D.D(2)
Message	Address destination	AD	Char*3	ISO-3166 Address	Address of the party receiving the message, “XNW” for NAFO
Details	From	FR	Char*3	ISO-3166 Address	Address of the transmitting party, (Contracting Party)
	Type of Message	TM	Char*3	Code	Code for the message type
	Sequence Number	SQ	Num*6	NNNNNN	Serial number of messages sent from a vessel to the final destination (XNW). 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 XNW. It is unique for each FMC for a calendar year. At the beginning of the 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	Radio Call Sign	RC	Char*7	IRCS Code	International Radio Call Sign of the vessel

Category	Data Element	Field code	Type	Contents	Definitions
Registration	Vessel name	NA	Char*30		Name of the vessel
Details	Ext. registration	XR	Char*14		Side Number of the vessel
	Flag State	FS	Char*3	ISO-3166	State of registration
	Contracting Party internal ref. number	IR	Char*3 Num*9	ISO-3166 +max. 9N	Unique vessel number attributed by the flag State in accordance with registration
	Port Name	PO	Char*20		Port of registration of the vessel/homeport
	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 IMO Number	IMO Number	IM	Num*7	NNNNNNN	IMO ship identification number
Vessel Character. Details	Vessel Tonnage Unit	VT	Char*2 Num*4	“OC”/“LC” Tonnage	According to: “OC” OSLO 1947 Convention /“LC” LONDON ICTM-69
	Vessel Power Unit	VP	Char*2 Num*5	0-99999	Total main engine power in “KW”
	Vessel Length	VL	Char*2 Num*3	“OA” Length in meters	Unit “OA” length overall. Total length of the vessel in meters, rounded to the nearest whole meter
	Vessel Type	TP	Char*3	Code	As listed in Annex II.I
	Fishing Gear	GE	Char*3	FAO Code	International Standard Statistical Classification of the Fishing Gear as Annex II.J
Authorization details	Start Date	SD	Num*8	YYYYMMDD	Licence detail; date on which the authorization starts
	End Date	ED	Num*8	YYYYMMDD	Licence detail; date on which the authorization ends
	Targeted species and Area	TA	Char*3 Char*10	Stock specifications, FAO Species code and NAFO defined area code or “ANY”	Species and area allowed for directed fishery. Regulated species of Annex I.A or I.B must refer to the stock specification. For unregulated species use Sub Area or division or “ANY”. Allow for several pairs of fields. e.g. //TA/GHL 3LMNO COD 3M RED 3LN RED 3M HER ANY//
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	Value negative if latitude is in the southern hemisphere <sup>1</sup> (WGS84)
	Longitude (decimal)	LG	Char*8	+/-DDD.ddd	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



Category	Data Element	Field code	Type	Contents	Definitions
	Catch Species Quantity	CA	Char*3 Num*7	FAO species code 0-9999999	Daily catch by species and by Division, retained on board, in kilograms live weight
	Quantity onboard Species Quantity	OB	Char*3 Num*7	FAO species code 0-9999999	Total quantity by species on board the vessel at the moment of sending the hail message concerned in kilograms live weight
	Discard Species Quantity	RJ	Char*3 Num*7	FAO species code 0 - 9999999	Catch discarded by species and by Division in kilograms live weight
	Undersize Species Quantity	US	Char*3 Num*7	FAO species code 0 - 9999999	Undersize catch by species and by Division in kilograms live weight
	Transferred species Species Quantity	KG	Char*3 Num*7	FAO species code 0-9999999	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.
	Relevant Area	RA	Char*6	ICES/NAFO Codes	Code for the relevant fishing area
	Directed Species	DS	Char*3	FAO species codes	Code for the species the vessel is targeting. Allow for several species, separated by a space. e.g. //DS/species species species//
	Observer on board	OO	Char*1	Y or N	Presence of a compliance observer on board
	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
	Master Name	MA	Char*30		Name of the vessels master
	Coastal State	CS	Char*3	ISO-3166 3 Alpha Code	Coastal State of Port of Landing
	Predicted Date	PD	Num*8	YYYYMMDD	Estimated date UTC when the master intends to be in port
	Predicted Time	PT	Num*4	HHMM	Estimated time UTC when the master intends to be in port
	Port Name	PO	Char*20		Name of the actual port of landing
	Speed	SP	Num*3	Knots*10	e.g. //SP/105 = 10.5 knots
	Course	CO	Num*3	360° degree scale	e.g. //CO/270 = 270
	Chartering Flag Catches	CH	Char*3	ISO-3166	Flag of Chartering Contracting Party
	Area of Entry	AE	Char*6	ICES/NAFO Codes	NAFO Division entering into
	Days fished	DF	Num*3	1-365	Number of days the vessel spent in the fishing zone during the trip.
	Apparent Infringement	AF	Char*1	Y or N	For onboard observer to report his observations

Category	Data Element	Field code	Type	Contents	Definitions
	Mesh Size	ME	Num*3	0 – 999	Average mesh size in millimetres
	Production	PR	Char*3	Code	Code for the production Annex II.K
	Logbook	LB	Char*1	Y or N	For onboard observer to approve the entries in the vessels logbook
	Hails	HA	Char*1	Y or N	For onboard observer to approve the hails sent from the vessel
	Observer Name	ON	Char*30	Text	Name of the onboard observer
	Free Text	MS	Char*255	Text	Activity detail; for further comments by observer

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



### **D. 1) Structure of reports and messages as laid down in Annex II.E and Annex II.F when forwarded by Contracting Parties to the Secretary.**

Where appropriate, each Contracting Party shall retransmit to the Secretary reports and messages received from its vessels in accordance with Articles 28 and 29; subject to the following amendments:

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

### **D. 2) 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.

#### **A) Return message format:**

<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; XNW is NAFO (who is sending the return message)
Type of message	TM	M	Message detail; message type RET for return message
Radio call sign	RC	O	Reporting detail; international radio call sign of the vessel, copied from the report which is received.
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.
Return Status	RS	M	Reporting detail; code showing whether the 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 message which is received
Date	DA	M	Message detail; date of transmission
Time	TI	M	Message detail; time of transmission
End of Record	ER	M	System detail; indicates end of the record



**B) Return error numbers**

Subject/ Article	Errors 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			Unauthorized 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
Article 25			250	Attempt to re-Notify a vessel
		251		Vessel is not Notified
		252		Species not AUT or SUS
Article 28		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



**E. Types of reports and messages**

Annex	Provisions	Code	Message / Report	Remarks
II.C	Article 25.1a	NOT	Notification	Notification of fishing vessels
II.C	Article 25.1b	WIT	Withdrawal	Notification of the withdrawal of a registered vessel
II.C	Article 25.5a	AUT	Authorization	Notification of vessels authorized to conduct fishing activities in the R.A.
II.C	Article 25.5b	SUS	Suspension	Notification of the suspension of an authorization to conduct fishing activities in the Regulatory Area, within its initial period of validity
II.E	Article 29.2	ENT POS EXI	Entry Position Exit	VMS messages
	Article 29.8	MAN	Manual position	Reports transmitted by fishing vessels with a defective satellite tracking device to the Contracting Party
II.F	Article 28.6(a)	COE	Catch on Entry	Report transmitted by fishing vessels, prior to entering the R.A.
	Article 28.6(c)	CAT	Catch	Catch report daily, for all species by Division
	Article 28.6(d)	COB	Cross boundary	Catch report prior to crossing boundary to 3L
	Article 28.6(e)	TRA	Transshipment	Report on quantities on-loaded or off-loaded in the R.A.
	Article 28.6(f)	POR	Port of Landing	Report on catch onboard and weight to be landed
	Article 28.6(b)	COX	Catch on Exit	Report transmitted by fishing vessels, prior to leaving the R.A.
	Article 28.6	CAN	Cancel	Report for cancellation of a report set out in the Article 28.6
II.D.D	Article 29.10(a)	RET	Return	Automatic electronic message in accordance with reception of records
	Article 28.9(c)			
II.G.	Article 30.14(e)	OBR	Observer	Daily Observer report

## Annex II.E

### VMS Data Format

#### 1) “Entry”, “Position” and “Exit” messages

Format specifications when sending reports from FMC to NAFO (XNW) see also Annex II.D.A, II.D.B, II.D.C and II.D.D.1

Data Element	Field Code	Mandatory/Optional	Remarks
Start record	SR	M	System detail; indicates start of record
Address	AD	M	Message detail; destination; “XNW” for NAFO
From	FR	M	Message detail; Name of transmitting Party (ISO-3)
Record Number	RN	M	Message detail; Unique serial number starting at 1 each year for records sent from the FMC to (XNW) (See also Annex II.D.C)
Record Date	RD	M	Message detail; Year, month and day in UTC of the record transmission from the FMC
Record Time	RT	M	Message detail; Hours and minutes in UTC of the record transmission from the FMC
Type of Message	TM	M	Message detail; message types, ENT, POS or EXI <ul style="list-style-type: none"> <li>i. “ENT”, for first VMS position transmitted by each vessel upon entering the Regulatory Area as detected by the FMC of the Contracting Party;</li> <li>ii. “POS”, for every subsequent VMS position transmitted by each vessel from within the Regulatory Area;</li> <li>iii. “EXI”, for first VMS position transmitted by each vessel upon exiting the Regulatory Area as detected by the FMC of the Contracting Party;</li> </ul>
Radio call sign	RC	M	Vessel registration detail; international radio call sign of the vessel
Sequence Number	SQ	O	Message detail; Unique serial number starting at 1 each year for messages sent from a vessel to final destination (XNW) (See also Annex II.D.C)
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 ISO-3 flag State code followed by number
External Registration Number	XR	O	Vessel registration detail; the side number of the vessel
Latitude (decimal)	LT	M <sup>1</sup>	Activity detail; Latitude at the fixing of the position transmitted from the vessel
Longitude (decimal)	LG	M <sup>1</sup>	Activity detail; Longitude at the fixing of the position transmitted from the vessel
Speed	SP	M	Activity detail; Speed at the fixing of the position transmitted from the vessel
Course	CO	M	Activity detail; Course at the fixing of the position transmitted from the vessel
Date	DA	M	Message detail; UTC date of the fixing of the position transmitted from the vessel
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 for “EXI” messages



## 2) “Manual” Position Report

Format specifications when sending reports from FMC to NAFO (XNW) see also Annex II.D.A, II.D.B, II.D.C and II.D.D.1

Data Element	Field Code	Mandatory/ Optional	Remarks
Start record	SR	M	System detail; indicates start of record
Address	AD	M	Message detail; destination; “XNW” for NAFO
From	FR	M	Message detail; Name of transmitting Party (ISO-3)
Record Number	RN	M	Message detail; Unique serial number starting at 1 each year for records sent from the FMC to (XNW) (See also Annex II.D.C)
Record Date	RD	M	Message detail; Year, month and day in UTC of the record transmission from the FMC
Record Time	RT	M	Message detail; Hours and minutes in UTC of the record transmission from the FMC
Type of Message	TM	M	Message detail; message type; “MAN” for reports communicated by vessels with a defective satellite tracking device in accordance with Article 29.8.
Radio call sign	RC	M	Vessel registration detail; international radio call sign of the vessel
Sequence Number	SQ	O	Message detail; Unique serial number starting at 1 each year for messages sent from a vessel to final destination (XNW) (See also Annex II.D.C)
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 ISO-3 flag State code followed by number
External Registration Number	XR	O	Vessel registration detail; the side number of the vessel
Latitude	LA	M	Activity detail; Latitude at the fixing of the position transmitted from the vessel
Longitude	LO	M	Activity detail; Longitude at the fixing of the position transmitted from the vessel
Speed	SP	M	Activity detail; Speed at the fixing of the position transmitted from the vessel
Course	CO	M	Activity detail; Course at the fixing of the position transmitted from the vessel
Date	DA	M	Message detail; UTC date of the fixing of the position transmitted from the vessel
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

## Annex II.F

### Format for the Communication of Catches and Reports by Fishing Vessels, and when forwarded by Contracting Parties to the Executive Secretary

- 1) The sequence of messages that fishing vessels shall communicate electronically via the FMC to the Secretariat shall be as follows:

Report	Code	Requirements for the field
Catch on Entry	COE	6 hours in advance of the vessels entry into the RA.
Entry	ENT	The first position report from a vessel detected to be inside the RA.
Position	POS	Position report every hour
Catch	CAT	Reporting of catches; on a daily basis, for all species by Division.
Cross Boundary	COB	Reporting of catches; prior to crossing the boundary to 3L as appropriate.
Transshipment	TRA	Report on quantities to be on-loaded (receiving vessel) or off-loaded (donor vessel), for each transshipment.
Catch on Exit	COX	6 hours in advance of the vessels departure from the RA.
Exit	EXI	The first position report from a vessel detected to be outside the RA.
Port of Landing	POR	Report (receiving vessel) on catch onboard to be landed, for each landing after transshipment.



## 2) “Catch on ENTRY” report

Format specifications when sending reports from FMC to NAFO (XNW) see also Annex II.D.A, II.D.B, II.D.C and II.D.D.1

Data Element	Field Code	Mandatory/ Optional	Requirements for the field
Start record	SR	M	System detail; indicates start of record
From	FR	M	Message detail; Address of the transmitting party (ISO- 3)
Address	AD	M	Message detail; destination, “XNW” for NAFO
Record Number	RN	M	Message detail; Unique serial number starting at 1 each year for records sent from the FMC to (XNW) (See also Annex II.D.C)
Record Date	RD	M	Message detail; Year, month and day in UTC of the record transmission from the FMC
Record Time	RT	M	Message detail; Hours and minutes in UTC of the record transmission from the FMC
Type of Message	TM	M	Message detail; message type, “COE” as Catch on Entry report
Sequence Number	SQ	M	Message detail; Unique serial number starting at 1 each year for messages sent from a vessel to final destination (XNW) (See also Annex II.D.C)
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
Master Name	MA	M	Name of the master of vessel
External Registration Number	XR	O	Vessel registration detail; the side number of the vessel
Latitude	LA	M	Activity detail; Latitude at time of transmission
Longitude	LO	M	Activity detail; Longitude at time of transmission
Relevant Area	RA	M	NAFO Division into which the vessel is about to enter
Date	DA	M	Message detail; UTC date of transmission from vessel
Time	TI	M	Message detail; UTC time of transmission from vessel
On Board	OB	M	Activity detail; Total quantity by species on board rounded to the nearest 100 kg, upon entry in the RA. Allow for several pairs of fields, consisting of species (FAO 3 alpha codes) + live weight in kilograms (until 9 digits), with each field separated by a space, e.g. //OB/speciesspaceweightspacspeciesweightspacspeciesweight//
Observer on board	OO	M	Activity detail; “Yes” or “No”
End of record	ER	M	System detail; indicates end of the record

### 3) “Catch” report

Format specifications when sending reports from FMC to NAFO (XNW) see also Annex II.D.A, II.D.B, II.D.C and II.D.D.1

Data Element	Field Code	Mandatory Optional	Requirements for the field
Start record	SR	M	System detail; indicates start of record
Address	AD	M	Message detail; destination, “XNW” for NAFO
From	FR	M	Message detail; Address of the transmitting party (ISO-3)
Record Number	RN	M	Message detail; Unique serial number starting at 1 each year for records sent from the FMC to (XNW) (See also Annex II.D.C)
Record Date	RD	M	Message detail; Year, month and day in UTC of the record transmission from the FMC
Record Time	RT	M	Message detail; Hours and minutes in UTC of the record transmission from the FMC
Type of Message	TM	M	Message detail; message type, “CAT” as Daily Catch report
Radio call sign	RC	M	Vessel registration detail; international radio call sign of the vessel
Sequence Number	SQ	M	Message detail; Unique serial number starting at 1 each year for messages sent from a vessel to final destination (XNW) (See also Annex II.D.C)
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 ISO-3 flag State code followed by number
External Registration Number	XR	O	Vessel registration detail; the side number of the vessel
Relevant Area	RA	M	Activity detail; NAFO Division
Latitude	LA	M <sup>1</sup>	Activity detail; Latitude at time of transmission from the vessel
Longitude	LO	M <sup>1</sup>	Activity detail; Longitude at time of transmission from the vessel
Catch  species live weight	CA	M	Activity detail; Catch retained onboard by species and by Division since last CAT report in kilograms rounded to the nearest 100 kilograms. Allow for several pairs of fields, consisting of species (FAO 3 alpha codes)+live weight in kilograms (until 9 digits), with each field separated by a space, e.g.//CA/speciesspaceweightspacespecies spaceweightspacespecies spaceweightspace//



Data Element	Field Code	Mandatory Optional	Requirements for the field
Discarding  species live weight	RJ	M	Activity detail; Catch discarded by species and by Division since last CAT report, in kg rounded to the nearest 100 kg. Allow for several pairs of fields, consisting of species (FAO 3 alpha codes) + live weight in kilograms (until 9 digits), with each field separated by a space, e.g. //RJ/species space weight space species space weight space species space weight//
Chartering Flag	CH	M <sup>2</sup>	Flag of Chartering Contracting Party to which the catch must be allocated
Days Fished	DF	M <sup>3</sup>	Activity detail; number of fishing days in the Regulatory Area since last CAT report, as appropriate
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 the vessel is subject to satellite tracking in accordance with Article 29.1.

<sup>2</sup> Mandatory if fishing activity under chartering agreement.

<sup>3</sup> By default, the normal reporting period should be 1 day.



#### 4) “Catch on crossing Boundary” 3L report (for PRA)

Format specifications when sending reports from FMC to NAFO (XNW) see also Annex II.D.A, II.D.B, II.D.C and II.D.D.1

Data Element	Field Code	Mandatory/Optional	Requirements for the field
Start record	SR	M	System detail; indicates start of record
Address	AD	M	Message detail; destination, “XNW” for NAFO
From	FR	M	Message detail; Address of the transmitting party (ISO-3)
Record Number	RN	M	Message detail; Unique serial number starting at 1 each year for records sent from the FMC to (XNW) (See also Annex II.D.C)
Record Date	RD	M	Message detail; Year, month and day in UTC of the record transmission from the FMC
Record Time	RT	M	Message detail; Hours and minutes in UTC of the record transmission from the FMC
Type of Message	TM	M	Message detail; message type, “COB” for Cross Boundary Catch report
Radio call sign	RC	M	Vessel registration detail; international radio call sign of the vessel
Sequence Number	SQ	M	Message detail; Unique serial number starting at 1 each year for messages sent from a vessel to final destination (XNW) (See also Annex II.D.C)
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 ISO-3 flag State code followed by number
External Registration Number	XR	O	Vessel registration detail; the side number of the vessel
Relevant Area	RA	M	Activity detail; NAFO Division entering from
Latitude	LA	M <sup>1</sup>	Activity detail; Latitude at time of transmission from the vessel
Longitude	LO	M <sup>1</sup>	Activity detail; Longitude at time of transmission from the vessel



Data Element	Field Code	Mandatory/ Optional	Requirements for the field
Catch  species live weight	CA	M	Activity detail; Catch retained onboard by species and by Division since last CAT report in kilograms rounded to the nearest 100 kilograms. Allow for several pairs of fields, consisting of species (FAO 3 alpha codes)+live weight in kilograms (until 9 digits), with each field separated by a space, e.g. //CA/speciesspaceweightspacespecies spaceweightspace speciesspace weightspace//
Area of entry	AE	M	Activity detail; NAFO Division entering into
Catch  species live weight	OB	M	Activity detail; Total quantity by species on board rounded to the nearest 100 kg, upon crossing the 3L border. Allow for several pairs of fields, consisting of species (FAO 3 alpha codes) + live weight in kilograms (until 9 digits), with each field separated by a space, e.g. //OB/speciesspaceweightspace speciesspaceweightspacespecies spaceweight//
Days Fished	DF	M	Activity detail; number of fishing days in the Regulatory Area
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 the vessel is subject to satellite tracking in accordance with Article 29.1.

## 5) “TRANSHIPMENT” report

Format specifications when sending reports from FMC to NAFO (XNW) see also Annex II.D.A, II.D.B, II.D.C and II.D.D.1

Data Element	Field Code	Mandatory/ Optional	Requirements for the field
Start record	SR	M	System detail; indicates start of record
From	FR	M	Message detail; Address of the transmitting party (ISO-3)
Address	AD	M	Message detail; destination, “XNW” for NAFO
Record Number	RN	M	Message detail; Unique serial number starting at 1 each year for records sent from the FMC to (XNW) (See also Annex II.D.C)
Record Date	RD	M	Message detail; Year, month and day in UTC of the record transmission from the FMC
Record Time	RT	M	Message detail; Hours and minutes in UTC of the record transmission from the FMC
Type of Message	TM	M	Message detail; message type, “TRA” as Transhipment report
Sequence Number	SQ	M	Message detail; Unique serial number starting at 1 each year for messages sent from a vessel to final destination (XNW) (See also Annex II.D.C)
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
Name of Master	MA	O	Name of master of vessel
External Registration Number	XR	O	Vessel registration detail; the side number of the vessel
Quantity on-loaded or off-loaded  species live weight	KG	M	Quantity by species in the Regulatory Area on-loaded or off-loaded in kilograms rounded to the nearest 100 kilograms. Allow for several pairs of fields, consisting of species (FAO 3 alpha codes)+live weight in kilograms (until 9 digits), with each field separated by a space, e.g. //KG/speciesspaceweight spacespeciesspaceweight spacespeciesspaceweightspace//
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 transhipment



Data Element	Field Code	Mandatory/ Optional	Requirements for the field
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 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> Whichever one is appropriate

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

## 6) “Catch on EXIT” report

Format specifications when sending reports from FMC to NAFO (XNW) see also Annex II.D.A, II.D.B, II.D.C and II.D.D.1

Data Element	Field Code	Mandatory/ Optional	Requirements for the field
Start record	SR	M	System detail; indicates start of record
Address	AD	M	Message detail; destination, “XNW” for NAFO
From	FR	M	Message detail; Address of the transmitting party (ISO-3)
Record Number	RN	M	Message detail; Unique serial number starting at 1 each year for records sent from the FMC to (XNW) (See also Annex II.D.C)
Record Date	RD	M	Message detail; Year, month and day in UTC of the record transmission from the FMC
Record Time	RT	M	Message detail; Hours and minutes in UTC of the record transmission from the FMC
Type of Message	TM	M	Message detail; “COX” as Catch on Exit report
Sequence Number	SQ	M	Message detail; Unique serial number starting at 1 each year for messages sent from a vessel to final destination (XNW) (See also Annex II.D.C)
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
Master Name	MA	O	Name of master of vessel
ExternalRegistration Number	XR	O	Vessel registration detail; the side number of the vessel
Latitude	LA	O <sup>1</sup>	Activity detail; Latitude at time of transmission from the vessel
Longitude	LO	O <sup>1</sup>	Activity detail; Longitude at time of transmission from the vessel
Relevant Area	RA	M	NAFO area from which the vessel is about to exit



Data Element	Field Code	Mandatory/Optional	Requirements for the field
Catch  species live weight	CA	M	Activity detail; Catch retained onboard by species and by Division since last CAT report in kilograms rounded to the nearest 100 kilograms. Allow for several pairs of fields, consisting of species (FAO 3 alpha codes)+live weight in kilograms (until 9 digits), with each field separated by a space, e.g. //CA/speciesspaceweightspacspecies spaceweightspace species spaceweightspace//
Catch  species live weight	OB	M	Activity detail; Total quantity by species on board rounded to the nearest 100 kg, upon exit from the RA. Allow for several pairs of fields, consisting of species (FAO 3 alpha codes) + live weight in kilograms (until 9 digits), with each field separated by a space, e.g. //OB/speciesspaceweightspacspecies spaceweightspacspecies spaceweight//
Days Fished	DF	O	Activity detail; number of fishing days in the Regulatory Area
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 the vessel is subject to satellite tracking in accordance with Article 29.1.

## 7) “PORT OF LANDING” report

Format specifications when sending reports from FMC to NAFO (XNW) see also Annex II.D.A, II.D.B, II.D.C and II.D.D.1

Data Element	Field Code	Mandatory/ Optional	Requirements for the field
Start record	SR	M	System detail; indicates start of record
From	FR	M	Message detail; Address of the transmitting party (ISO-3)
Address	AD	M	Message detail; destination, “XNW” for NAFO
Record Number	RN	M	Message detail; Unique serial number starting at 1 each year for records sent from the FMC to (XNW) (See also Annex II.D.C)
Record Date	RD	M	Message detail; Year, month and day in UTC of the record transmission from the FMC
Record Time	RT	M	Message detail; Hours and minutes in UTC of the record transmission from the FMC
Type of Message	TM	M	Message detail; message type, “POR”
Sequence Number	SQ	M	Message detail; Unique serial number starting at 1 each year for messages sent from a vessel to final destination (XNW) (See also Annex II.D.C)
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
Name of Master	MA	O	Name of master of vessel
External Registration Number	XR	O	Vessel registration detail; the side number of the vessel
Latitude	LA	M <sup>1</sup>	Activity detail; Latitude at time of transmission
Longitude	LO	M <sup>1</sup>	Activity detail; Longitude at time of transmission
Coastal State	CS	M	Activity detail; Coastal State of Port of Landing
Name of Port	PO	M	Activity detail; name of Port for landing
Predicted Date	PD	M	Activity detail; estimated date UTC when the master intends to be in port (YYYYMMDD)



Data Element	Field Code	Mandatory/ Optional	Requirements for the field
Predicted Time	PT	M	Activity detail; estimated time UTC when the master intends to be in port (HHMM)
Quantity to be landed  species live weight	KG	M	Activity detail; Quantity by species in kilograms rounded to the nearest 100 kilograms, to be landed in a port. Allow for several pairs of fields, consisting of species (FAO 3 alpha codes)+live weight in kilograms (until 9 digits), with each field separated by a space, e.g. //KG/speciesspaceweightspacspeciespaceweightspacspeciespaceweightspace//
Quantity on board  species live weight	OB	M	Activity detail; Total quantity by species on board rounded to the nearest 100 kg, in advance of landing of the transhipped quantities. Allow for several pairs of fields, consisting of species (FAO 3 alpha codes) + live weight in kilograms (until 9 digits), with each field separated by a space, e.g. //OB/speciesspaceweightspacspeciespaceweightspacspeciespaceweightspacspeciespaceweight//
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.



## 8) “CANCEL” report

Format specifications when sending reports from FMC to NAFO (XNW) see also Annex II.D.A, II.D.B, II.D.C and II.D.D.1

Data Element	Field Code	Mandatory/ Optional	Requirements for the field
Start record	SR	M	System detail; indicates start of record
From	FR	M	Message detail; Address of the transmitting party (ISO-3)
Address	AD	M	Message detail; destination, “XNW” for NAFO
Record Number	RN	M	Message detail; Unique serial number starting at 1 each year for records sent from the FMC to (XNW) (See also Annex II.D.C)
Record Date	RD	M	Message detail; Year, month and day in UTC of the record transmission from the FMC
Record Time	RT	M	Message detail; Hours and minutes in UTC of the record transmission from the FMC
Type of Message	TM	M	Message detail; message type, “CAN <sup>1</sup> ” as Cancel report
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 of the report to be cancelled
Date	DA	M	Message detail; UTC date of transmission from the vessel <sup>2</sup>
Time	TI	M	Message detail; UTC time of transmission from the vessel <sup>2</sup>
End of record	ER	M	System detail; indicates end of the record

<sup>1</sup> Cancel report should not be used to cancel other Cancel report.

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



## Annex II.G

### Observer Report

Data Element	Code	Mandatory/ Optional	Requirements for the field
Start record	SR	M	System detail; indicates start of record
Address	AD	M	Message detail; destination, “XNW” for NAFO
Sequence Number	SQ	M	Message detail; message serial number in current year
Type of Message	TM	M	Message detail; message type, “OBR” as Observer report
Radio call sign	RC	M	Vessel registration detail; international radio call sign of the vessel
Fishing Gear	GE	M	Activity detail; FAO code for fishing gear
Directed Species <sup>6</sup>	DS	M	Activity detail; FAO species code
Mesh Size	ME	M	Activity detail; average mesh size in millimetres
Relevant Area	RA	M	Activity detail; NAFO Division
Daily Catches  species live weight	CA	M M	Activity detail; catch retained on board by species and by Division since last OBR report in kilograms rounded to the nearest 100 kilograms. Allow for several pairs of fields, consisting of species (FAO 3 alpha codes) + live weight in kilograms (until 9 digits), with each field separated by a space, e.g. //CA/speciesspaceweight spacespeciesspaceweightspacespeies spaceweight//
Discarding  species live weight	RJ	M <sup>1</sup>	Activity detail; Catch discarded by species and by Division since last OBR report, in kg rounded to the nearest 100 kg. Allow for several pairs of fields, consisting of species (FAO 3 alpha codes) + live weight in kilograms (until 9 digits), with each field separated by a space, e.g. //RJ/speciesspaceweightspacespecies spaceweightspacespeciesspaceweight//
Undersize  species live weight	US	M <sup>1</sup>	Activity detail; Undersize catch by species and by Division since last OBR report, in kg rounded to the nearest 100 kg. Allow for several pairs of fields, consisting of species (FAO 3 alpha codes) + live weight in kilograms (until 9 digits), with each field separated by a space, e.g. //US/speciesspaceweightspacespecies spaceweightspacespeciesspaceweight//
Logbook	LB	M	Activity detail; “Yes” or “No” <sup>2</sup>
Production	PR	M	Activity detail; code for the production. See Annex II.K
Hails	HA	M	Activity detail; observers verification if the reports made by the captain are correct, “Yes” or “No” <sup>3</sup>

Data Element	Code	Mandatory/ Optional	Requirements for the field
Apparent Infringements	AF	M	Activity detail; "Yes" or "No" <sup>4</sup>
Observer Name	ON	M	Message detail; name of the observer signing the report
Date	DA	M	Message detail; date of transmission
Free Text	MS	O <sup>5</sup>	Activity detail; for further comments by the observer
Time	TI	M	Message detail; time of transmission
End of record	ER	M	System detail; indicates end of the record

<sup>1</sup> Only to be transmitted if relevant.

<sup>2</sup> "Yes" if the observer approves the Logbook entries by the captain.

<sup>3</sup> "Yes" if the observer approves the Hails transmitted by the captain.

<sup>4</sup> "Yes" if an infringement is observed.

<sup>5</sup> Mandatory if "LB" = "No", or "HA" = "No", or "AF" = "Yes".

<sup>6</sup> Directed species is the species which represents the greatest catch for that day.



## Annex II.H Weekly Reports

Data to be compiled by Executive Secretary and Forwarded to  
Inspection Parties

### Catch and Catch Rate Report (Weekly)

Vessel Type	Division	Species	Total Catch	Total Effort	Catch Rate
With observer –masters					
With observer – observer					
Without observer					

### Bycatch Report (Weekly)

Vessel Type	Division	Species	Total Catch	Total Overall Catch	Bycatch %
With observer –masters					
With observer – observer					
Without observer					

### Discards Report (Weekly)

Vessel Type	Division	Species	Total catch	Total Discards	Discard %
With observer – masters					
With observer – observer					
Without observer					

## Annex II.I Fishing Vessel Codes

### A. Main 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
ZOT	Temporary Fish Research Vessel	NB	Lift netter tender
DRN	Driftnetter	NO	Lift netter
VOS	Support vessel	VOB	Bunker
VOX	Other non-fishing vessels		

NEI = Not Elsewhere Identified

### 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



## Annex II.J

### Gear Codes

Gear Categories	Standard Abbreviation Code	Gear Categories	Standard Abbreviation Code
<b>SURROUNDING NETS</b>		<b>GILL NETS AND ENTANGLING NETS</b>	
With purse lines (purse seines)	PS	Set gill nets (anchored)	GNS
One boat operated purse seines	PS1	Drift nets	GND
Two boat operated purse seines	PS2	Encircling gill nets	GNC
Without purse lines (lampara)	LA	Fixed gill nets (on stakes)	GNF
<b>SEINE NETS</b>	SB	Trammel nets	GTR
Boat or vessel seines	SV	Combined gill nets-Trammel nets	GTN
Danish seines	SDN	Gill nets and entangling nets (not specified)	GEN
Scottish seines	SSC	Gill nets (not specified)	GN
Pair seines	SPR	<b>TRAPS</b>	
Seine nets (not specified)	SX	Pots	FPO
<b>TRAWLS</b>		Stationary uncovered pound-nets	FPN
Bottom trawls		Fyke nets	FYK
Beam trawls	TBB	Stow nets	FSN
Otter trawls <sup>1</sup>	OTB	Barriers, fences, weirs, etc.	FWR
Pair trawls	PTB	Aerial traps	FAR
Nephrops trawls	TBN	Traps (not specified)	FIX
Shrimp trawls	TBS	<b>HOOKS AND LINES</b>	
Bottom trawls (not specified)	TB	Hand-lines and pole-lines (hand operated) <sup>2</sup>	LHP
Midwater trawls		Hand-lines and pole-lines (mechanized) <sup>2</sup>	LHM
Otter trawls	OTM	Set lines (longlines set)	LLS
Pair trawls	PTM	Drifting longlines	LLD
Shrimp trawls	TMS	Longlines (not specified)	LL
Midwater trawls (not specified)	TM	Trolling lines	LTL
Otter twin trawls	OTT	Hooks and lines (not specified) <sup>3</sup>	LX
Otter shrimp twin trawls	OTS	<b>GRAPPLING AND WOUNDING</b>	
Otter trawls (not specified)	OT	Harpoons	HAR
Pair trawls (not specified)	PT	<b>HARVESTING MACHINES</b>	
Other trawls (not specified)	TX	Pumps	HMP
<b>DREDGES</b>		Mechanized dredges	HMD
Boat dredges	DRB	Harvesting machines (not specified)	HMX
Hand dredges	DRH	<b>MISCELLANEOUS GEAR<sup>4</sup></b>	MIS
<b>LIFT NETS</b>		<b>RECREATIONAL FISHING GEAR</b>	RG
Portable lift nets	LNP	<b>GEAR NOT KNOWN OR NOT SPECIFIED</b>	NK
Boat operated lift nets	LNB		
Shore operated stationary lift nets	LNS		
Lift nets (not specified)	LN		
<b>FALLING GEAR</b>			
Cast nets	FNC		
Falling Gear (not specified)	FG		

<sup>1</sup> Fisheries agencies may indicate side and stern bottom and side and stern midwater trawls, as OTB-1 and OTB-2, and OTM-1 and OTM-2, respectively.

<sup>2</sup> Including jigging lines.

<sup>3</sup> Code LDV for dory operated line gears will be maintained for historical data purposes.

<sup>4</sup> This item includes: hand and landing nets, drive-in-nets, gathering by hand with simple hand implements with or without diving equipment, poisons and explosives, trained animals, electrical fishing.

## Annex II.K

### Product Form Presentation 3-Alpha Codes

3-Alpha Code	Presentation	Description
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
FIL	Filletted	HEA + GUT + TLD + bones off Each fish originates two fillets not joined by any par
FIS	Filletted and skinned fillets	FIL+SKI Each fish originates two fillets not joined by any part
FSB	Filletted with skin and bones	Filletted with skin and bones on
FSP	Filletted skinned with pinbone on	Filletted 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
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
LVR	Liver	Liver only
OTH	Other	Any other presentation
ROE	Roe (s)	Roe(s) only
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
TLD	Tailed	Tail off
TNG	Tongue	Tongue only
TUB	Tube only	Tube only (Squid)
WHL	Whole	No processing
WNG	Wings	Wings only



**Annex II.L**  
**Port State Control Prior Request Forms**  
**A-PSC-1**

[illegible]



PORT STATE CONTROL FORM – PSC 2									
<b>PART A: To be completed by the Master of the Vessel. A separate form shall be completed for each donor vessel. Please use black ink.</b>									
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 dimensions:	Length (m):		Beam (m):		Draft (m):				
Port State:			Port of Landing or Transshipment:						
Reason for Port Entry		Landing: (y/n)	Transshipment: (y/n)		Other: (y/n)				
Last port of call:		Date:							
Date and location of transhipment:			Transshipment authorization if relevant:						
Estimated Date of Arrival:			Estimated Time (UTC) of Arrival:						
Frozen products only		Fresh products only		Fresh and frozen products					
<b>Catch Information for Donor Vessels *A separate form shall be completed for each Donor Vessel*</b>									
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>	Area of catch NEAFC CA (ICES subareas and divisions)	NAFO RA (Sub Division)	Other areas	Conversion factor	Product weight (kg)	Product weight (kg)		
<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"						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									
<b>Flag State confirmation: I confirm that the above information is complete, true and correct to the best of my knowledge and belief.</b>									
Name and Title:							Date:		
Signature:					Official Stamp:				
<b>PART C: For official use only - to be completed by the Port State</b>									
<b>Note: NEAFC Port State Authorization to use port for landing, transshipment, or other</b>									
Name of Port State:									
Authorisation:		Yes:		No:		Date:			
Signature:				Official Stamp:					

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

<sup>2</sup> If necessary an additional form or forms shall be used

<sup>3</sup> FAO Species Codes – NEAFC Annex V - NAFO Annex II

<sup>4</sup> Product presentations – NEAFC Appendix 1 to Annex IV – NAFO Annex II.K

## Annex II.M Standardized Observer Report Template

### Part 1. Fishing Trip and Gear Information

#### 1A. Fishing Trip

Vessel Call Sign	
Vessel Name	
Flag State	
Trip Number	
Fishing Master's Name	
Number of Crew	
Observer's Name	
Observation Date Started	
Observation Date Ended	
Date of Report	
Vessel Length (m)	
Vessel Type	
Vessel Gross Tonnage	
Engine Power (indicate HP or KW)	
Frozen Hold Capacity (m3)	
Fish Meal Hold Capacity (m3)	
Other Hold Capacity (m3)	
Directed Species	
NAFO Division/s Visited	
Date of Entry into NRA	
Date of Exit from NRA	
Port of Landing	
Other Area/s Visited	
Comments	

1B. Trawl Gear Information

Trawl Gear Information													
Gear #	Gear Type	Gear Make	Mesh Size (mm)										
			Wings			Body			Lengthening Piece			Codend	
			High	Low	Average	High	Low	Average	High	Low	Average	High	Low

[illegible]

Part 3. Compliance Information

Enter observation on:

1) Discrepancies between logbook entries and observer’s estimates.

2) Functional of satellite tracking device.

3) Any other observation.

Part 4. Effort and Catch Summary

4A. Effort Summary

Effort Summary Table									
NAFO Division	Gear #	Directed Species	Date		# of hauls	Depth (m)		# Hours fished	# Fishing Days
			Start	Finish		Minimum	Maximum		

4B. Catch Summary

Trip Catch Summary (catch by Division and Species)				
NAFO Division	Species	Catch (kg)		
		Retained	Discarded	Total

Part 5. Length Frequency Form

Length Frequency		Trip Number:	
Species Code:		Tow/Set/Haul #:	
Sample Type:		Measure Type:	
Meas. Convention		Total Measured:	
Sample Wt.:		Catch Weight:	
Gear Type:		Gear Number:	
sex:		sex:	

Tally	#	Tally	#
0		0	
1		1	
2		2	
3		3	
4		4	
5		5	
6		6	
7		7	
8		8	
9		9	
0		0	
1		1	
2		2	
3		3	
4		4	
5		5	
6		6	
7		7	
8		8	
9		9	
0		0	
1		1	
2		2	
3		3	
4		4	
5		5	
6		6	
7		7	
8		8	
9		9	
0		0	
1		1	
2		2	
3		3	
4		4	

## Annex II.N Fishing Logbook Information by Haul

[illegible]

## **ANNEX III – GEAR**

### **Annex III.A**

#### **Mesh Measurements and Gauges**

##### **1. Description of mesh gauges**

- (a) A mesh gauge to be used for determining mesh sizes shall be 2 mm thick, flat, of durable material and non-deformable. It shall be designed either as a number of parallel-edged sides connected by tapering edges with a taper of 1:8 on each side or only tapering edges with the taper defined above. The mesh gauge shall have a hole at the narrowest extremity.
- (b) The face of the mesh gauge shall be inscribed with the width in millimetres both on the parallel-sided section, if this design is used and on the tapering section. In the case of the latter, the width shall be inscribed for every interval of 1mm and the width shall be indicated at regular intervals.

##### **2. Use of the mesh gauge**

- (a) The net shall be kept stretched so that the meshes are stretched in the direction of the long diagonal.
- (b) The tapered end of the mesh gauge described in point 1 shall be inserted into the mesh opening in a direction perpendicular to the netting along the long axis of the net.
- (c) The gauge shall be inserted into the mesh opening either manually or using a weight until the mesh gauge is stopped by the resistance of the mesh at the tapering edges.

##### **3. Selection of meshes for measuring**

- (a) The meshes to be measured shall form a series of 20 consecutive meshes selected in the direction of the long axis of the net.
- (b) Meshes positioned less than 50 cm from lacings, ropes and codlines shall not be measured. This distance shall be measured perpendicular to the lacings, the ropes or the codline with the net stretched in the direction of measuring. Any mesh that has been mended or torn or to which attachments to the net are fixed shall not be measured.
- (c) By way of derogation from 3a), the meshes to be measured need not be consecutive if this is prevented by the application of 3b).
- (d) Nets shall be measured only when wet and non-frozen.

##### **4. Sizes of individual meshes**

- (a) The size of a mesh shall be equal to the width of the gauge inscribed at the point where the gauge is stopped when used in accordance with point 2.
- (b) The sides of a mesh shall be accepted as being of the same length if, when measured, the two knots that keep the mesh together in the lateral direction appear to be off the centre of the mesh gauging device.



**5. Determination of the mesh size of a net**

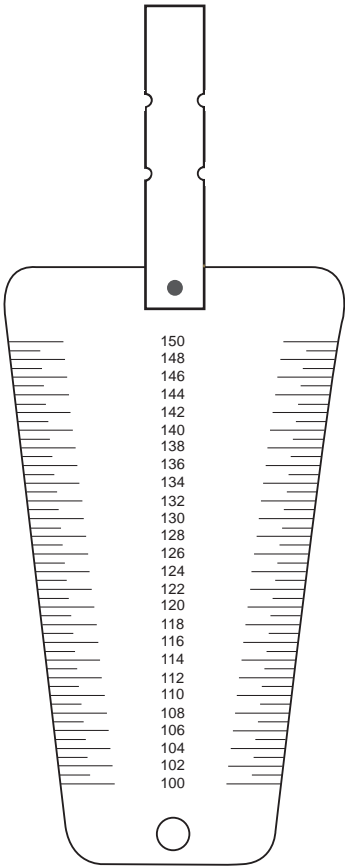
- (a) The mesh size of a net shall be expressed in mm as the average of the sizes of the total number of meshes selected and measured according to points 3 and 4. The average value shall be rounded up to the next full number of millimetres.
- (b) The total number of meshes to be measured is specified in point 6.

**6. Mesh gauging procedure**

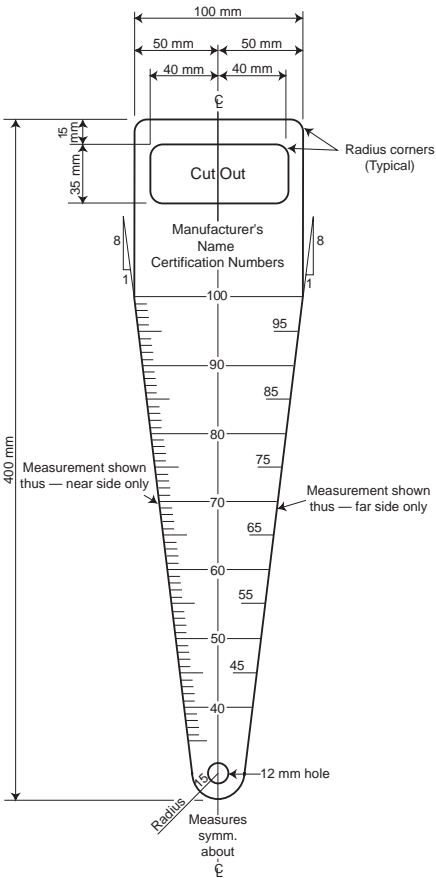
- (a) Only meshes which have 4 sides, equally long, of the same material, and 4 permanent joints or knots are permitted.
- (b) Mesh size shall be calculated by averaging:
  - in respect of the codend of a net, including any lengthener(s), the measurements, in millimetres, of any 20 consecutive meshes running parallel to the long axis of the codend, beginning at the after end of the codend, and at least 10 meshes from the lacings; and
  - in respect of any part of a net, the measurements, in millimetres, of any 20 consecutive meshes that are at least 10 meshes from the lacings.



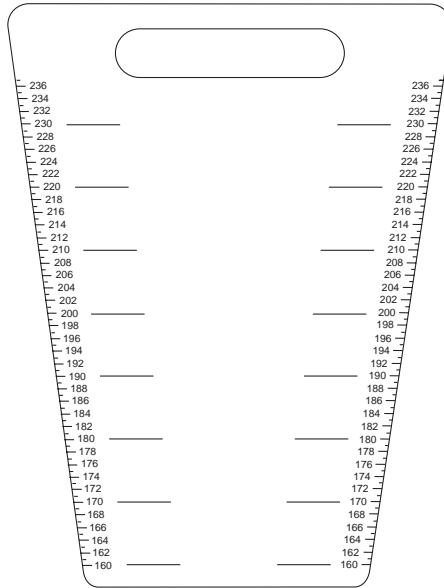
Example of Large Size Gauge



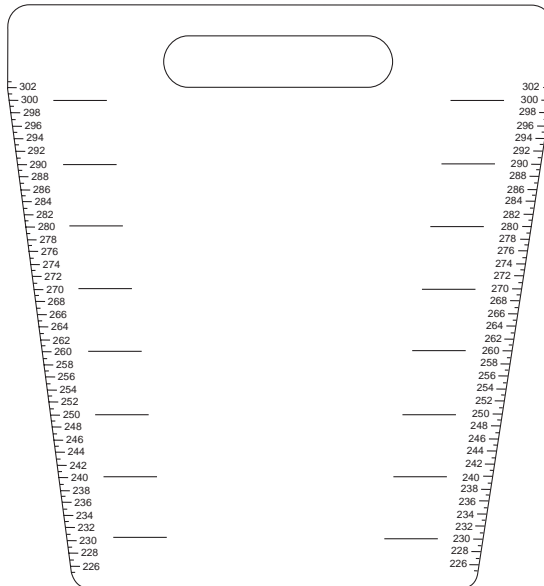
Example of Small Size Gauge



## Example of Skate Gauges



160-236 mm



226-302 mm



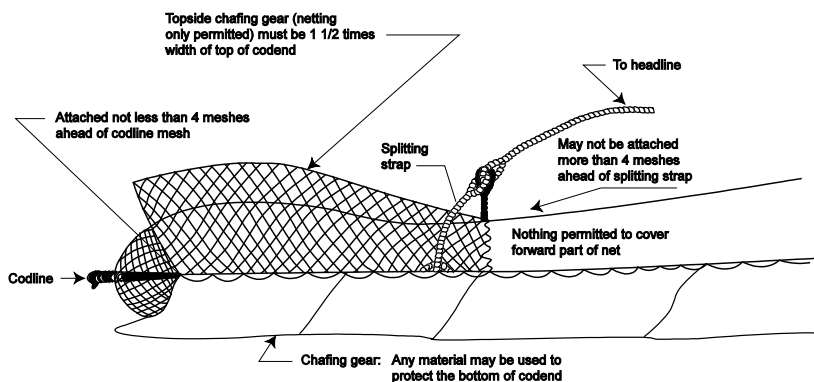
## Annex III.B

### Authorized Topside Chafers/Shrimp Toggle Chains

#### 1. ICNAF-type topside chafer

The ICNAF-type topside chafer is a rectangular piece of netting to be attached to the upper side of the codend of the trawl net to reduce and prevent damage so long as such netting conforms to the following conditions:

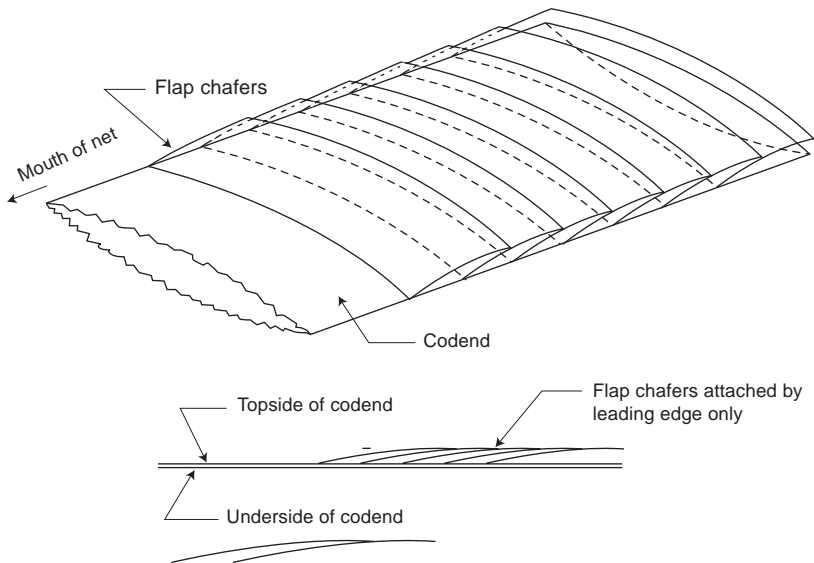
- (a) this netting shall have a mesh size not less than that specified for the codend in Article 13;
- (b) this netting may be fastened to the codend only along the forward and lateral edges of the netting and at no other place in it, and shall be fastened in such a manner that it extends forward of the splitting strap no more than four meshes and ends not less than four meshes in front of the cod line mesh; where a splitting strap is not used, the netting shall not extend to more than one-third of the codend measured from not less than four meshes in front of the cod line mesh;
- (c) the width of this netting shall be at least one and a half times the width of the area of the codend which is covered, such widths to be measured at right angles to the long axis of the codend.



## 2. Multiple flap-type topside chafer

The multiple flap-type topside chafer is defined as pieces of netting having in all their parts meshes the size of which, whether the pieces of netting are wet or dry, is not less than that of the codend, provided that:

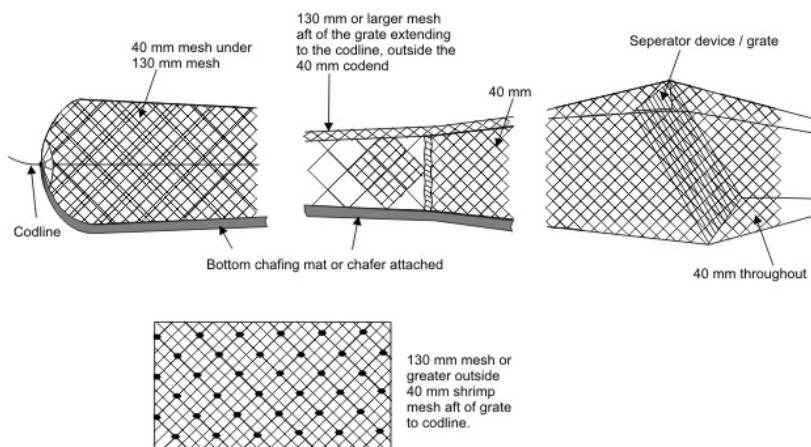
- (i) each piece of netting
  - (a) is fastened by its forward edge only across the codend at right angles to its long axis;
  - (b) is of a width of at least the width of the codend (such width being measured at right angles to the long axis of the codend at the point of attachment); and
  - (c) is not more than ten meshes long; and
- (ii) the aggregate length of all the pieces of netting so attached does not exceed two-thirds of the length of the codend.



### 3. Shrimp Trawl – Codend Strengthening Bag, for vessels directing for shrimp in the NRA

A strengthening bag is defined as an outer covering of netting that can be used on a shrimp trawl to protect and provide strength to the codend of the shrimp trawl.

- (a) Vessels shall not use a strengthening bag of which the mesh size is less than 130 millimetres.
- (b) The strengthening bag shall not extend forward of the sorting grids or grates or obstruct the sorting grids or grates in any way.
- (c) A strengthening bag shall not be attached in any way that restricts the authorized mesh or obstructs the mesh opening.
- (d) Vessels shall not use a strengthening bag with any other top-side chafers simultaneously.



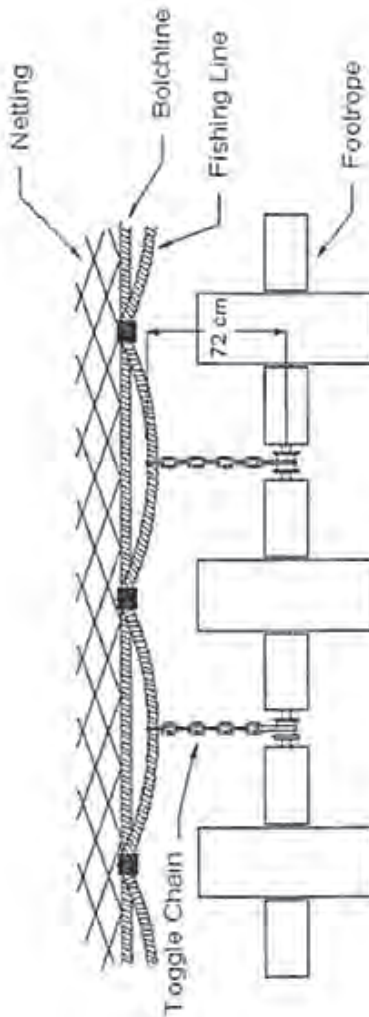
## Shrimp Toggle Chains

Toggle chains are chains, ropes, or a combination of both, which attach the footrope to the fishing line or bolchline at varying intervals.

The terms “fishing line” and “bolchline” are interchangeable. Some vessels use one line only; others use both a fishing line and a bolchline as shown in the sketch.

The toggle chain length should be measured from the centre of the chain or wire running through the footrope (centre of footrope) to the underside of the fishing line.

The attached sketch shows how to measure the toggle and chain length.



**ANNEX IV – INSPECTION**  
**Annex IV.A**  
**Surveillance Report Form**

**1. OFFICIAL**

Name	
Document Identity	
Contracting Party	

**2. CONTEXT OF SIGHTING**

Aerial sightings	Identification/Call Sign of the Surveillance aircraft	
	Patrol commenced in NRA at position	(Lat/Long) (date/time UTC)
	Patrol terminated in NRA at position	(Lat/Long) (date/time UTC)
	Equipment used in Determining Position	
	Weather Conditions	Wind Direction/Speed Sea State Visibility
Non-aerial sightings	Port/place of First Identification	(Lat/Long)
	Position when First Identification	
	Date/Time-UTC of First Identification	

**3. VESSEL SIGHTED**

Contracting Party	
Vessel Name, International Radio Call Sign (IRCS), Side Number, IMO Number	
Other Identification Features (Type of vessel, Color of hull, Superstructure, etc)	
Vessel Activity	
Fishing Gear used	
Course and Speed	

**4. DETAILS OF IMAGES RECORDED (must be provided consistent with the CEM)**

Image Number	Date and Time	Position	Fishing Vessel Activity	Comments
1.				
2.				
3.				

**5. DETAILS OF OBSERVATIONS**

Reason for suspecting an offense to the NAFO CEM	
Method used to evaluate the volume of catch observed	
Method used to evaluate the catch composition observed	
Other	

Date

Name of Official:

Signature of the official





## Annex IV.B Report of Inspection

THE NORTHWEST ATLANTIC FISHERIES ORGANIZATION

(Inspector: Please use CAPITAL BLOCK LETTERS in BLACK PEN)

### 1. ASSIGNED INSPECTION VESSEL

1.1 NAME	
1.2 REGISTRATION	
1.3 International Radio Call Sign (IRCS)	
1.4 Port of registry	

### 2. AUTHORIZED INSPECTOR(s)

NAME	CONTRACTING PARTY

### 3. TRAINEE INSPECTOR

NAME	CONTRACTING PARTY

### 4. INFORMATION ON VESSEL INSPECTED

Contracting Party and Port of Registry	
Vessel name	
External number	
IMO Number	
International Radio Call Sign (IRCS)	
Owner's name and address	
Time/Position as determined by the inspection vessel	UTC      Lat      Long
Time/Position as determined by the master of the inspected vessel	UTC      Lat      Long
Master's Name and Address	

### 5. DATE AND TIMES THE INSPECTION COMMENCED AND FINISHED

DATE	
TIME OF ARRIVAL ON BOARD (UTC)	
TIME OF DEPARTURE (UTC)	
POSITION AT DEPARTURE	Lat      Long

### 6. VERIFICATION

Vessel Documentation	Checked Y/N
Certified Drawings or description of fish room and freezers kept on board:	Checked Y/N
Accurate Up to date Stowage Plan kept on board:	Checked Y/N
Vessel quota by stock area	
Observation by the inspectors, if any:	



7. DATE OF LAST SEA INSPECTION:

8. REPORTING OF VESSEL MOVEMENTS/VMS

8.1 FISHING TRIP	First day fished in the RA	Last Position Communicated
DATE		
TIME (UTC)		
LATITUDE		
LONGITUDE		
DAYS in NAFO RA		

8.2 REPORTS/VMS	
VMS transponder installed	Checked Y/N
VMS system operative	Checked Y/N
Are reports communicated (If Yes, note:)	Checked Y/N

9. RECORDING OF FISHING EFFORT AND CATCHES

Fishing Logbook	Checked Y/N
Indicate if Fishing logbook is:	Electronic / Paper
Are recordings made in accordance with Article 28 & Annex IIA:	Checked Y/N
If not, indicate the inaccurate or missing recording (s):	

10. OBSERVER SCHEME

Is there an Observer present on the vessel:	Y/N
Observer's name:	
Observer Contracting Party:	

11. MESH MEASUREMENT - IN MILLIMETERS

11.1 Type of Net:

Codend (inclusive of lengthener(s), if any) - Samples of 20 meshes 100 mm+ \_\_\_\_\_+:

	Width (Mesh Size)																Average Width	Legal Size
1 <sup>st</sup> Net																		
2 <sup>nd</sup> Net																		
3 <sup>rd</sup> Net																		
4 <sup>th</sup> Net																		

Chafer - Samples of \_\_\_\_ meshes

1 <sup>st</sup> Net																		
2 <sup>nd</sup> Net																		
3 <sup>rd</sup> Net																		
4 <sup>th</sup> Net																		

[illegible][illegible]

### 13. RESULT OF INSPECTION OF FISH

## 13.1 Catches Observed IN THE LAST TOW (if appropriate)

[illegible]

### 13.2 Catches ON BOARD

[illegible]

#### 14. RESULT OF INSPECTION OF FISH ON BOARD

### 14.1 Difference from Logbooks

Comment in the case of a difference between the inspector's estimates of the catches on board and the related summaries of catches from the logbooks, note this difference with the percentage

CEM REFERENCE	NATURE OF INFRINGEMENTS	SEALS AFFIXED (serial number)

I acknowledge being informed about the alleged infringements and, if applicable, the placement of seals to secure evidence

DATE:

SIGNATURE of MASTER

Documents inspected following an infringement
Comments, statements and/or observations by Inspector(s)
Statement of Master's witness(es)
Statements of Second Inspector or Witness

**19. ACKNOWLEDGEMENT AND RECEIPT OF REPORT BY THE MASTER (additional pages can be added as necessary)**

Comments by the Master of vessel

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I, the undersigned, Master of the vessel....., hereby confirm that a copy of this report has been delivered to me on this date. My signature does not constitute acceptance of any part of the contents of the report.

DATE SIGNATURE



<sup>4</sup> FAO Species Codes – NEAFC Annex V - NAFO Annex I.C  
<sup>5</sup> Product presentations – NEAFC Appendix 1 to Annex IV – NAFO Annex II.K

<b>E. INFRINGEMENTS AND FOLLOW-UP</b>			
<b>E1. NAFO</b>			
<b>E.1.A At Sea Inspection</b>			
<b>Infringements resulting from inspections inside NAFO R.A.</b>			
<b>Inspection Party</b>	<b>Date of inspection</b>	<b>Division</b>	<b>NAFO CEM infringement legal reference</b>
<b>E.1B 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	
<b>E2. NEAFC INFRINGEMENT NOTED</b>			
Article	NEAFC provision(s) violated and summary of pertinent facts		
<b>Observations:</b>			
<b>Inspectors Name</b>		<b>Inspectors Signature</b>	<b>Date and Place</b>
<b>F. DISTRIBUTION</b>			
Copy to flag State	Copy to NEAFC Secretary	Copy to NAFO Executive Secretary	




## Annex IV.D Document of Identity

### INSPECTOR'S/TRAINEE'S DOCUMENT OF IDENTITY

(not smaller than 8.5 cm x 5.5 cm).

#### Front

Northwest Atlantic Fisheries  
Organization




Identity Card


Inspector

Photograph

#### Back



COMMISSION



The bearer of this document

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is an **inspector** duly appointed under the terms of the Scheme of Joint International Inspection and Surveillance of the Commission of the Northwest Atlantic Fisheries Organization, and has authority to act under the provisions of the NAFO Conservation and Enforcement Measures.

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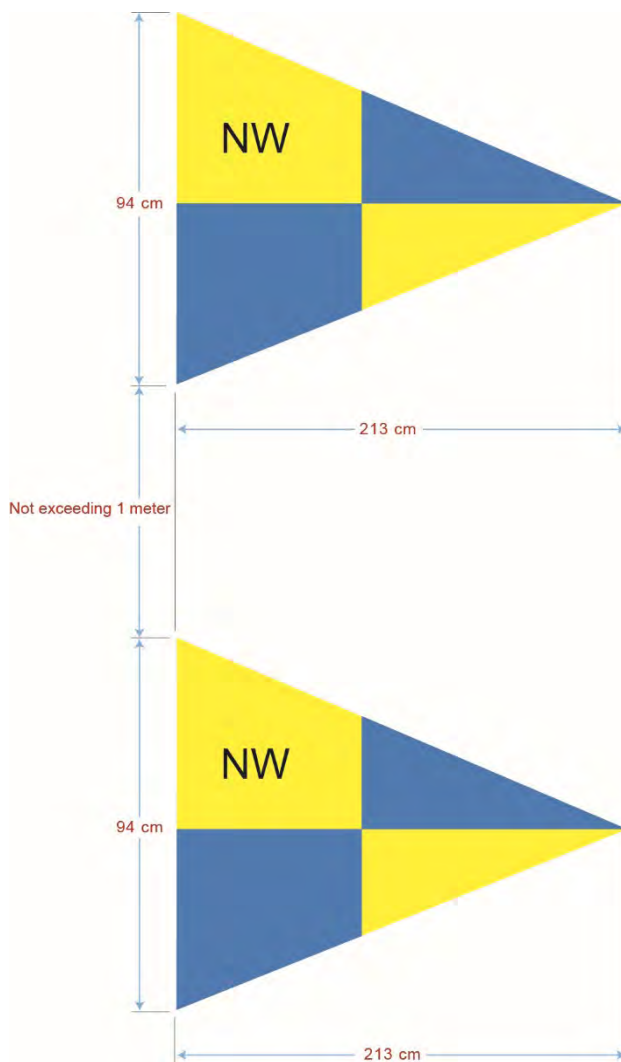
Signature (Executive Secretary)

NAFO Member:  
No.



## Annex IV.E

### NAFO Inspection Pennants



Pennants to be displayed by a NAFO inspection vessel. A boarding vessel shall display one pennant, which may be half-size.

## Annex IV.F NAFO Inspection Seal



**NAFO Inspection Seal**



**Top View**



**Side View**

**The NAFO Inspection Seal shall be as follows:**

Name	NAFO INSPECTION SEAL
Mark.....	"NAFO Inspection No. of six digits"
Material .....	polyethylene recyclable
Colour.....	orange
Melt index.....	6.70 + .60 (by international standard)
Density.....	953 + .003 (by international standard)
Breaking point (load).....	min. 45 kg (t° 20°C)

## **Annex IV.G**

### **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 IV.H**

### **Principles for Inspections**

Inspectors shall:

- (a) verify, to the extent possible, that the vessel identification documentation on board 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) review all other relevant documentation and records held onboard, including, to the extent possible, those in electronic format and vessel monitoring system (VMS) data from the flag State or RFMOs. Relevant documentation may include logbooks, catch, transshipment and trade documents, data collected by the observer on board, 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;
- (d) verify, to the extent possible, that the authorizations for fishing activities are true, complete, correct and consistent with the information provided in accordance with the CEM provisions including, but not limited to, Articles 25, 44, 45 and 51;
- (e) determine, to the extent possible, whether any fishery resources on board were harvested in accordance with applicable authorizations for the vessel;
- (f) examine any fishery resources on board the vessel, including by sampling, to determine its quantity and composition. In doing so, inspectors may open containers where the fishery resources have 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;
- (g) examine, to the extent possible, all relevant fishing gear onboard, including any gear stowed out of sight as well as related devices, and to the extent possible, verify that they are in conformity with the conditions of the authorizations. The fishing gear shall, to the extent possible, 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;

- (h) evaluate whether there is clear evidence for believing that a non-Contracting Party vessel has engaged in IUU fishing activities; and
- (i) arrange, where necessary and possible, for translation of relevant documentation.

Additionally inspections shall be conducted in a fair, transparent and non-discriminatory manner and shall not constitute harassment of any vessel. Inspectors shall not interfere with the Master's ability to communicate with the authorities of the flag State Contracting Party.

