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ANNEX 1

**ANNEX**

**to the  
COMMISSION DELEGATED REGULATION (EU) .../...  
of XXX  
supplementing Regulation (EU) No 508/2014 of the European Parliament and of the  
Council on the European Maritime and Fisheries Fund as regards the criteria for  
establishing the level of financial corrections and for applying flat rate financial  
corrections, and amending Commission Regulation (EC) No 665/2008**

## ANNEX

Cases of non-compliance <sup>1</sup>		Range of flat rates
<b>Category 1: Failure to contribute to the objectives of the Common Fisheries Policy as set out in Article 2(2) of the Regulation (EU) No 1380/2013 that are essential to the conservation of marine biological resources</b>		
1.1	Failure to ensure that fishing opportunities allocated to the Member State pursuant to Articles 16-17 of Regulation (EU) No 1380/2013 are respected	25-100%
1.2	Failure to meet requirements set out in different types of conservation measures as listed in Article 7 of the Regulation (EU) No 1380/2013	10-100%
<b>Category 2: Failure to meet international obligations on conservations</b>		
2.1	Failure to meet obligations deriving from Article 28 of Regulation (EU) No 1380/2013	10-100%
<b>Category 3: Failure to ensure that the fleet is in balance with the natural resources</b>		
3.1	Failure to submit the report on the balance between the fishing capacity of the fleet and the fishing opportunities that complies with all the requirements of Article 22(2) of Regulation (EU) No 1380/2013;	5-25%
3.2	Failure to implement the action plan pursuant to Article 22(4) of Regulation (EU) No 1380/2013, if such a plan is included into the report submitted annually;	5-25%
3.3	Failure to ensure that in case of fishing capacity withdrawn by public finances, respective fishing licences and authorisations are withdrawn in advance and the capacity is not replaced as referred to in Articles 22(5) and 22(6) of Regulation (EU) No 1380/2013;	10-50%
3.4	Failure to ensure that the fishing capacity does not exceed at any time the ceilings set out in Article 22(7) and Annex II to Regulation (EU) No 1380/2013;	10-50%
3.5	Failure to implement the entry/exit scheme pursuant to the requirements of Article 23 of Regulation (EU) No 1380/2013;	10-25%
3.6	Failure to manage the fishing fleet register in compliance with Article 24 of Regulation (EU) No 1380/2013 and Commission Regulation (EC) No 26/2004 <sup>2</sup> ;	10-50%

<sup>1</sup> As defined pursuant to Article 102 of Regulation (EU) No 508/2014 of the European Parliament and of the Council of 15 May 2014 on the European Maritime and Fisheries Fund and repealing Council Regulations (EC) No 2328/2003, (EC) No 861/2006, (EC) No 1198/2006 and (EC) No 791/2007 and Regulation (EU) No 1255/2011 of the European Parliament and of the Council (OJ L 149, 20.5.2014, p. 1).

**Category 4: Failure to implement the Community framework for the collection, management and use of data in line with Article 25 of Regulation (EU) No 1380/2013 as further specified in Regulation (EC) No 199/2008<sup>3</sup> that result in a lack of information on natural resources**

4.1	Failure to collect and manage biological, environmental, technical and socio-economic data necessary for fisheries management as set out in Articles 4, 13 and 17 of Regulation (EC) No 199/2008;	5-25%
4.2	Failure to submit annually a report on execution of national data collection programmes and to make this report publicly available as set out in Article 7 of Regulation (EC) No 199/2008;	5-10%
4.3	Failure to ensure a national coordination of the collection and management of scientific data for fisheries management as set out in Article 4 of Regulation (EC) No 199/2008;	5%
4.4	Failure to coordinate data collection activities with other Member States in the same region as set out in Article 5 of Regulation (EC) No 199/2008;	5-25%
4.5	Failure to provide data in a timely manner to end-users in accordance with Articles 18 to 20 of Regulation (EC) No 199/2008;	5-25%

**Category 5: Failure to operate an effective control and enforcement system**

5.1	Failure to respect the general principles of control and enforcement in accordance with Title II of Council Regulation (EC) No 1224/2009 <sup>4</sup> ;	10-50%
5.2	Failure to ensure that the general conditions for access to waters and resources in accordance with Title III of Regulation (EC) No 1224/2009 are respected;	10-50%
5.3	Failure to control the marketing in order to ensure effective traceability of fisheries and aquaculture products, in accordance with Title V of Regulation (EC) No 1224/2009;	10-50%
5.4	Failure to carry-out effective surveillance and inspections, and to ensure systematic and adequate enforcement action in respect of any breaches of the rules of the CFP, in accordance with Titles VI, VII and VIII of Regulation (EC) No 1224/2009;	10-50%
5.5	Failure to establish and implement National Control Action Programmes according to Article 46 of Regulation (EC) No 1224/2009 and, when relevant, to carry out specific control and inspection programmes established by the Commission in accordance with Title IX of that	10-50%

<sup>2</sup> Commission Regulation (EC) No 26/2004 of 30 December 2003 on the Community fishing fleet register (OJ L 5, 9.1.2004, p. 25).

<sup>3</sup> Council Regulation (EC) No 199/2008 of 25 February 2008 concerning the establishment of a Community framework for the collection, management and use of data in the fisheries sector and support for scientific advice regarding the Common Fisheries Policy (OJ L 60, 5.3.2008, p.1).

<sup>4</sup> Council Regulation (EC) No 1224/2009 of 20 November 2009 establishing a Community control system for ensuring compliance with the rules of the common fisheries policy, amending Regulations (EC) No 847/96, (EC) No 2371/2002, (EC) No 811/2004, (EC) No 768/2005, (EC) No 2115/2005, (EC) No 2166/2005, (EC) No 388/2006, (EC) No 509/2007, (EC) No 676/2007, (EC) No 1098/2007, (EC) No 1300/2008, (EC) No 1342/2008 and repealing Regulations (EEC) No 2847/93, (EC) No 1627/94 and (EC) No 1966/2006 (OJ L 343, 22.12.2009, p. 1).

	Regulation;	
5.6	Failure to cooperate with the Commission in order to facilitate the accomplishment of the Commission officials tasks during their missions of verification autonomous inspections and audits in accordance with Title X of Regulation (EC) No 1224/2009;	5-50%
5.7	Failure to implement the measures decided by the Commission to ensure compliance by Member States with CFP objectives, such as action plans and any other measures in accordance with Title XI of Regulation (EC) No 1224/2009;	10-50%
5.8	Failure to meet the requirements as regards analysis, validation, access and exchange of data and information, in accordance with Title XII of Regulation (EC) No 1224/2009;	5-25%
5.9	Failure to control the implementation of an effective catch certificate scheme also provided for in Chapter III of Regulation (EC) No 1005/2008 <sup>5</sup> ;	10-50%
5.10	Failure to act on alleged or reported illegal, unreported and unregulated (IUU) fishing activities pursuant to Articles 26(3), 39 and 40 of Regulation (EC) No 1005/2008.	5-50%
<b>Category 6: Failure to establish and operate a functioning system of effective, proportionate and dissuasive penalties</b>		
6.1	In the event of an infringement, failure to notify the flag Member State, the Member State of which the offender holds the citizenship and any other Member State interested in the follow-up of the measures taken to ensure compliance in accordance with Article 89(4) of Regulation (EC) No 1224/2009;	5-10%
6.2	Failure to take immediate measures in accordance with Article 91 of Regulation (EC) No 1224/2009 to prevent masters of fishing vessels or other legal or natural persons who had been caught in committing serious infringement, from continuing to do so;	10-50%
6.3	Failure to establish the criteria to determine the serious character of the infringement of the CFP rules under Article 42 of Regulation (EC) No 1005/2008;	10-50%
6.4	Failure to ensure that effective sanctions are applied systematically for breaches of CFP rules and that the level of those sanctions is of adequate in severity and proportionate to the seriousness of such infringements, so as to ensure deterrence and, as a minimum, effectively deprive perpetrators of the economic benefit derived from their infringement in accordance with Title VIII of Regulation (EC) No 1224/2009;	10-50%
6.5	Failure to apply the point system for serious infringements for holders of	10-50%

<sup>5</sup> Council Regulation (EC) No 1005/2008 of 29 September 2008 establishing a Community system to prevent, deter and eliminate illegal, unreported and unregulated fishing, amending Regulations (EEC) No 2847/93, (EC) No 1936/2001 and (EC) No 601/2004 and repealing Regulations (EC) No 1093/94 and (EC) No 1447/1999 (OJ L 286, 29.10.2008, p. 1).

	fishing licences as well as for masters in accordance with Article 92 of Regulation (EC) No 1224/2009;	
6.6	Failure to establish and adequately manage the national register of infringements in accordance with Article 93 of Regulation (EC) No 1224/2009.	10-50%