

CRFM OPERATIONS MANUAL

Volume 5
Administrative Policies, Guidelines and
Regulations

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Section 5.1 Office Management

5.1.1 Property Management

5.1.1.1 Keeping of Keys

A copy of all keys to access CRFM Secretariat's offices, houses etc., and vehicles shall be kept in the key cabinet at the CRFM Secretariat Offices (both at Headquarters, Belize and the Eastern Caribbean Office, St. Vincent and the Grenadines). The key bunches shall be filed/labeled and a record to facilitate easy retrieval must be kept on the inner side of the key cabinet door. The record shall be maintained in the following format:

| Key Bunch No. | Property Name | Location: Belize |
|----------------------|-----------------------------|--|
| 1. | CRFM Secretariat's Offices: | Executive Director |
| 2. | | Deputy Executive Director |
| 3. | | Senior Finance Officer |
| 4. | | Corporate Services Manager |
| 5. | | Registry |
| 6. | | Kitchen |
| 7. | | Finance Officer |
| 8. | | Men's Rest Room |
| 9. | | Office Key |
| 10. | | Project Vehicle – G2 CD01 |
| 11. | | CRFM's Post Box |
| 12. | | Cabinet in Finance Officer's Room |
| 13. | | Cabinets in Kitchen |
| 14. | | Key Cabinet |
| 15. | | Office Supplies Cabinet |
| 16. | | Male Bathroom |
| 17. | | Conference Room |
| 18. | | Coordinator, Advocacy, Policy and Planning |
| 19. | | Biologist |
| 20. | | Room #5 (downstairs) |
| 21. | | Room #6 (downstairs) |
| 22. | | Room #7 (downstairs) |
| 23. | | Female Bathroom |
| 24. | | Entrance (downstairs) |
| 25. | | Cabinet in Executive Director's Office |
| 26. | | Ladies Bathroom (downstairs) |

| Key Bunch No. | Property Name | Location: St. Vincent and the Grenadines |
|----------------------|----------------------------|--|
| 1. | CRFM Secretariat's Offices | Programme Manager, Management and Development |
| 2. | | Programme Manager, Research and Resource Assessment |
| 3. | | Administrative Secretary |
| 4. | | Office keys (set of 6) |
| 5. | | Office keys (set of 6) |
| 6. | | Storeroom |
| 7. | | Storage Unit (stationery & supplies) |
| 8. | | Programme Manager, Fisheries Management and Development's Office |
| 9. | | Programme Manager, Research and Resource Assessment's Office |
| 10. | | Research Graduates' Office |
| 11. | | Conference Room |
| 12. | | Kitchen |
| 13. | | Filing cabinet in library |
| 14. | | Desk in conference room |
| 15. | | Female bathroom |
| 16. | | Male bathroom |

5.1.1.2 Access to Key Cabinet

The key cabinet shall be accessed by the Senior Finance Officer or the Corporate Services Manager in his / her absence.

5.1.1.3 Access to Office

The following staff shall be assigned and sign as having received keys to access the CRFM Secretariat's headquarters building:

- Executive Director
- Deputy Executive Director
- Corporate Services Manager
- Senior Finance Officer

All staff technical and support, wishing to enter the office after work hours, on holidays or on weekends shall obtain the prior approval of the Executive Director and must complete the Log Book provided indicating time and date of entry and departure. All support staff shall obtain, upon the recommendation of his / her immediate supervisor, prior approval from the Executive Director to work overtime, and shall be remunerated according to the National Labour Laws on overtime. (N.B. overtime payment is restricted to non supervisory grades.)

The official opening and closing times of the office are 8:00 a.m. and 5:00 p.m., respectively for Head Office (Belize), and 8:30a.m. and 4:30p.m. respectively, for the Eastern Caribbean Office in St. Vincent and the Grenadines. Unless permission is granted by the Executive Director, all staff are expected to have left the office by, at least, 6:00p.m.

Any staff, technical or support, who leaves the offices after 6:00p.m., shall sign the Log Book indicating the time and date of departure.

Visitors who are not on official business, to the office during work hours must leave the offices prior to the end of normal work hours, unless otherwise approved by the Executive Director. All visitors to the office shall sign the Visitors Log Book provided, indicating names of visitors, times of arrival and departure.

5.1.1.4 Access to Office Supplies

There shall be two keys for the cabinet which houses office supplies. One shall be kept by the Secretary and the other in the key cabinet. In the event the Secretary is absent from work, the Senior Finance Officer will be responsible for distributing office supplies. A log of all incoming / purchases and distributed/out-going supplies will be maintained by the Secretary.

Access to the Office Supplies Cabinet will be restricted to the Secretary and in her absence the Senior Finance Officer.

5.1.1.5 Vehicles

Vehicles are purchased for official use but may be assigned by the Executive Director to staff. Assignment means that the vehicle will be under his/her care and protection to aid the execution of his/her duties, but is available for office use on request.

When staff to whom the vehicle is assigned is away on official travel duty, a named staff may have access to the vehicle as that access will ensure that the vehicle is brought to the office and available for official use during official working hours. Such access also means that the named staff will keep the vehicle during non office hours, upon the approval of the Executive Director or the Officer-in-charge.

Whenever an official vehicle (as distinct from staff vehicle) is taken beyond (outside) the borders of Belize, the Executive Director must give approval for same, regardless of the mission (official or private). Also, the CRFM Secretariat shall write to the Ministry of Foreign Affairs advising that the official vehicle is being taken out of the country.

When an official vehicle is involved in an accident a written report must be made to the Executive Director within three (3) days of the accident. This practice should be honoured by all no matter how minor the accident is.

As per existing vehicle insurance policy and CARICOM Secretariat's rules governing use of official vehicles only CRFM Secretariat's staff members and their families are permitted to drive or be passengers in official vehicles. All other persons must be authorized passengers.

5.1.1.6 Furniture and Equipment

All CRFM Secretariat's assets, whether office or housing, are to be inventoried once a year by the Corporate Services Manager. The current Office Inventory list is maintained by the Corporate Services Manager.

5.1.1.7 Housing

All CRFM Secretariat's houses are to be painted once in every three years by the CRFM Secretariat. However, if there is a change in occupancy during the three year period, the inside may be painted.

Staff are responsible for ensuring that any CRFM Secretariat housing and property assigned to them are appropriately secured at all times.

At the Executive Director's discretion, security assistance may be provided if circumstances warrant.

Employees are responsible for all CRFM property, materials, electronic or written information issued to them. Employees must return all CRFM property promptly upon request or upon termination of employment.

5.1.2 Insurances

The Corporate Services Manager is responsible for ensuring that appropriate insurance coverage is acquired and maintained for all CRFM Secretariat assets.

5.1.3 Administrative Communication

The most economical means of communication should be used on a daily basis for routine communication.

5.1.3.1 Mail

Mail is an essential component of the communications system between the CRFM Secretariat and its publics. Prompt and efficient collection and delivery of mail are therefore important requirements for the orderly conduct of the CRFM Secretariat's business.

Incoming mail is date-stamped, logged, copied and circulated to the addressee and to the circulation file as soon as possible after it arrives in the unit. Confidential and personal mail is delivered to the addressee unopened.

The Secretary in each unit is responsible for processing both incoming and outgoing mail. **Appendix 5.1** illustrates CRFM Secretariat's logo and letterhead.

5.1.3.2 Facsimiles and Email

Faxes and Email are also an essential component of the communications system between CRFM and its publics.

Incoming faxes and Email are date-stamped, logged, copied and circulated to the addressee and to the circulation file as soon as possible after they arrive in the unit.

The Secretary in each unit is responsible for processing both incoming and outgoing faxes and E-Mail. **Appendix 5.2** illustrates CRFM Secretariat's fax form.

5.1.3.3 Telephones

Long distance telephone calls are logged on a Log form - see **Appendix 5.3**. Personal long distance telephone calls are discouraged, but if necessary from a CRFM Secretariat's office, are charged to the individual.

The Corporate Services Manager is responsible for tracing the use of the telephones for budget purposes.

5.1.3.4 Office Files

All confidential files are kept in a locked filing cabinet. Personal files are kept separate from other confidential files and are the responsibility of the Executive Director.

The detailed Rules and Regulations with regard to Registry Operations are appended as **Appendix 5.4**.

5.1.4 Emergency Procedures

CRFM Secretariat's emergency response co-ordinators are the Corporate Services Manager at Headquarters and the Programme Manager in the Eastern Caribbean Office. They should be immediately contacted if an emergency is apprehended or is occurring.

The Caribbean Disaster Emergency Response Agency (CDERA) has promulgated a framework for Emergency Management in the Caribbean that has now been embraced by CARICOM Member states. The frame work is known as Comprehensive Disaster Management (CDM). CDM has been formally adopted by CARICOM.

As its name implies, CDM includes attention to all phases of the disaster management cycle – Prevention, Mitigation, Response, Recovery and Rehabilitation. With its emphasis on risk reduction, CDM reflects the global trend in disaster management, and was adopted by Caribbean governments in 2001. (CDERA News Release February 2008)

CRFM is a CARICOM organization and as such must embrace the policy initiatives of Regional governments. CRFM will use the principles of CDM as the basis for building capacity in Emergency Management. This means that the CRFM will;

- Plan for hurricanes as well as other natural and technological hazards
- Recognize that Emergency Planning must encompass Preparedness, Response, Business Continuity, Recovery and Rehabilitation as well as Hazard Mitigation phases
- Integrate Emergency Planning into the fabric of organizational life and culture
- Ensure that adequate training for emergencies, hazards and threats is incorporated in staff development programmes
- Involve staff of all levels in Emergency Planning
- Focus on Risk Reduction as a means of minimizing the negative effects of disasters
- Prepare and maintain up-to-date plans for all hazards and threats
- Provide resources to ensure and acceptable state of readiness for emergencies or disasters
- Conduct appropriate exercises and drills

5.1.5 Safety and Security

5.1.5.1 Office Assets

The CRFM Secretariat maintains a physically secure environment to prevent unauthorized access to its premises. All offices and their contents are to be kept secure at all times and locked any time staff are absent. Additional security measures and surveillance based on particular circumstances may be implemented at the discretion of the Executive Director.

CRFM intends to keep its working environment safe and secure. All workers have a part to play in that quest. The Caribbean is still regarded as a safe place to work but that should not make CRFM personnel complacent on matters of Safety and Security. There are three major dimensions to the challenge of a safe and secure environment. These include:

- Personal safety
- Security of information, work product and documents
- Security of facilities equipment and supplies

5.1.5.2 Personal Safety

Employees and other CRFM personnel are expected to maintain a high level of vigilance with regard to personal safety this applies not only to their working environments but in all aspects of life. Everyone should attempt to maintain “a culture of safety”. This means that all reasonable steps should be taken to eliminate and reduce risk of illness and injury and damage to property, equipment and facilities. First aid supplies should be readily available at all work locations.

- Be aware of your surroundings at all times
- Remain alert to possible sources of risk or danger especially if you live alone
- Avoid potentially dangerous or risky locations and situations
- Always park vehicles facing outwards. Enter and drive vehicle with the necessary care
- Keep personal valuables under close control. Do not leave them unsecured and exposed. Keep an up-to-date record of personal effects brought to the job.
- Ensure that equipment is handled by authorized personnel only.
- Report any suspicious situation to supervisors or where appropriate; to the local authorities.
- Avoid predictable patterns of timing and scheduling in your life away from work e.g. times for jogging or walking.
- Be particularly vigilant in handling cash and other monetary instruments.
- Try not to be completely alone in the office especially after-hours – let someone know if you have to be there later than usual.
- Programme Emergency numbers into your cell phone.

- Become familiar with your residential neighborhood without increasing your exposure to risk.
- Maintain vigilance especially when traveling; especially at airports, hotels and in taxis.
- Manage social attendance and behaviour at social events to ensure that risks to personal safety are not increased.
- Exercise due care in handling your own instruments of identification.

5.1.5.3 Security of Information, Work Product and Information

Modern technology has greatly enhanced communications and personal efficiency but it has opened the doors to a wide range of possibilities with regarding unauthorized access to information.

A high level of diligence is required to ensure protection of CRFM’s Secretariat information and work product. General advice that is routinely available for protecting and securing computer-based information should be followed. That includes ensuring appropriate “back up” of critical information and ensuring that there is no unauthorized access to files and other documents. Care should be taken to ensure that information is shared only with intended recipients and that little opportunity is created for the unauthorized use of information.

Discretion is required when interfacing with persons outside of the CRFM Secretariat. This applies especially to interactions with media personnel. Avoid “off the record” discussions with the media. Although they may not reveal a source of information they may publicize information that was shared “off the record”. CRFM Secretariat’s staff are advised to the follow the guidelines provided for dealing with the media in the relevant communications annex of this manual.

All offices should be arranged to minimize the opportunity for unauthorized or undesirable access to information.

When leaving the office, clean up and secure work stations. Pay special attention to confidential documents.

5.1.5.6 Security of Equipment, Facilities and Supplies

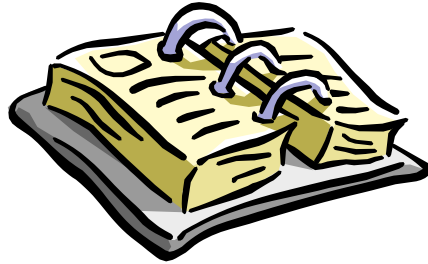
Supervisors must ensure that only authorized personnel are permitted access to CRFM Secretariat’s facilities, vehicles, equipment and supplies. The implications of unauthorized access are enormous with potential legal liability implications. Supervisors must also ensure that personnel possess the required licenses and permits to operate vehicles and equipment and those personnel operate the vehicles and equipment in a responsible manner at all times.

The following tips are provided for additional guidance:

- Ensure that only authorized personnel are permitted to inspect and service vehicles and equipment.
- Do not leave visitors unattended.
- Always account for stores and supplies promptly.
- Follow all stores and inventory procedures.
- Keep keys secure at all times. Record the distribution of all copies.
- Recall keys promptly when persons are no longer authorized to hold them.
- Keep only the keys that you are authorized to keep and require regularly with you. Keep all others secure in accordance with CRFM Secretariat's guidelines.
- Duplicate keys only when necessary.
- Report loss of keys promptly. It may be necessary to change locks if keys are not located quickly.
- Ensure that valid picture identification is provided when required. Record the form of the identification and the relevant numbers when necessary.

NOTE:

All incidents that have safety or security implications should be promptly reported to the relevant personnel. Accurate written reports of all breaches of security or incidents involving injury should be promptly reported in accordance with the relevant Reporting procedures.



REGISTRY PROCEDURES

FOR THE

***SECRETARIAT
OF THE
CARIBBEAN REGIONAL FISHERIES
MECHANISM***

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REGISTRY SYSTEM

THE REGISTRY

The Functions

1. Most organisations have correspondence registries in which Records Management functions are performed. The basic functions carried out in these specialized sections are as follows:
 - (a) controlling all incoming/outgoing correspondence of the organisation it serves;
 - (b) receiving, opening, date stamping and registering of all official incoming-mail;
 - (c) classifying, numbering, indexing and filing all correspondence appropriate to files;
 - (d) routing of correspondence to appropriate subject officers;
 - (e) controlling the movement of files;
 - (f) maintain indices for files;
 - (g) provision of "bring-up" (b.u.) service;
 - (h) dispatch of outgoing correspondence;
 - (i) custody, maintenance and security of files;
 - (j) file examination for action taken before files are put away (p.a.).

ACCOMMODATION AND LAYOUT OF THE REGISTRY

2. The layout and planning of the records section will depend on the system of internal organisation adopted by the CRFM. However, it is important that sufficient space should be provided for:
 - (a) adequate storage facilities;
 - (b) a physical layout of work stations which permits the chain of work to proceed evenly over short distances from one operating point to another with the minimum of confusion or delay;
 - (c) sufficient functionally designed furniture and equipment;
 - (d) adequate lighting.

RESPONSIBILITY OF THE OFFICER-IN-CHARGE OF THE REGISTRY

3. The Officer-in-Charge of the Registry is required to:
 - (a) supervise the Registry staff;
 - (b) control and supervise the day-to-day operations within the Registry in accordance with accepted policies and procedures, and recommend any necessary changes;
 - (c) ensure that the operation of the Registry is smooth and efficient;
 - (d) ensure that the classification system is adequate for the needs of the CRFM and is modified as the need arises;
 - (e) maintain the List of Authorised sub-project activities and Work Breakdown Structure (WBS) numbers, and other Registry Work documentation;
 - (f) arrange for disposal of non-current records by retirement to non-current storage or destruction.
4. The Officer-in-Charge of the Registry must supervise and check all Registry operations to ensure that they are proceeding according to plan.
5. The Supervisor must be available to answer queries and give advice. She should build up a good working relationship with her staff so that they will approach her readily with their problems.
6. One method of assessing efficiency is by random sampling of work done. The Officer-in-Charge should periodically examine files which have been already processed prior to delivery to action officers.
7. In addition, it is necessary to establish work priorities for those positions which have several types of work flowing into them at one time, for example, the file movement recording area and the faxing machine.

INCOMING MAIL

Receipt

8. All Incoming mail, this includes hand delivered mail, mail delivered by courier service must be handled in the Registry. Any official mail/documents received through personal channels must be passed promptly to the Registry for processing. All mail should be received in a specific area of the Registry – the incoming mail tray on the desk of the Officer-in-Charge.

Sorting

9. All mail received in the Registry prior to opening, should be sorted into one of the following categories:
 - (i) Urgent
 - (ii) General
 - (iii) Classified (confidential, secret, restricted)
 - (iv) Personal
10. Urgent mail is opened immediately, recorded, date-stamped and taken urgently to the Executive Director or the addressee.
11. Incoming envelopes are examined by the designated Registry Officer. Mail authorized to be delivered unopened is distributed to the addressees concerned. Mail authorized to be delivered unopened includes personally addressed mail without the official designation of the officer and not bearing the stamp or identification of another organisation or associate Institution.
12. Mail addressed to the organisation but included in the address "attention Mr. / Ms." is normally opened in the Registry.
13. If the contents of mail delivered to officers as personal, subsequently turns out to be official it should be returned promptly to the Registry for processing.

Mail Opening

14. A routine should be developed to ensure that all the contents of envelopes, packages etc. are removed by the Registry Officer. Enclosures must be identified and attached to the covering documents. Care must be taken to avoid damage to legal documents, certificates etc. In cases where all enclosures are not received, the sender should be contacted and arrangements made to obtain the missing documents. A note should also be made on the covering letter that the enclosures were not received in the Registry.

Recording of Mail

15. All official mail received in the Registry, after the opening and sorting processes, must be recorded in the "Incoming Mail Register". This register is ruled in columns to provide the following details:
 - (i) Date of receipt
 - (ii) Date of correspondence

- (iii) From whom sent
 - (iv) Addressed to whom
 - (v) Subject
16. Each piece of mail has to be read carefully so that its subject matter could be recorded accurately.

Date Stamping

17. Each piece of correspondence should be stamped with the date of receipt in the Registry. When stamping, care should be taken to avoid defacing legal or personal documents. These documents could, if necessary, be date stamped at the back of the document.

CLASSIFICATION, NUMBERING AND INDEXING

Classification - Subject Files

18. The key operation in the Registry System is that of classification. Papers may be arranged according to the alphabet, in chronological order, numerically, by geography, by sub-division of a subject or by a combination of any two or more methods. Underlying any system is the method of classifying the records, that is, determining the groupings that should be made and by which they should be kept.

SUBJECT / NUMERICAL SYSTEM

19. Under this system of classification file numbers for subject files would comprise the WBS numbers. Files within a particular series would be numbered in consecutive order starting from one. The series may be broken down into sub-series as the numbering process develops. For example:

| Main Subject Heading | WBS # | File title (Sub-project) | File No (WBS#) |
|-----------------------------------|--------------|---|-----------------------|
| Fisheries Data Management Systems | 300 | Review and Refinement of the Data Collection Systems | 310.1/320.1 |
| | | Enhance Data Collection Plans to Cover the Major Fisheries | 310.2 |

20. New main headings could be added at the end of the list and the next number allotted.
21. Classification system for Subject Files is shown at **Annex I**.

CLASSIFICATION - PERSONAL FILES

22. Personal files present no problem in classifying but for ease of reference require some form of numerical identification and indexing.

THE ALPHANUMERIC SYSTEM

23. Under this system all files are first classified alphabetically, then numbered in sequence. For example, files for Jane Sargeant, Malcolm Peters, Sheila Alves, John Singh, Noreen Drakes will be indexed as follows:-

| | |
|-----|-----------------|
| A/1 | Alves; Sheila |
| D/1 | Drakes, Noreen |
| P/1 | Peters, Malcolm |
| S/1 | Sargeant, Jane |
| S/2 | Singh, John |

24. The advantages of this system are:
- (i) allocation of numbers and alphabetic indexing are done at the same time;
 - (ii) files are stored both in alphabetic and numeric sequence;
 - (iii) the alpha-numeric index could be sub-divided so as to accommodate, leave papers, confidential papers, etc.
25. The classification system for Personal Files is attached as **Annex II**.

THE ALPHABETICAL SYSTEM CLASSIFICATION - CONFIDENTIAL FILES

26. Where it is necessary that confidential files should be classified separately, these files could be indexed in the same manner as that adopted for subject files. File covers, however, would be marked "**CONFIDENTIAL**" and be stored separately from the other files. The classification system for Confidential Files is shown at **Annex III**.

Under this system all files are classified alphabetically. With regards to the CRFM this system is used for Organizational, Institutional files:
example: CARICOM, FAO, IMA, ICCAT

INDEXING

27. In order to indicate what files exist on a subject, and to enable files to be traced it is necessary to maintain an index for files. The index could be done in loose-leaf form and would comprise:
- (i) index sheets on which would be listed main Subject Headings;
 - (ii) an index sheet for each main heading on which would be listed all sub divisions of the particular main heading (file titles) together with the reference numbers.

28. The index would not only facilitate the identification of existing files but in addition it would indicate the numbers to be allotted to new main subject headings, subdivisions of subject headings as well as new file titles. Also it would provide:
- (i) a numerical list of main subject headings
 - (ii) a numerical list of file titles under each main heading
 - (iii) an alphabetical arrangement of main subject headings
29. To operate any classification system effectively the index must be kept up-to-date. Failure to record the series of a file on the index may result in more than one file having the same number, or in correspondence not being able to be easily traced.

MANAGEMENT OF CORRESPONDENCE

30. All official correspondence received at the CRFM Secretariat addressed to the Executive Director and all other Senior Officers must be put on file, minuted and routed to them the same day it is received.
31. The Executive Director, and all other Senior Officers note the correspondence on the relevant files and then give specific instructions either on a routing slip attached to the filed correspondence or on the minute sheet to the relevant action / subject officers, which the Registry then complies with in a speedy manner.

THE FILE

32. All papers are arranged in files according to the "split" file method - minutes tagged inside the left hand file cover and all correspondence and enclosures, memoranda, reports etc. - in fact, everything except minutes - tagged inside the right hand cover. The papers are held together with a file lace or treasury tag. Enclosures are numbered from the bottom of the file upwards.
33. This method of filing is most practical and has the following advantages:
- (a) action is immediately apparent when the file is opened, since the latest minute and the latest correspondence are readily seen;
 - (b) the minute sheet acts as a guide to the rest of the file;
 - (c) with minutes written in one continuous sequence the possibility of overlooking one aspect of a case is minimized.

FILING PROCEDURES

Preliminary Sorting of Correspondence

34. The Officer-in-Charge of the Registry attends to the folder of opened correspondence. She allots filing priorities on the basis of deadlines for replies to correspondence, preparation for meetings / conference training courses, etc.
35. Also the Executive Director or other Senior Officers may direct that certain classes of correspondence receive priority treatment both in the Registry and in action areas.

Placing Correspondence on Files

36. The correspondence has been sorted and prioritized and the Officer-in-Charge/Registry Clerk now assigns file numbers to each piece of correspondence. In this exercise, she adopts the following procedures:
 - (a) if the correspondence refers to a specific subject and file title she places correspondence on the appropriate file;
 - (b) if it is found from reference to the subject index that no file exists on a particular subject, then a new file should be opened under the correct head and sub-head and allotted the next consecutive number;
 - (c) if there is no suitable main Heading in the list of subject headings, this indicates that the subject has never been used. Therefore, she has to determine a new Head to add to the List of Subject Headings and create a new file under this Head.
37. The following procedures should be followed when placing correspondence on file:
 - (a) Correspondence must first be correctly "punched". (The standard setting for the double punch holes is one inch down from the top);
 - (b) Correspondence should be put up neatly in date-of-receipt order as far as is practicable. The correspondence is assigned a correspondence number e.g.: C1 in ascending order at the bottom right hand corner in either black, blue or red ink depending on the type of correspondence as follows: red ink for outgoing, black ink for interdepartmental and blue ink for outgoing.
 - (c) Pins, slide-on-clips should be removed from correspondence;
 - (d) All torn papers should be mended, and torn file covers replaced, i.e. files should be tidied up before being passed on to officers.
38. If the correspondence has been incorrectly filed, or the subject officer feels that it might be better dealt with on another file, he/she should refer the file to the Registry

immediately with a request for the change. The Registry appreciates having this drawn to its attention since this means that the system can be more efficient.

39. Papers must not be detached from a file or put up in any other file without reference to the Registry.
40. Files on which action is being taken by officers should be kept where they are readily accessible to registry staff and not in cabinets, drawers or brief cases.
41. When you are going to be away from your office for any length of time - on official travel, vacation --.the files in your possession should either be dealt with or be given a bring up (b.u.) date for your return to office.
42. Files should not be taken away from the office without the approval of the Executive Director. If such approval is given then the Registry will be so informed.
43. If an officer is going on travel duty and wishes to take correspondence for reference purposes such correspondence should be copied from the file.

TEMPORARY FILE

44. As a general rule when a file is in use and is required for the insertion of new papers for action, the file should be obtained by the Registry. Where this is not possible, a temporary jacket (T.J.) could be used.
45. It must be emphasized that only in cases where it is impossible to obtain a file or where the file is already in action on another matter and the insertion of new correspondence will slow down action, either on the new correspondence or on that already filed, should a temporary jacket be opened.
46. As soon as action in a temporary jacket is completed the contents of the jacket should be placed in chronological order in the related main file.

REFERENCES AND CROSS-REFERENCING

47. In placing correspondence on file, if the reference quoted is in another volume of the file, this volume of the file should be put up with the action file and the reference flagged for the attention of the action officer.
48. When correspondence is received which deals with more than one subject, or is relevant to another file, copies or extracts are made and placed on the relevant files. A notation is made on the original letter as to the action taken.

CORRESPONDENCE RECEIVED AND THE FILE FOR WHICH IS ALREADY WITH THE OFFICER

49. When correspondence is received and the file is already with the officer who is dealing with the subject, the Registry will place the additional correspondence *on the file*, and draw the officer's attention to this.

ISSUING AND CONTROLLING OF FILES

50. The ability of the Registry to fill requisitions for files quickly and accurately depends not only upon the excellence of the classification system and the expertness of the Registry Clerks. It also depends upon the degree of control exercised over the movement of files. The key operations in such control measures are:
- (a) The keeping of charge-out records.
 - (b) The following-up at the proper time.
 - (c) The re-filing or putting away of files
51. If the Registry is expected to locate files out of its custody, then it must be kept informed of the location of files. This requires that a definite charge-out procedure be laid down and adhered to.
52. It is important that officers be made aware at the earliest possible moment that difficulty is being experienced in locating a file either in response to a file request or where there are papers for attachment. On no occasion, should an officer be asked to wait more than one hour without advice as to the position regarding his request.

CHARGE-OUT SYSTEM

53. A plain record card is used for this purpose. *Whenever a file is created a card is prepared on which the file number and file title are entered.* When a file is sent out of registry custody, the name of the officer to whom the file is sent and the date would be entered in pencil on the card. The cards would then be filed in numerical order with other similar cards in the card index cabinet.
54. When a file is returned to the Registry and is to be put away, an entry is made against the returned date p.a. and the card returned to its correct position in the card cabinet.

THE MINUTE SHEET AND FILE JACKET

55. Since we have introduced a new classification system, the file jacket and minute sheet which are in use are as illustrated at Annex IV & V.

THE MINUTE SHEET

56. All the filing procedures have now been completed and the file is now ready to be routed to the action officer. Using the Minute Sheet the file is minuted as follows:
- (a) the name / designation of the officer to whom the folio is "marked out" is entered on the minute sheet;
 - (b) the particulars and number of the folio are entered on the minute sheet;
 - (c) the officer preparing the minute inserts his/her initials.

THE FILE JACKET

57. The columns provided on the front of the jacket should be used for routing (charging) of files. In the columns provided would be recorded the name of the officer to whom the file is referred, the initials of the person referring the file, and the date.
58. The file jacket is also used by officers to indicate to Registry a request for a bring up (b.u.) date or a put-away (p.a.) for the file.
59. Communication between officers is normally conducted on the Minute Sheet. The Minute Sheet can be used to refer the file to several persons at the same time. If an officer wishes to refer an enclosure to several officers, the procedure is as follows:-

Executive Director
Deputy Executive Director
Corporate Services Manager

Please note enclosure 4

Signed J.W.D.
Acct.
11/04/95

60. The file is then routed by Officer-in-Charge / Clerk to the first person named in the Minute by recording in the referred to column, E.D., her initials and the date. The E.D. would then initial and date the minute, and in the next line of the referred to column write D.E.D., his (E.D.) initials and the date. This process continues until all have seen and initialed the file.
61. The Registry Officer checks the file to see that all action is completed before putting away the file.
62. The Minute Sheet is also used to convey instructions to the Registry which should not be done on the file cover. For instance, if one officer wishes to pass the file on to another officer but also wishes the Registry to bring up the file at a later date, the only means of doing this is to write a Minute as follows:

"Registry"

1. Please b.u. on 20/04/03
2. Please pass to C.S.M. to see folio 6

Signed:

H. Saul

E. D.

06/04/02

63. The file is then referred to the Registry on the file jacket. The Registry Clerk will make a note of the B.U. and then pass the file to the Corporate Services Manager (C.S.M.) to see folio 6.
64. If the matter on the file is urgent, you can indicate this to the Office Assistant that it must be taken to the Registry and dealt with immediately.

FOLLOW-UP AND BRING UP

65. Where a matter is pending or the file is to be held while awaiting additional information, the machinery for reviving it is set in motion by the action officer. When releasing the file, the officer should indicate the date on which he wishes it returned to him.

66. The procedure is as follows:-

The officer should write in the space provided on the outside front cover of the file "B.U.", the date the file will be required, his initials and the date the entry is being made. On receipt of the file in the Registry, the number of the file and the name of the officer is entered in a diary under the required bring up date. The file is then placed in its correct position in the file cabinet if no other action is required on it. The diary is consulted by the Registry each morning and the files required are withdrawn (or borrowed from officers) and distributed to the officers requiring them.

67. The file is then minuted to the requesting officer as follows:

"Biologist"

File B.U. as requested pl"

68. The Registry Clerk would initial and date this minute.
69. If it is found unnecessary by the action officer to bring up a file either because a reply has been received or he no longer wishes it, the Registry should be notified so that the necessary cancellation could be made in the diary.
70. The obvious virtue of the follow up system is that officers are enabled to release files from cluttering their desks.

71. Officers are advised that files should not be in their possession for more than two (2) days.

DISTRIBUTION OF FILES

72. Files for action officers should be placed in the "In" tray on the officers desks. Each tray should be clearly labeled "IN" "OUT". Files tagged "Urgent" should, as far as possible, be given to the action officer and not placed in trays on their desks.
73. If it is found necessary to put two or three files together with related correspondence to send to the action officer, a cord or ribbon should be used. Files must never be placed one inside the other, because this causes the covers to get torn and there is a risk of the file inserted being overlooked.

SPLITTING OF FILES

74. Files tend to broaden their scope as time goes on and there comes a time when the file should be sub-divided into several files of related subjects. The Officer-in-Charge of the Registry should discuss the breakdown of files with the Officer dealing with the particular subject area and arrive at some agreement for the creation of new files.

LINKING UP PAPERS

75. Sometimes because of overlap in certain subject areas two files are opened on the same subject or on closely related subjects. As soon as the error is discovered the files should be merged. A reference should be made on the index that File No has been merged with File No A reference should also be put on the file retained that all correspondence from File No has been put up therein, and the movement card of the cancelled file should be extracted from the card index cabinet and destroyed. The file number can be re-allocated in due course.

DIVIDING BULKY FILES

76. When files become bulky, a second file known as a "part file" should be created, bearing the same classification and number as the first file. The original part may be distinguished by such terms as Part I, Part II and Part III or Volume I, Volume II etc. It is also useful to show on the file cover the dates on which the file begins and ends.

CLOSING OF FILES

77. Files are closed when they become too bulky. The thickness should not exceed 3/4". Closed files fall into two categories:
- (a) those which are closed permanently;
 - (b) those which are closed as they reach the standard thickness;

78. The procedure for closing both types of files is as follows:
"CLOSED" should be stamped or printed on the cover of this file. Also CLOSED, and the date should be stamped or printed on the last correspondence in the file.
79. When the (b) type of file is to be closed NEXT PART VOL. is printed beneath "CLOSED". The new PART VOLUME opened of this type of file carries the same file number and the next part/volume in the series.
80. All closed files, and closed parts of files should be filed away in the same place i.e. in cabinets separate from those in which current files are stored.
81. With regard type (b) file, reference to the next part/volume opened should be made on the file index. The movement/charge-out card should *bear the number of the current PART / VOLUME*.

LOST FILES

82. Suggested action where files are lost:

If the missing file is not marked out on the charge-out card:

- (a) Search the desks and tables in the Registry.
- (b) Search the filing cabinets. First in the compartment where the file should be, then under all possible combinations of the number of the missing file.

If the missing file is marked out on the charge-out card but cannot be traced:

- (a) inquire of the officer to whom the file is marked out, what recollection he has of its whereabouts;
 - (b) search the desk and room of the officer concerned and also the unit to which he is attached.
83. Finally, if the file has not been located a general search file by file through all the files in the cabinets of the Registry must be undertaken.
 84. If after all the above steps have been taken the file is still missing, a "temporary file" should be opened. This file should be given the same number as the missing file. On the file cover should be marked "Temporary File - original file missing from date."

The records staff should keep a "watch out" for the original file in case it turns up.

FILE CENSUS

85. To enable file movement cards to be kept up to date and to keep track of files, a file census should be carried out **periodically**. On a nominated day, each officer is visited by

the Registry Clerk/Registry Assistant who lists on a census sheet all files held by that officer. The file movement cards are checked against the lists and any necessary amendments are made on the movement cards.

86. For a file movement control system to achieve its purpose the full cooperation of all officers is essential.

RESPONSIBILITY FOR FILES

87. The Registry is the custodian of all files but once a file has been minuted and charged out to an officer, it is that officer's responsibility to ensure that the file is returned to the Registry. Under no circumstances should a file be forwarded for further action directly by the officer to whom the file was minuted.

WEEDING OF FILES

88. Files should be pruned periodically of all valueless information. Closed files containing important information can be purged, indexed and made available as part of the information service provided by the CRFM.

PUTTING AWAY FILES

(File examination)

89. Files are examined to ensure that:
- (a) all necessary action has been taken;
 - (b) papers are correctly filed and they do not differ from the subject topic of the file;
 - (c) "bring-up" dates are noted;
90. It is essential that the Registry should know the next action that is required to be taken on a file. When there is doubt as to the next action to be taken, the file must be returned to the action officer who should give some direction. In all cases responsibility should not rest with the Registry to see that outstanding matters are finalised but with the officer dealing with the matter. It is the responsibility of the Registrar to see that correspondence reaches the respective action officers on time but not to ensure that all subsequent action is taken.
91. When action is completed on a file and it is being released to the Registry for storing, the action officer writes the abbreviation "P.A." on the front of the file cover or on the minute sheet (preferably) and initials and dates the entry.
92. This notation on the file is the Registry's authority to put away the file in the correct position in the storage cabinet.

CARE AND MAINTENANCE OF FILES

93. Files must receive constant attention. They often become ragged and "dog-eared" with frequent handling. Every time a file is handled by Registry staff protruding papers should be re-inserted in the file and ragged edges of papers smoothed neatly and patched where necessary with transparent tape.
94. In all cases previous correspondence referred to should be tagged and not folded or turned out. No file should leave the Registry unless it is in good condition.

DISPOSAL OF FILES AND RECORDS

Types of Records

95. Records pass through three main phases during their life cycle:
 - (a) a current phase when they are in constant use in the organisation;
 - (b) a semi-current phase when, after a time they cease to be used in the day to day transactions, but are required for reference purposes, e.g. to locate precedents and sometimes to provide information for public use. The length of the semi-current phase varies from a few months to as much as 10-12 years in case of personal files;
 - (c) non-current phase when records are no longer referred to for the conduct of current business. The length of time these records are kept depends on archival value.

Archival Action

96. Every organisation should have a policy for retention and arrangements for disposal of its old correspondence files and other records. The question of the disposition of records is usually one which is discussed and decided by a special committee set up for this purpose.

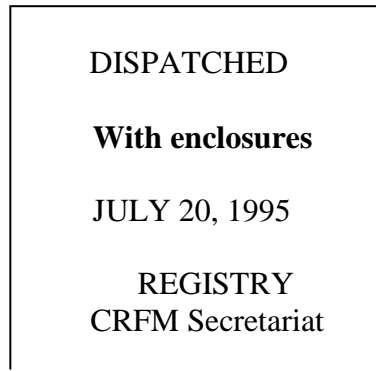
INTERNAL MEMORANDA AND CIRCULARS

97. A register for this exercise has been set up and numbers will be allocated by the Registry.

DISPATCH OF MAIL

98. All correspondence for dispatch must be placed inside the cover of the appropriate file and sent to the Registry.
99. Files returned to the Registry with outgoing correspondence are passed to the Dispatch Clerk, who must ensure that:

- (a) the letter or memo is signed and dated;
 - (b) the file number appears on the correspondence for dispatch;
 - (c) any enclosures mentioned are attached and are securely fastened to the correspondence;
 - (d) the appropriate number of copies accompany letters/memoranda for dispatch e.g.
 - (i) original for dispatch;
 - (ii) if letter / memorandum is carbon copied (cc) then the appropriate number of copies should be provided;
 - (iii) copies for relevant files i.e. 2 copies
100. It is expected that there will be exceptions, in cases where the dispatch is of a highly confidential or sensitive nature, no copies of dispatch will be left in the Registry. In these instances the Officer-in-Charge will have the necessary notations made in the Mail Dispatch Register.
101. A record of each dispatch is made in the "**Mail Dispatch Register.**"
102. If the dispatch has to be stamped "**Confidential or Secret**", this stamp is placed on the inner envelope, in other words, for this category of mail, two envelopes are used.
103. The originators of correspondence for dispatch are expected to provide appropriately addressed envelopes. Care should be taken to avoid using abbreviations in addresses. Also, all envelopes should be unsealed for franking purposes.
104. A copy of the outgoing correspondence is date-stamped as evidence of dispatch and placed in the appropriate file.
105. A further copy must be date-stamped as dispatched and placed in a third copy file (monthly chrono file) which is kept in the Registry.
106. If the correspondence being dispatched has enclosures, this should be noted on the dispatch stamp by adding these words e.g. Dispatched "with encls". See specimen below:



107. If enclosures are sent under separate cover, this fact must be stated in the letter.
108. Officers signing memoranda, letters for dispatch should indicate on the file copy what action they require taken on the file after correspondence is dispatched. This will enable the dispatch clerk to deal with files accordingly after completing the dispatch.

REGISTERED MAIL (Outgoing)

109. Mail to be registered is handled in the same manner as the regular dispatch but in addition to the normal postage rate the registration fee is included and franked on the envelope. Delivery of this mail is made to the post office counter and a receipt is obtained for each registered letter. This receipt is stored with the postage in the dispatch mail register.

BY HAND MAIL

110. A record of letters dispatched by hand should be kept in a hard cover note book labeled "by hand" which should have the following particulars:
 - Date sent
 - Ref. No of Correspondence
 - Ministry / Organisation to which sent
 - Signature of Officer/Agent receiving letter
 - Time received
111. The correspondence being dispatched by hand should also have these words added to the dispatch stamp e.g. Dispatched "by hand" and initialed. See specimen below:

DISPATCHED

By hand
JULY 20, 1995

REGISTRY
CRFM Secretariat

MAIL SCHEDULE – COLLECTION / DISPATCH

- 112. Dips are cleared once in the morning and once in the afternoon. The clearance times are approximately 9:30 a.m. and 2:30 p.m.
- 113. If you need a file urgently you can always request it from the Registry.
- 114. Mail is collected two times weekly (Tuesdays and Thursdays) by the Courier at approximately 9:30 a.m. The Mail for dispatch is taken at the same time.

TELEFAX MESSAGES (Outgoing)

- 115. After faxes are dispatched they are logged and coded and the dispatch with the activity sheet attached are filed in the appropriate file and returned to the sender to note the dispatch.

TELEFAX MESSAGES (Incoming)

- 116. On receipt these are date-stamped, logged and sent immediately to the addressees for necessary action. After action is taken these are filed on the appropriate subject file.

COURIER SERVICE - INCOMING

- 117. The Receptionist signs for incoming courier packages, then sends the packages to the Registry. The packages are opened by the Registry Officer and the Airway Bills are extracted and date stamped.
- 118. The documents/letters are then handled as incoming mail for urgent distribution. A file is kept of the Incoming Airway Bills.

COURIER SERVICE - OUTGOING

- 119. On receiving a package to be sent by Courier – the Officer-in-Charge

- (a) calls the relevant Courier Service immediately;
- (b) signs the Airway Bill which was brought with the envelope/package and has the parcel / letter ready for collection by the agent of the Courier Service;
- (c) an entry of the transaction is made in a book provided for this purpose and the Agent signs his name, time of collection and date;
- (d) Charges are allotted according to project, individual, etc.

120. A file is kept of all outgoing Airway Bills.

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| 422 | Shrimp and Groundfish Sub-project Specification Workshop |
| 422.1 | Report Correspondence |
| 422.2 | Organize and Implement Regional Workshop |
| 423 | Biological Data Collection and Production Correspondence |
| | Shrimp and Groundfish |
| 423/424.1 | Antigua and Barbuda (Shrimp and Groundfish) |
| 423/424.2 | Barbados (Shrimp and Groundfish) |
| 423/424.3 | Belize (Shrimp and Groundfish) |
| 423/424.4 | Dominica (Shrimp and Groundfish) |
| 423/424.5 | Grenada (Shrimp and Groundfish) |
| 423/424.6 | Guyana (Shrimp and Groundfish) |
| 423/424.7 | Jamaica (Shrimp and Groundfish) |
| 423/424.9 | St. Kitts and Nevis (Shrimp and Groundfish) |
| 423/424.12 | Trinidad and Tobago (Shrimp and Groundfish) |
| 424.3 | Observer Programme |
| | Observer Programme Documents |
| 425.1 | Thematic Mapping |
| 426 | Short Term Training / Technical Assistance |
| 426.3 | Short Term Training / Attachment |
| 426.4 | System Monitoring |
| 426.5 | Technical Assistance in Data Analysis |
| | Consultant: Dave Kulka – Training and Orientation Programme for Observers to Operate on Vessels |
| 427 | Communications / International RA Forms |
| 428 | Stock Assessment Workshop BELEM, Brazil |
| 428.1 | Stock Assessment Workshop |

- 428.2 Guyana / Suriname Workshop
- 430 Lobster and Conch Resource Assessment
Biological Data Collection in Participating Countries
LC Assessment SSW/WP/5
- 430.1 Lobster and Conch Resource Assessment Correspondence
- 431 Identify and Compare FRA Techniques and Data Lobster Symposium
Lobster and Conch Workshop Documents
- 433 Biological Data Collection and Production (Lobster and Conch)
- 434 Provide Resources for Implementation
- 433/434.1 Antigua and Barbuda (Provide Resources for Implementation)
- 433/434.2 Barbados (Provide Resources for Implementation)
- 433/434.3 Belize (Provide Resources for Implementation)
- 433/434.4 Dominica (Provide Resources for Implementation)
- 433/434.5 Grenada (Provide Resources for Implementation)
- 433/434.6 Guyana (Provide Resources for Implementation)
- 433/434.7 Jamaica (Provide Resources for Implementation)
- 433/434.8 Montserrat (Provide Resources for Implementation)
- 433/434.9 St. Kitts and Nevis (Provide Resources for Implementation)
- 433/434.10 St. Lucia (Provide Resources for Implementation)
- 433/434.11 St. Vincent and the Grenadines (Provide Resources for Implementation)
- 433/434.12 Trinidad and Tobago (Provide Resources for Implementation)
- 435 Lobster and Conch Stock Assessment
- 435.1 St. Lucia Lobster Maturity Study
- 435.2 Conch Biomass Survey (Antigua and Barbuda)
- 435.3 Lobster Puerulus Monitoring Programme
Stock Assessment Documents (Lobster and Conch)
Workshop Documents (Originals)
- 436 Short Term Training and Technical Assistance
- 436.1 Workshop Documents / Consultants
- 436.3 Jamaica Census
- 437 Communications / International RA Forums
- 437.1 Workshop Correspondence
- 437.2 Progress and Annual Reports
- 438.1 Lobster / Conch Terminal Workshop
- 438.2 Spiny Lobster Workshop
- 438.3 Conch Assessment Workshop
- 500.1 General Correspondence
- 510 Strengthen National Fisheries Management
- 510.1 National Consultants
Fishery Management Planning Workshop
Study Tour of the Belize Fishing Industry
- 511 Formulate Policy, Regulatory and otherwise
- 511.1 Ownership Intellectual Property Rights and Use of Data Proposes Project on
Marine Planning and Management
- 512 Short Term Training and Technical Assistance
- 512.1 Workshop Documents / Consultants

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| | Post-Evaluation of National Fisheries Administration / CFRAMP Review |
| 512.1 | Antigua and Barbuda (Post-Evaluation of National Fisheries Administration) |
| 512.2 | Barbados (Post-Evaluation of National Fisheries Administration) |
| 512.3 | Belize (Post-Evaluation of National Fisheries Administration) |
| 512.4 | Dominica (Post-Evaluation of National Fisheries Administration) |
| 512.5 | Grenada (Post-Evaluation of National Fisheries Administration) |
| 512.6 | Guyana (Post-Evaluation of National Fisheries Administration) |
| 512.7 | Jamaica (Post-Evaluation of National Fisheries Administration) |
| 512.8 | Montserrat (Post-Evaluation of National Fisheries Administration) |
| 512.9 | St. Kitts and Nevis (Post-Evaluation of National Fisheries Administration) |
| 512.10 | St. Lucia (Post-Evaluation of National Fisheries Administration) |
| 512.11 | St. Vincent and the Grenadines (Post-Evaluation of National Fisheries Administration) |
| 512.12 | Trinidad and Tobago (Post-Evaluation of National Fisheries Administration) |
| 512.13 | Post-Evaluation Survey / CFRAMP Extension |
| 520 | Strengthen Regional Fisheries Management |
| 521 | Regional Mechanism |
| 521.1 | Correspondence |
| | Comments on RFM Legal Document |
| | Letter of Agreements: Mr. Reuben Charles |
| | Mr. Trevor Hamilton |
| | Mr. Duke Pollard |
| | Mr. Robin Mahon |
| | Mr. Barton Scotland |
| | RFM Working Group Minutes |
| | Fifth Technical Workshop on the Regional Fisheries Mechanism |
| | Rules of Procedures of the Organs of the Regional Fisheries Mechanism |
| | Meeting of the Working Group on the Caribbean Regional Fisheries Mechanism (April 17 th – 19 th , 2002) |
| | Meeting of the Working Group on the Caribbean Regional Fisheries Mechanism (June 15 th and 17 th , 2002) |
| 524 | Short Term Training and Technical Assistance |
| 524.1 | Operation Policies and Procedures |
| | Caribbean Regional Fisheries Mechanism General Correspondence |
| 524.2 | Working Group |
| | Drafting Committee Meeting / Legal Text for CRFM |
| 524.5 | Strategic Plan for the CRFM |
| | Medium Term Plan |
| | Mr. Ronald M. Gordon (Letter of Agreement) |
| 524.7 | Carlton James Consultancy |
| 525 | Communication / Fisheries Management Forum |
| | Spiny Lobster Monitoring Programme |
| | LC Assessment SSW/WP/7 |
| | Jamaican Conch Fishery Economic Study Terms of Reference – Draft |
| | LC Assessment SSW/WP/9 |
| | Budget for Assessment Subproject Activity |

LC Assessment SSW/WP/10

- 525.1 Progress and Annual Reports
- 525.2 Report Correspondence
- 525.3 Report Correspondence
- 530 Fishers and Community Involvement and Education
- 530.1 General Correspondence
- 530.2 Finance Correspondence
- 531 Community Baseline Survey Principle Documents
- 531.1 Community Baseline Survey
- 532 Strategy for Fishers and Community
- 533 Provide Resources for Implementation
- 533.1 Antigua and Barbuda (Provide Resources for Implementation)
- 533.2 Barbados (Provide Resources for Implementation)
- 533.3 Belize (Provide Resources for Implementation)
- 533.4 Dominica (Provide Resources for Implementation)
- 533.5 Grenada (Provide Resources for Implementation)
- 533.6 Guyana (Provide Resources for Implementation)
- 533.7 Jamaica (Provide Resources for Implementation)
- 533.8 Montserrat (Provide Resources for Implementation)
- 533.9 St. Kitts and Nevis (Provide Resources for Implementation)
- 533.10 St. Lucia (Provide Resources for Implementation)
- 533.11 St. Vincent and the Grenadines (Provide Resources for Implementation)
- 533.12 Trinidad and Tobago (Provide Resources for Implementation)
- 534 Technical Assistance Training
- 534.2 Workshop Correspondence
 - 2nd Fisheries Field Officers Training Workshop
 - Sharon Almerigi (Letter of Agreement)
 - Reuben Charles (Letter of Agreement)
 - Charles Conway (Letter of Agreement)
 - Phillip Jackman (Letter of Agreement)
 - Mohammed Khan (Letter of Agreement)
 - S. Mohabir (Letter of Agreement)
 - Second Institutional Strengthening Workshop for CARICOM Fisherfolk Organizations
- 535 Publications and International For a
- 540 Long Term Training
- 540.1 General Correspondence
- 541.1 Training Needs Survey Correspondence
- 542 Develop Training Strategy
- 543 Academic Students Principle Documents
- Jiselle Allport
- 543.1 Academic Students General Correspondence
- Scholarship Applicants
- Leroy Ambroise
- 543.2 James Finlay
- 543.3 Cheryl Jardine
- 543.5 Williana Joseph

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| 543.6 | Garret Manwaring |
| 543.7 | Patrick McConney |
| 543.8 | Justin Rennie |
| 543.9 | Raymond Ryan |
| 543.10 | Leslie Straker |
| 543.11 | Irvin McLennan |
| 543.12 | Melissa O'Garro |
| 543.13 | Diann Black |
| 543.14 | Dawn Shepherd |
| 543.15 | Angela Hackett |
| 543.16 | Ingrid Peters |
| 543.17 | Lora Ferreira |
| | Stephen Smikle |
| 543.18 | Sarah George |
| | Andre Kong |
| 543.19 | Jaime Villanueva |
| | Ann Marie Jobity |
| | Elizabeth Mohammed |
| 620 | Project Management and Support Canada – CEA |
| | Long Term Management |
| | Rents |
| | Belize |
| | Guyana |
| | Jamaica |
| | St. Lucia |
| 710 | Biodiversity Project Principle Document |
| | Biodiversity General Correspondence |
| | Strengthening of Fisheries and Biodiversity Management in ACP Countries Programme (SFBM) Phase 2 |
| | Biodiversity Financial Correspondence |
| | Quarterly and Annual Progress Financial Reports |
| 710.5 | Procurement |
| 710.6 | Job Applications |
| | Minutes of Biodiversity Meetings |
| | Cloffsca Workshop |
| 712.5 | Regional Coordination Workshop |
| 713.1 | Antigua and Barbuda |
| 713.2 | Bahamas |
| 713.3 | Barbados |
| 713.4 | Belize |
| 713.6 | Dominican Republic |
| 713.8 | Guyana |
| 713.9 | Haiti |
| 713.10 | Jamaica |
| 713.12 | St. Kitts and Nevis |
| 713.13 | St. Lucia |

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| 713.14 | St. Vincent and the Grenadines |
| 713.15 | Suriname |
| 713.16 | Trinidad and Tobago |
| 714 | Short Term Training and Technical Assistance |
| 714.1 | Establishing of a Regional Collection for Marine Fish |
| 715 | Workshop Documents / Consultants |
| 716 | International RA Forms |
| 717 | Reports |
| | Biodiversity One Day Workshop |
| | Biodiversity Phase II |

“Organizational”

Status of projects implemented by CFU (Belize) with emphasis

CFRAMP

ACP – EU Dialogue

Belize Institute of Management (BIM)

Belize Fisheries Department

CANARI

Cana’s Broadcast News

Caribbean Action Plan Workshop

CARISEC

Caribbean Federation of National Fisherfolk Organizations Documents

- Second General Meeting between the representatives of the UN System and of CARICOM and its Associate Institutions (Nassau, The Bahamas, March 27 – 28, 2002)
- Draft Summary Report of the Symposium on the Sustainable Utilisation of Fisheries and other Ocean Resources, Rex Halcyon Cove Hotel (St. John’s, Antigua and Barbuda, April 26 – 28, 1999)

CARICOM / CIDA Cooperation

CARICOM / CUBA Technical Fisheries Workshop

CARICOM / CUBA Meeting

Horace Walters Consultancy

CARICOM / JAPAN Cooperation

Seminar on Fisheries Management in Japan

CARICOM / SPAIN Meetings / Cooperation

CFCL Roche

CGIAR

Response from Member States re: CFRAMP AWP FY 1997/98

CFRAMP / CIDA

CIDA Audit

CIDA’s Project Review of CFRAMP

CIDA

CIDA’s Workshop

CIDA’s Regional Oceans Initiative Workshop

Coastal Zone Management Unit

FAO
FAO Documents
Fish Kill Workshop
Gulf and Caribbean Fisheries Institute (GCFI)
Government of Belize – News
ICCAT
Working Group on Large Pelagics
ICLARM
IMA
Marine Research Center
MAREMP
MBRS
Monitor
OECS
University of the West Indies (UWI)
WECAFC Working Party
Women in Development

“IDRC”

IDRC Principle Documents
Instituto Internacional del Oceano (IOI)
Community-Based Coastal Resources Management (Phase 2)
IDRC General Correspondence
IDRC Phase 2
IDRC Finance Correspondence
IDRC Web Page
IDRC Progress Reports Correspondence
Programme for Belize: Capacity Building for the Sarteneja Fishing Community
University of the West Indies (Belize): Exploring Spirituality, Income Generation and the use of Coastal Resources among the Garifuna in Southern Belize
Dominica: Promotion of Management of Marine Protected Areas through Community Groups and Stakeholder Participation
Dominican Republic: Perspectives of communal co-management and integration of the users of the fishers of the conch, *Strombus Gigas* in the Jaragua National Park
Grenada: Fisheries-Based Participatory Research for Facilitating Biodiversity Co-management in Grenada
Guatemala: Garifuna reefs – characterization of the ancestral fishing of the Garifanu people in reefs of Amatique Bay (Guatemala); their geographical position and ecological evaluation; and technical proposals for their protection and sustainable management by the community
Panama: Symbolic territorial representation of the Kuna indigenous community of the Kuna Yala (San Blas)
Integrated Conservation Management of the Nariva Swamp – Phase 2
IDRC OLA Deployment Workshop
IDRC Global Knowledge Workshop

“ICRAFD / CARIFORUM”

| | |
|-------------|---|
| | CARIFORUM Project Principle Document |
| | Reuben Charles – LOA (Work Programme for ICRAFD) |
| | Work Programme |
| | CARIFORUM – Status of implementation |
| | CARIFORUM General Correspondence |
| | CARIFORUM Finance Correspondence |
| | Bahamas General Correspondence |
| | Haiti General Correspondence |
| | Suriname General Correspondence |
| | Bahamas Finance |
| | Dominican Republic Finance |
| | Haiti Finance |
| | Suriname Finance |
| 111.5.3 | Vehicle Insurance |
| 112.3 | Computers and Software |
| 112.5 | Quotations for CARIFORUM Vehicle |
| 113.3.1 | Lease and Rental |
| 114 | CARIFORUM Personnel – Long-term Staff |
| 114.1 | Biologist |
| 114.2 | Data Manager / Analyst |
| 140.3 | Annual Workplan (Subprojects) |
| 140.3.1 | Workplan and Correspondence (Suriname) |
| 140.3.2 | Workplan and Correspondence (Dominican Republic) |
| 140.3.3 | Workplan and General Correspondence |
| 140.3.4 | Workplan and Correspondence |
| 140.3.5 | CFRAMP Member States (Three-year Workplan) |
| 141 | Auditing |
| | ICRAFD Review (CARIFORUM) |
| 150.1 | Progress Reports Correspondence |
| 150.2 | Progress Reports |
| | CARIFORUM Inception Mission |
| 200.1 | Inception Suriname |
| 200.2 | Inception Dominican Republic |
| 200.3 | Inception Haiti |
| 200.4 | Inception Bahamas |
| 330 | Multidisciplinary Surveys |
| 310.1/320.1 | Review and Refinement of the Data Collection Systems (Suriname) |
| 310.1/320.1 | Review and Refinement of the Data Collection Systems (Dominican Republic) |
| 310.1/320.1 | Review and Refinement of the Data Collection Systems (Bahamas) |

- 310.2 Enhance Data Collection Plans covering the Major Fisheries
- 310.3 Train Fisheries Staff in Data Collection (Bahamas)
- 310.3 Train Fisheries Staff in Data Collection (Belize)
- 310.3 Train Fisheries Staff in Data Collection (Dominican Republic)
- 310.3 Train Fisheries Staff in Data Collection (Suriname)
- Dr. Paul Medley's Consultancy File
- 310.4/314.1 Database Software Upgrading of TIP & LRS (Workshop File)
- CARIFIS Workshop
- First Workshop of Regional Experts to Review and Upgrade Trip Interview Programme (TIP) and Licensing and Registration Systems (LRS) Software Programmes
- TIP / LRS Testing / Comments
- 310.5/320.4 Train Department of Fisheries Staff in Data Entry, Analysis and Reporting (TIP & LRS) (Suriname)
- 310.6/320.3 Provide Resources for Implementation (Computer and Data Collection Equipment) (Bahamas)
- 310.6/320.3 Provide Resources for Implementation (Computer and Data Collection Equipment) (Dominican Republic)
- 310.6/320.3 Provide Resources for Implementation (Computer and Data Collection Equipment) (Suriname)
- 310.9 National Fisheries Survey (Haiti)
- 330 Multidisciplinary Surveys
- 330.2 Multidisciplinary Surveys (Dominican Republic)
- 330.4 Bahamas Baseline Survey
- 330.4 Haiti Baseline Survey
- 330.4 Suriname Baseline Survey
- 330/532 General Correspondence
- National Fisheries Workshop (Bahamas)
- National Fisheries Workshop (Dominican Republic)
- National Fisheries Workshop (Suriname)
- 400.4 Monitoring and Provision of Technical Assistance
- 410.1 Review and Analysis of Historical Data / Bibliographic Study (Dominican Republic)
- 424.4 Observer Programme (Guyana)
- 430.1 Assessment of Conch Fishery (Dominican Republic)
- 430.2 Assessment of Lobster Fishery (Dominican Republic)
- 510/520 Policy Formulation
- 510/520.1 Policy Formulation (Suriname)
- 511.1 Preparation of Comprehensive National Fisheries and Aquaculture Policy
- 511.2 Fisheries Consultation on Impact of Climate Change
- 550.1 Suriname
- 512.1 Strategic Review and Upgrading Organizational Structure of Fisheries Department (Bahamas)
- 512.1 Strategic Review and Upgrading Organizational Structure of Fisheries Department (Dominican Republic)
- 512.1 Strategic Review and Upgrading Organizational Structure of Fisheries Department (Guyana)

- 512.1 Strategic Review and Upgrading Organizational Structure of Fisheries Department (Haiti)
- 512.1 Strategic Review and Upgrading Organizational Structure of Fisheries Department (Suriname)
- 512.4 Development of Mechanism for Conflict Resolution
- 534 Data Training and Capacity Building Workshop (Bahamas)
- 534 Data Training and Capacity Building Workshop (Barbados)
- 534 Data Training and Capacity Building Workshop (Dominican Republic)
- 534.2.1 Data Training and Capacity Building Workshop (Suriname)
- Job Applications / Correspondence
- Job Applications: Data Manager / Biologist / Assistant Scientific Director
- 540.1 Long Term Training and Scholarship (General)
- Yolanda Babb-Echteld
- Estanislao Balbuena Guillandeaux
- Elvis Clarke
- Ian Jones
- Mauro Gongora
- Richard Kelly
- Tamika Rahming
- Wilner Romain
- Leslie Straker
- Harold Guiste
- 540.2 Short Term Training
- 540.3 Short Term Training and Attachments, Suriname
- 560 Regional Strategy for Improved Port Harvest, Processing and Marketing
- Ronald M. Gordon
- CTA Project Proposals
- 570.2 Aquaculture Development

CLASSIFICATION SYSTEM FOR PERSONAL FILES**ALPHA / NUMERIC SYSTEM**

Under this system of classification, all files are first classified alphabetically, then numbered in sequence. For example, all files for persons whose surnames begin with the letter A should be grouped together, and the first numbered A/1, the second A/2, and so on. An alphabetically sequenced book could be used for this purpose.

The Alpha-numeric system could be sub-divided so as to accommodate confidential papers, appointment and leave papers.

Files for Jane Sargeant are numbered as follows:-

| | | |
|-------|---|--------------------------------------|
| C.S/1 | - | Sargeant, Jane (Confidential Papers) |
| S/1 | - | Sargeant, Jane (Appointment etc.) |
| S/1/1 | - | Sargeant, Jane (Leave) |

CLASSIFICATION FOR CONFIDENTIAL FILES

Confidential files are classified, numbered and indexed in the same manner as subject files.

File covers, however, would be of a different colour, usually blue or yellow, with "CONFIDENTIAL" labeled boldly on the top right hand corner.

These files are stored separately from other files.

MINUTES

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Section 5.3 Publications and Reports

5.3.1 General Principles

The CRFM Secretariat regards documentation of outputs as an important component of the establishment of a sustainable fisheries management mechanism. Documentation is seen as an important means of promoting communication between individuals and organizations involved in fisheries.

Results of non-CRFM Secretariat activities in fisheries which are relevant to the goals of the CRFM can be published in the CRFM fishery document series, subject to the following:

- The organization which is submitting the document might be requested to provide funds for production and distribution.
- The submissions are subject to the review and quality control procedures described herein.

5.3.2. Confidentiality of Data

Previously unpublished national data and material considered confidential will not be included in any CRFM Fisheries publication without the consent of the countries involved. In instances where nationals of the country involved are collaborating in the preparation of the publication, the onus for obtaining appropriate clearances for publication will rest with such individuals. In other cases, the Executive Director will obtain permission from relevant Member States, prior to publishing any national data that might be confidential or otherwise sensitive in nature. This would especially apply to national data. In the cases where the collaboration is between CRFM Secretariat and another agency, the same policy will apply.

5.3.3. Publication by Consultants

Publication of material generated by consultants is encouraged. Therefore, no consultant to the CRFM Secretariat has any right to publish material or data resulting from work conducted on behalf of the CRFM Secretariat, unless the contract specifies otherwise, or unless prior written approval is obtained from the Executive Director.

5.3.4. Publication in the Primary Literature

Scientific or technical papers intended for publication in the primary literature are subject to internal review. One internal referee will provide comments on the technical merit of the paper to the Executive Director or his/her delegate, who will decide on submission of the paper for publication taking the comments into consideration.

Papers arising from non-CRFM Secretariat activities are not subject to this policy, unless the CRFM Secretariat's name and address is used as the primary address.

5.3.5. Authorship

In preparation and publication of documents under the CRFM series, the CRFM Secretariat's staff shall observe standard ethics pertaining to authorship and co-authorship, particularly as it relates to the involvement of individuals from institutions and Fisheries Divisions in participating countries.

Mission reports, workshop reports and other technical reports which are the product of a team effort and may contain significant input from several individuals and organizations shall be produced as corporate CRFM publications and shall not bear the names of any individual as author. The Executive Director shall determine which documents are produced as corporate CRFM publications.

Scientific articles, papers and technical reports intended for publication under the CRFM publication series and prepared by CRFM Secretariat staff from work undertaken by the may have a named author if the content, analyses and interpretation of information resulted from considerable individual effort. The Executive Director shall be responsible for determining which documents are permitted to be published as individually authored documents.

Scientific articles, papers and technical reports intended for publication under the CRFM series by persons who are not staff members and are not work undertaken on behalf of the CRFM Secretariat may be published as individually authored document.

5.3.6. Quality Control

There are two aspects to quality control. The first concerns adherence to style and format as described in this document. Authors should follow these guidelines closely, and the designated officer at the CRFM Secretariat should provide the final check before the document is issued.

The second aspect of quality control concerns the appropriateness and accuracy of content. The latter will be assured by having the document reviewed by an appropriate technical individual in CRFM Secretariat and in the case of the CRFM Fishery Report series and documents intended for publication in the primary literature by an independent referee. Using the form shown in *Appendix 5.5*, authors should have their documents reviewed and submit the revised draft, camera ready and in electronic format, together with the signed forms to the CRFM Secretariat. On final approval, the CRFM Secretariat will assign a serial number to the document.

5.3.7. Review Sequence and Production of Documents

The review sequence is summarized in the flow chart appended to this report (Fig 1). The main steps in the sequence are as follows:

A draft paper for publication must be submitted for internal review.

- Following any suggested revisions, the draft paper is then submitted to the Executive Director for review.
- A draft document judged by the Executive Director to be routine in nature and content, will be sent to the author for revision and incorporation of any changes suggested by the Executive Director. The revised draft document is then resubmitted to the Executive Director for approval and then sent to the Corporate Services Manager for printing and distribution.
- If the Executive Director judges the draft paper to be sensitive in nature or contains confidential information then it is sent for review to either the Executive Committee, or the respective Member States in cases where three or less Member States are involved.
- The reviewed document is then returned by the Executive Committee or the Member States to the Executive Director who then returns the draft paper to the author for revision and resubmission.
- A draft document intended for publication in the primary literature or in the CRFM Fishery Report series will be sent for independent review in addition to the internal review.
- The Executive Director will select an appropriate independent referee and communicate directly with him or her. The independent referee may be a member of the Technical Team. The reviewed document is then sent back to the Executive Director and returned to the author for revision. The identity of the referee shall remain confidential unless the referee decides otherwise. The comments of the referee shall be kept confidential and shall therefore be labelled “Confidential” on their return to the Executive Director and subsequent transmission to the author.

- The revised draft document, having been amended by the author is then resubmitted to the Executive Director. The Executive Director then approves and submits the document to the journal in question for possible publication. A document intended for publication in the CRFM series is sent to the Corporate Services Manager for printing. A document intended for presentation at a conference is returned to the author.

The CRFM Secretariat will be responsible for the printing and distribution of the report from camera-ready copies supplied by the editor/author. Workshop proceedings should be published at the latest six months after the workshop. Other reports should be published as soon after receipt as funds permit. In the case of CRFM Fishery Reports and certain types of CRFM Special Fishery Publications, ISBN or ISSN numbers are required.

5.3.7.1 Descriptions of the Documentation Series

In order for the CRFM Secretariat to meet its mandate of co-ordinating fishery activities among CARICOM Member States, and disseminating fishery advice and information, it is necessary for the Program to produce various types of regular publications, and to document its activities. The following series are published:

- CRFM Fishery Reports
- CRFM Fishery Research Documents
- CRFM Fishery Advisory Documents
- CRFM Special Fishery Publications
- CRFM Fisheries NewsNet (Newsletter)

5.3.8. CRFM Fishery Reports

The objective of these reports is to communicate the proceedings of major workshops and substantive review and research activities which are of regional significance and of interest to an international audience. This is intended to be the highest profile publication of the CRFM Secretariat and will be the vehicle through which the CRFM Secretariat will contribute to the international fishery literature. Apart from workshop proceedings, sources of these Fishery Reports could include: reports of consultants employed by the CRFM Secretariat, and the results of research projects conducted in the region by the CRFM Secretariat or by other organizations. In the case of the latter, publications costs may have to be met by the executing organization.

5.3.9. CRFM Fishery Research Documents

This series is intended to document the basis for the advice provided in the CRFM Fishery Advisory Documents. As such, they are aimed at a technical readership. They differ from the report series in that they may contain preliminary information, compilations of data which are not suitable for publication in the primary literature or the Fishery Report Series, and routine calculations and analyses. These reports could also contain summaries of data on fish catches, prices, fishing effort, and structure of the fishing industries in Member States. These documents should provide sufficient detail that a reader may assess the validity of the calculations, and the rationale for the conclusions drawn. Fishery management institutions elsewhere have found this type of documentation invaluable in conducting retrospective analyses of the basis for past fishery management decisions.

5.3.10. CRFM Fishery Advisory Documents

This series is intended to document the advice provided by the CRFM Secretariat to Member States or other organizations. As such these documents are aimed at an informed but non-technical readership. They differ from the Research Document Series in that they provide the advice in a form comprehensible to the decision makers, and also summarize the rationale and main technical points on which the advice is based. These documents should provide sufficient detail that a reader may assess the rationale for the advice, particularly where various social and economic factors may cause the advice to differ from that in the Research Document. Fishery management institutions have found this type of documentation invaluable in conducting retrospective analyses of the basis for past fishery management decisions.

5.3.11. CRFM Special Fishery Publications

The purpose of this series is to provide an outlet for miscellaneous publications such as: popular and educational pamphlets, brochures, leaflets, and posters.

5.3.11.1 CRFM News

The CRFM News is a quarterly newsletter which will provide agencies and individuals involved and interested in the CARICOM fisheries sector with information on key developments within the sector as well as information on the activities of the CRFM Secretariat.

The CRFM News is targeted at an informed but non-technical readership. The scope is broad enough to interest other persons and agencies involved in fisheries-related subjects e.g. sports-fishing enthusiasts, suppliers of fishing gear and equipment, government fishery departments, fisheries students, etc.

5.3.11.2 Style and Format

The completed report should be sent to the CRFM Secretariat. Near letter quality dot matrix print is the minimum acceptable quality of print, but laser printed text is preferable. The pages should have one inch margins on all sides.

5.3.11.3 CRFM Fishery Reports

These reports are 8.5 by 11 inch soft cover documents produced in typescript, similar to: FAO Fishery Reports or Fisheries Technical Papers; Canadian Technical Reports of Fisheries and Aquatic Sciences; (US) NOAA Technical Reports of the NMFS; and ICLARM Studies and Reviews or Conference Proceedings.

Each Report should include the following sections in order of appearance:

- Cover:** There is a standard format cover with logos (*Annex 2*). The box will contain a graphic, which is specific to the report in question. This may be a picture, a graph, or a diagram.
- Title Page:** This should give the title of the document, the editor or author with affiliation/address, and the series title and number (format in *Annex 2 (II)*).
- Information Page:** This repeats the above information giving the correct citation for the document and the ISBN or ISSN numbers assigned to the document (*Annex 3*).
- Abstract:** (In the case of conference proceedings, there must be an overall abstract, and one for each paper.) The abstract should be preceded by the correct citation for the report or paper, should summarize the major findings, and should not exceed one typed page in order to be acceptable to an abstracting service (*Annex 3*).
- Preface (optional):** The preface provides the editor or author with an opportunity to explain how the document came about and to provide any personal insights which might be useful in its interpretation (*Annex 3*).
- Table of Contents:** Lists the sections of the document and gives the number of the page on which each section begins.

List of Figures, Plates and Tables (optional):

When the most important information in the document is contained in the figures, plates and/or tables these lists facilitate rapid access.

Workshop report or executive summary (for workshop proceedings only):

These are actually longer than an abstract since they are not intended to be acceptable to an abstracting service.

The main body of the report:

In the case of workshop proceedings this would consist of the contributed papers, and in the case of a research or review paper would contain the usual sections: Introduction, Methods, Results, and Discussion.

Acknowledgements: (optional)

References cited: All references cited in the report should be included in this section, or in the case of Workshop Proceedings, at the end of individual papers (formats in *Annex 3*).

Section headings and sub-headings should follow a consistent hierarchical pattern. For example:

- Heading Level 1
- Heading Level 2
- Heading Level 3
- Heading Level 4

All figures and tables should be clearly numbered and captioned (figure captions below Figure, Table captions above Table. Typescript is the minimum quality lettering for figures.

5.3.11.4 CRFM Fishery Research Documents

The style and format of these documents is more flexible than that of the Fishery Reports. Nevertheless, they will typically contain an abstract, introduction, methods, results, and discussion. Any literature cited should be fully referenced. They should be produced on 8.5 x 11 inch paper with title page such as shown in *Annex 3 (II)*.

5.3.11.5 CRFM Fishery Advisory Documents

Advisory documents will typically be in narrative style, but may contain Tables and Figures. They should be produced on 8.5 x 11 inch paper, and should be titled as shown in *Annex 4*.

5.3.11.6 CRFM Special Fishery Publications

The style and format of CRFM Special Fishery Publications is dictated by the nature of the publication.

5.3.12 Electronic Mail / Internet Use

CRFM provides various forms of information technology to employees. The use of such technology requires that staff abide by a usage policy and the guidelines that may be provided from time to time. Staff will receive an e-mail account and have unlimited access to the Internet or the World Wide Web subject to the provisions of the information technology/ computer use policy (see section 4.3).

5.3.13 Intellectual Property

CRFM embraces the principle of respecting the intellectual property rights of individuals and organizations. It will abide by the convention and laws which require prior permission for original intellectual material or observe the conditions of use established by the authors of intellectual works. Similarly, CRFM will protect its intellectual property rights and ensure that its intellectual works are not used in a manner which prejudices or infringes the rights of the organization.

**GUIDELINES FOR THE PREPARATION AND
PRODUCTION OF DOCUMENTS PUBLISHED
BY THE
CARIBBEAN REGIONAL FISHERIES
MECHANISM (CRFM)**

By

Susan Singh-Renton and Michael Salton

CRFM Secretariat - 2006

**GUIDELINES FOR THE PREPARATION AND
PRODUCTION OF DOCUMENTS
PUBLISHED BY THE
CARIBBEAN REGIONAL FISHERIES MECHANISM
(CRFM)**

CRFM Secretariat,
Belize and St. Vincent and the Grenadines

**GUIDELINES FOR THE PREPARATION AND PRODUCTION OF
DOCUMENTS PUBLISHED BY THE CARIBBEAN REGIONAL
FISHERIES MECHANISM (CRFM)**

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Correct Citation:

Singh-Renton, S. & Salton, M. 2007. Guidelines For The Preparation And Production Of Documents Published By The Caribbean Regional Fisheries Mechanism (CRFM). CRFM Special Publication, No. 1, 30 pp.

ISSN # [TNR 10 PT]
ISBN # 976-8165-15-4

Published by the Caribbean Regional Fisheries Mechanism Secretariat,
Belize and St. Vincent and the Grenadines.

FOREWORD

The organization of the Caribbean Regional Fisheries Mechanism (CRFM) was formally established in 2002 by Member States of the Caribbean Community (CARICOM) to facilitate continuation and expansion of the work commenced during the 1990s under a regional fisheries initiative, the CARICOM Fisheries Resource and Assessment Management Program (CFRAMP). CFRAMP was a project funded by the Canadian International Development Agency (CIDA) and CARICOM governments.

The status of the CRFM as an autonomous organization, its mandate that includes both advisory and regulatory functions in respect of the fisheries resources under the jurisdiction of its Member States, and its capacity to nurture long-term relations with non-CARICOM States, mean that CRFM initiatives are planned and implemented with long-term objectives in mind. In view of this, it is important for the CRFM to document formally its progress of planned activities and projects on a regular basis, so its achievements can be measured through time. Such documentation would also allow others to benefit from CRFM outputs and experiences.

Consequently, this Special Publication has been prepared to guide the preparation and production of CRFM publications so that these can be accessed and accurately referenced by all potential users. The authors are grateful to Mr. Milton Haughton, Mr. Anthony Mills, Ms. Pamela Gibson-Murphy, Ms. Sherlene Audinett and Ms. Maren Headley for their very useful comments on earlier drafts of this publication.

ABSTRACT

The CRFM publication series are discussed. In particular, the content and format of each publication series are described. The general principles for guiding the preparation and production of CRFM publications are noted, and instructions to authors are provided. In addition, this document outlines the procedure for review of manuscripts intended for publication in the CRFM Series.

INTRODUCTION

The Caribbean Regional Fisheries Mechanism (CRFM) was established formally in February 2002, as the permanent successor of the CARICOM Fisheries Resource Assessment and Management Program (CFRAMP), which was originally an 8-year regional cooperative program of 12 CARICOM countries during the 1990s. The CRFM is a regional organization, with a mandate to address the fisheries conservation and management needs of its Member States.

During CFRAMP, a publication series was developed to document the Program's activities (Mahon *et al.*, 1992). However, acknowledging that the CRFM has been established as an autonomous organization officially registered with the United Nations, with the flexibility of extending its activities beyond the range of CARICOM territories and of addressing a wider range of issues than CFRAMP, it is necessary to update the publication series developed under CFRAMP to reflect the new status and *modus operandi* of the CRFM.

The CRFM is composed of three primary organs: the Ministerial Council; the Caribbean Fisheries Forum (hereafter called "the Forum"); and the Technical Unit (hereafter called "the CRFM Secretariat").

- 1) **The Ministerial Council** is the oversight body that has responsibility for, *inter alia*: guiding policy planning and decision-making based on recommendations and requests from the Caribbean Fisheries Forum, and; promoting the efficient management, conservation and development of shared resources through development of human and institutional capacities and cooperation with other organizations and entities with overlapping aims.
- 2) **The Forum** provides technical leadership to the CRFM. More specifically the Forum provides technical direction, advice to the Ministerial Council, reviews and recommends work programs, and provides oversight to the operations of the CRFM Secretariat.
- 3) **The CRFM Secretariat** is responsible for the daily coordination of the CRFM's work program, collaborating with national fisheries authorities, mobilizing resources, and managing the institutional networking to promote optimal involvement and the efficient functioning of the network.

Since the inauguration of the CRFM in March 2003, the Forum and Ministerial Council meet annually to review the organization's plans and progress. The activities of the CRFM are coordinated and implemented through three core programs: Statistics and Information; Research and Resource Assessment; and Fisheries Management and Development. These three programs are responsible for addressing a range of needs, including provision of training; development of fisheries statistical monitoring systems; database development and maintenance; research; resource assessment; development of fisheries management plans; national consultations; formulation of fisheries management and development policies; provision of advice in respect of fisheries legislation needs, monitoring control and surveillance, post-harvest technology; and trade.

Working Groups are established, when necessary, to ensure close regional coordination and cooperation in execution of key CRFM activities, for example, formulating fisheries management recommendations based on fisheries assessment analyses, and the development of a Common Fisheries Policy and Regime. Commencing in 2004, the CRFM Secretariat also introduced an annual scientific meeting to facilitate annual on-site meetings of several CRFM fish resource working groups that coordinate research and assessment of the region's major fisheries.

The documentation of CRFM activities facilitates monitoring of work progress, and provides an essential record of the organization's achievements with the passage of time. By this means, key findings can be made more readily available to inform the planning and implementation of subsequent projects with similar or overlapping aims especially in the region.

GENERAL PRINCIPLES

The general principles outlined in Mahon *et al.*, (1992) for CFRAMP publications are upheld and are reiterated here for completeness of this document. The following principles should be observed by authors of CRFM publications, regardless of their affiliation:

- (i) Authors shall maintain the confidentiality of, and refrain from using or disclosing, any confidential and proprietary information of any Participating State.
- (ii) The identity of individuals from whom research data or information is obtained shall be kept strictly confidential. No information revealing the identity of any individual shall be included in any report or in any other communication, unless the individual concerned has consented in writing to this inclusion beforehand.

- (iii) In the case of publications providing details and findings of projects or studies involving collaboration with individuals from national fisheries divisions or departments, other national agencies or institutions, permission to publish should be sought from the individuals concerned.
- (iv) In the case of publications involving more than one author, co-authors should be listed in the order of their level of contribution to the publication. In those instances where authors have contributed equally to a publication, their names should be listed in alphabetical order.
- (v) All submissions for publication should be subject to the review procedures for CRFM publications and which are outlined in this publication.
- (vi) Activities that are related to the mandate of the CRFM, but which are not directly supported by the CRFM could be included in the CRFM series, if the individual or organization concerned provides funds for production and distribution of the publication.

DESCRIPTIONS OF THE VARIOUS CRFM PUBLICATION SERIES

As far as possible, the CRFM series is designed to maintain continuity with the general nature of the publication series developed by CFRAMP. However, new publication series have been introduced to take into account the expanded obligations, as well as the anticipated growth and unlimited duration of the CRFM as a regional organization.

CRFM Annual Scientific Meeting Report Series

This is an annual, formally bound publication with wide circulation. It is dedicated to the reports of the annual CRFM scientific meetings, which deal with:

- (i) The full, detailed reports of the annual on-site meetings of the CRFM fisheries resource working groups,
- (ii) Technical papers submitted to the annual scientific meeting,
- (iii) The report of the annual plenary sessions,
- (iv) National reports, and
- (v) Fishery management advisory summaries prepared for each fishery assessed.

In consequence, this publication has two volumes and supplements, as necessary:

- (i) Volume 1 that includes (i)-(iii) listed previously,
- (ii) Volume 2 that includes the fishery management advisory summaries that are the summary sections of the fisheries assessment reports, and
- (iii) Supplements to Volume 1, as necessary, that can include compilations of national reports, special reports, etc.

Volume 2 serves as the fishery manager's and stakeholder's primary reference companion to Volume 1 of the Annual Scientific Meeting Report Series. Volume 2 is designed to include fisheries management

advisory summaries specially prepared for conveying the important findings, conclusions and recommendations of the assessments completed during the annual scientific meetings, in a succinct and less technical format than the more detailed Volume 1. This publication series has a simple soft cover design. Additionally, report titles carry the ordinal number of the meeting, as well as the year of the meeting e.g. Second Annual Scientific Meeting Report – 2006, Volume 1.

CRFM Research Paper Collection Series

This publication series facilitates the documentation of the details of specific technical studies completed under the auspices of CRFM, including but not limited to: research (original investigations, as well as reviews), including interview studies, methodology studies, and; fishery development and technology studies. This publication series has a simple but specific format, and it is published in formally bound volumes, each comprising a collection of up to 20 papers at a time, depending on size.

CRFM Technical & Advisory Document Series

This publication series includes documentation of technical studies and activities generally devoted to generation of advice on one or more aspects of the fishing industry. The series is therefore expected to include the following: reports of technical and training workshops; reports of technical working group meetings and fisheries analyses, conducted separately from the annual Forum and CRFM scientific meetings; reports of national fisheries consultations, including national and fisheries management plans; reports of technical, scientific and fact-finding missions. This publication series can facilitate greater flexibility in its presentation and layout, compared to that of the Research Paper Collection Volume Series. CRFM Technical & Advisory Documents are simply bound, but are formal publications. The numbering system is the Arabic system and includes the year of publication, e.g. CRFM Technical & Advisory Document Number 2006/2.

CRFM Annual Statistics and Information Report Series (compact disc publication)

This is an annual publication (on compact disc), intended to provide agreed annual statistical and information reports, based on contributions to the CRFM regional databases and agreed data sharing arrangements. Given this is an annual publication, report titles carry the ordinal number of the report, as well as the reporting year, e.g. First Annual Statistics and Information Report - 2006.

CRFM Administrative Report Series

This publication series is intended to include all reports dealing with the administration of CRFM activities by the Secretariat. The CRFM Secretariat Progress and Financial Report (prepared quarterly) and CRFM Annual Reports are produced by the Secretariat to provide details pertaining to the finance and administration of projects, as well as their course and status of implementation. The main CRFM Annual Report is a formally bound document, and is numbered according to the reporting period, e.g. CRFM Annual Report, April 1st 2005 to March 31st 2006. Quarterly progress reports and other related administrative reports are primarily internal reports that may not be formally bound. These are not numbered but the titles indicate the chronological order, e.g. CRFM Secretariat Progress and Financial Report for PY 2007/08 (Quarter 1), where PY means ‘Program Year’.

CRFM Annual Management Report Series

This is an annual publication, with restricted access. The series includes the reports of those meetings that address general CRFM management issues, as well as review and approve recommendations pertaining to the management of those fisheries assessed by the CRFM. The series is therefore expected to include the following:

- Proceedings of Annual Meetings of the Caribbean Fisheries Forum;
- Proceedings of Special Meetings of the Caribbean Fisheries Forum;
- Proceedings of the Meetings of the Executive Committee of the Forum;
- Proceedings of the Annual Meetings of the CRFM Ministerial Council.

Given that the Caribbean Fisheries Forum and the CRFM Ministerial Council regular meetings are held annually and the proceedings of the regular, annual Forum meeting is linked to the proceedings of the regular, annual Ministerial Council meeting in any particular program year (for the CRFM, the program year runs from April of one year to March of the next year), the two related proceedings in any program year are published as Volumes 1 and 2 of the same Management Report. For example, the proceedings of the annual meetings of the Forum and Ministerial Council held in program year 2005 - 06 are published as Third Annual Management Report – 2005 - 06, Volume 1, and Third Annual Management Report – 2005 - 06, Volume 2 respectively. Reports of Special Meetings of the Forum and the Executive Committee of the Forum are published as supplements to the Management Report for the year concerned and numbered according to the chronological order, e.g. the Report of the Special Meeting of the Forum held in October 2006 and the Seventh Meeting of the Executive Committee of the Forum held in December 2006 are published as Fourth Annual Management Report – 2006 - 07, Volume 1, Supplement 1, and Fourth Annual Management Report – 2006 - 07, Volume 1, Supplement 2 respectively.

CRFM Special Publication Series

This publication series includes booklets, special reports, technical documents and CDs providing guidelines or instructions for specialized themes, e.g. preparation of CRFM publications, data collection, and database manuals. This publication can vary in format and design depending on the subject matter and purpose. CRFM Special Publications are numbered using the Arabic system, e.g. the present document is CRFM Special Publication, Number 1.

CRFM News

The CRFM News is a bi-annual newsletter that is intended to provide agencies and individuals involved and interested in the fisheries sector with information on key developments within the industry, but focusing mainly on the activities of the CRFM Secretariat. This publication is designed for non- technical readership. It is published in issues that are numbered using the Arabic system.

RELATION OF CRFM PUBLICATION SERIES TO PUBLICATION SERIES DEVELOPED BY CFRAMP

The table below shows the relation of the new CRFM publication titles to the titles used previously by CFRAMP.

Table 1. CRFM publication series titles and their relation to the titles used for the CFRAMP publication series.

| <u>CFRAMP Publications Series</u> | <u>CRFM Publications Series</u> |
|---|--|
| CARICOM Fishery Report | CRFM Annual Scientific Meeting Report |
| CARICOM Fishery Research Document | CRFM Research Paper Collection Series and CRFM Technical & Advisory Document Series |
| CARICOM Fishery Advisory Document | CRFM Annual Scientific Meeting Report (Volume 2) |
| CARICOM Special Fisheries Publication | CRFM Special Publication |
| CARICOM Fisheries Newsnet | CRFM News |
| | * CRFM Annual Statistics and Information Report |
| | * CRFM Administrative Report |
| | * CRFM Annual Management Report |
| * New additions to the Publications Series. | |

PUBLICATION REVIEW PROCEDURES AND INSTRUCTIONS TO AUTHORS

Review Procedures

A special CRFM publication review / approval form is used to facilitate documentation of the reviewer's comments and recommendations (Appendix 1). This form is designed to facilitate also the internal review and approval of manuscripts prepared by Secretariat staff for publication outside of the CRFM Publication Series.

The following CRFM Secretariat review/approval procedures are intended to ensure quality and consistency in the content, preparation and production of CRFM publications.

- (i) Authors must prepare their manuscripts in accordance with the agreed format for the particular type of publication being produced, and submit both a hard and an electronic copy to the Manager of the relevant CRFM program.
- (ii) Manuscripts for the CRFM Research Paper Collection and Technical & Advisory Document Series, should be reviewed and approved by the Manager of the relevant CRFM Program, the Deputy Executive Director and Executive Director, prior to submission for publication.
- (iii) The CRFM Annual Scientific Meeting and Management Reports are essentially publications documenting meeting proceedings. Each annual report should be reviewed and approved by the Deputy Executive Director and Executive Director, prior to submission for publication.
- (iv) The CRFM Annual Statistics and Information Reports are essentially providing agreed summaries of shared data and information. Each annual report should be reviewed and approved by the Deputy Executive Director and Executive Director, prior to submission for publication.
- (v) The CRFM Administrative Reports are prepared by the CRFM Secretariat, and should be reviewed and approved by the Deputy Executive Director and Executive Director, prior to finalization and publication.
- (vi) The special CRFM publication review / approval form should be completed by each reviewer, and should be used to confirm the readiness of documents and reports for publication.
- (vii) Besides CRFM Administrative Reports, Special Publications and the CRFM News, all other publications should ideally be submitted for review and approval no later than six (6) months after the study, workshop or meeting has been completed. Longer time periods for preparing publications would be allowed for certain studies, especially where they involve computerization of large quantities of data, or where there are limited resources available for data computerization and / or analysis, reporting or communication.

Instructions to Authors

All publications, except CRFM Special Publications and the CRFM News, use 8.5 x 11-inch paper. Authors are required to prepare documents and reports in accordance with the formats recommended for the relevant publication. Annexes 2 to 5 provide specific formatting instructions for each type of CRFM publication, except the CRFM Special Publication Series, the format of which can vary depending on the content and purpose of the material presented. The CRFM News is produced by the Secretariat using an agreed newsletter format.

REFERENCES

Mahon, R., K.A. Aiken, and J. Neilson, 1992. Guidelines for preparation and production of fishery documentation series produced by the CARICOM Fishery Resource Assessment and Management Program (CFRAMP). CARICOM Fishery Research Document No. 1. CARICOM Fisheries Management Unit, Belize City, Belize. 15 pp.

ANNEX 2 – (I) SAMPLE FRONT COVER OF CRFM ANNUAL SCIENTIFIC MEETING, STATISTICS AND INFORMATION, AND MANAGEMENT REPORTS

(The background colour of the report title shows the colour of the annual scientific meeting report cover)

ISSN XXXX-XXXX
[ARIAL, BOLD, 9PT]

Caribbean Regional Fisheries Mechanism (CRFM) [Arial, Bold, 14 Pt]



SECOND ANNUAL SCIENTIFIC MEETING REPORT – 2006

[ARIAL BLACK, BOLD, 22 PT]

Volume 1

[Arial, Bold, 20 Pt]

[17- 24 spaces]

**CRFM Secretariat,
Belize and St. Vincent and the Grenadines [Arial Bold 12 PT]**

**ANNEX 2 – (II) SAMPLE TITLE PAGE OF CRFM ANNUAL SCIENTIFIC MEETING,
STATISTICS AND INFORMATION, AND MANAGEMENT REPORTS**

[3 lines]

**Second Annual Scientific Meeting Report - 2006
Volume 1 [Arial, Bold, 18 pt, Centred]**

CRFM Secretariat,
Belize and St. Vincent and the Grenadines [ARIAL, 14 PT]

ANNEX 2 – (III) SAMPLE INFORMATION PAGE OF CRFM ANNUAL SCIENTIFIC MEETING, STATISTICS AND INFORMATION, AND MANAGEMENT REPORTS

SECOND ANNUAL SCIENTIFIC MEETING REPORT – 2006. Volume 1 [TNR 14 PT]

[4 spaces]

Copyright [Insert YEAR] by
Caribbean Regional Fisheries Mechanism [TNR, Italics, 12 PT]

[9 spaces]

Correct Citation:

CRFM. 2006. Second Annual Scientific Meeting Report - 2006. Volume 1, 98 pp. [TNR 12 PT]

[4 spaces]

ISSN # [TNR 10 PT]
ISBN # [TNR 10 PT]

[3 spaces]

Published by the Caribbean Regional Fisheries Mechanism Secretariat,
Belize and St. Vincent and the Grenadines.[TNR 11 PT]

ANNEX 2 – (IV) FORMATTING TEXT FOR CRFM ANNUAL SCIENTIFIC MEETING, STATISTICS AND INFORMATION, AND MANAGEMENT REPORTS

Page Setup

The top, bottom, left and right margins for these reports should be set at 2.5 cm.

Foreword / Executive Summary

A Foreword or Executive Summary may be prepared for these reports, if necessary.

Table of Contents

A Table of Contents is required. The Table of Contents should be prepared so that the numbers or headings of sections of the report are listed with the relevant page number identified in the document.

Text of Main Report

The report should be prepared in English, using Times New Roman font, with size being 11 point. Both British and American English forms of spelling are acceptable, but the choice must be consistent throughout the report. Headings should be numbered, where appropriate, and also formatted as exemplified below:

1. LEVEL 1 HEADING

1.1 Level 2 Heading

1.1.1 Level 3 heading

1.1.1.1 Level 4 heading

In the case of the Annual Scientific Meeting and Statistical and Information Reports, traditional scientific guidelines for writing numbers should be followed. This means that numbers below 10 should be spelt out, except those used with units of measurement such as volume, length, weight, etc. All acronyms, abbreviations and technical terms should be written in full the first time that they are used. Calendar dates should follow the format day, month, year, e.g. 15 November 2006. Zeroes should precede all decimal points for values less than one. All units of measurement should be in metric format. The correct scientific names must accompany common and local species names when used, and must be italicized. Where contributed reports and/or papers are technical, the body of the report or technical paper should include the subject categories typically expected of these types of articles: Introduction, Methods, Results, Discussion, Acknowledgements and References.

Tables / Figures / Illustrations

Tables and figures must be numbered, and the text font should be Times New Roman, 11 point. Both table and figures must be placed at the end of the report, or at the end of each individual analysis report, if it represents a compilation of such reports. Tables and figures must be cited in numerical order in the text. Table titles should be short but ample enough to allow the table to be intelligible on its own. Tables

should be designed to fit within a printed page. Symbols must be explained in the table/figure legend. Outline rules should not be used around graphs. The first letter of the first word in all labels within figures should be capitalized.

References

All references cited in the text must appear in the list of references, and all works included in the list of references must be cited in the text. The following examples illustrate the style and format of references for CRFM publications

Article in a Journal (note that journal title is italicized, spelled in full [not abbreviated], and the volume is in bold type)

Verspoor, E. & Jordan, W. C. (1989). Genetic variation at the Me-2 locus in the Atlantic Salmon within and between rivers: evidence for its selective maintenance. *Journal of Fish Biology*, **35** Suppl.A, 205-213.

Wright, S. (1931). Evolution in Mendelian populations. *Genetics* **16**, 97-159.

Article in Chapter of a Book (note that for the book title, the text is italicized and title case is used)

Balon, E. K. (1980). Early ontogeny of lake charr, *Salvelinus* (Cristivomer) namaycush. In *Charrs, Salmonid Fishes of the Genus Salvelinus* (E. K. Balon, ed.), pp. 485-562. The Hague: Dr. W. Junk Publishers.

Sparre, P. (1987). A method for the estimation of growth, mortality and gear selection/recruitment parameters from length-frequency samples weighted by catch per effort. In *Length-Based Methods in Fisheries Research* (D. Pauly & G.R. Morgan, eds), pp. 75-102. ICLARM Conference Proceedings 13, Manila.

Book or Special Report - not in a series (note that the book title is italicized, important words capitalized and title case is used)

Fienberg, S. E. (1980). *The Analysis of Cross-Classified Categorical Data*, 2nd Edition. Cambridge, MA: MIT Press. 198 pp.

Sokal, R. R. & Rohlf, F. J. (1981). *Biometry*. 2nd ed. San Francisco: W. H. Freeman. 859 pp.

Book or Report in a series (note that the book/report title is written in title case, and the series title is italicized, spelled in full [not abbreviated], and the volume, where applicable, is in bold type)

CFRM. (2005). Report of the First Annual CRFM Scientific Meeting. *CRFM Fishery Report*, No. 11, 318 pp.

Anon. (1965). The North Sea Herring. *ICES Cooperative Research Report*. No. 4. 57 pp.

Thesis (note thesis title is italicized, and sentence case is used)

Boyce, I.A. (1988). *The production of biogas and its environmental consequences*. Ph.D. Dissertation, CERMES, University of the West Indies, Barbados.

Unpublished manuscript (note brackets around dates)

Williams, R. O. (1996). Public Hearing Document for amberjack management workshops. Florida Marine Fisheries Commission, 2540 Executive Center Circle West, Suite 106, Tallahassee, Florida 32301, 10 pp. Unpubl. Ms.

Article or Book in Press

Manooch, C. S. III & Potts, J. C. Age, growth, and mortality estimates of greater amberjack, *Seriola dumerili*, from the U.S. Gulf of Mexico headboat fishery. *Bulletin of Marine Science*. In Press.

Article from the Internet

d'Auvergne, C. & Eckert, K. L. 1993. WIDECAST Sea Turtle Recovery Action Plan for St. Lucia (Karen L. Eckert, Editor). CEP Technical Report No. 26. UNEP Caribbean Environment Programme, Kingston, Jamaica. Internet-
http://www.cep.unep.org/pubs/Techreports/tr26en/content.html#_Toc457793991

ANNEX 3 – (I) SAMPLE FRONT COVER OF CRFM RESEARCH PAPER COLLECTION (background colour of title indicates colour of collection volume cover. Could be basically white with coloured vertical and/or horizontal bands of colour)

ISSN: XXXX-XXXX
[ARIAL, BOLD, 9PT]

Caribbean Regional Fisheries Mechanism [Arial, BOLD, 14 pt]



CRFM RESEARCH PAPER COLLECTION
[ARIAL, BOLD, 22 PT]
- Volume 1 -
[Arial, Bold, 20 Pt]

[17-24 lines]

CRFM Secretariat,
Belize and St. Vincent and the Grenadines [Arial Bold 12 pt]

**ANNEX 3 – (II) SAMPLE TITLE PAGE OF A CRFM RESEARCH PAPER
COLLECTION**

[3-5 lines]

**CRFM Research Paper Collection
Volume 1**

[Arial, Bold, 18 pt, Centred]

CRFM Secretariat,
Belize and St. Vincent and the Grenadines [ARIAL, 14 PT]

ANNEX 3 – (III) SAMPLE INFORMATION PAGE OF CRFM RESEARCH PAPER COLLECTION

CRFM RESEARCH PAPER COLLECTION. Volume 1 [TNR 14 PT]

[4 spaces]

Copyright [Insert YEAR] by Caribbean Regional Fisheries Mechanism [TNR, Italics, 12 Pt]

Published by the Caribbean Regional Fisheries Mechanism Secretariat,
Belize & St. Vincent and the Grenadines. [TNR 11 Pt]

ISSN # [TNR 10 Pt]

ISBN # [TNR 10 Pt]

ANNEX 3 – (IV) SAMPLE FIRST PAGE OF AN INDIVIDUAL CRFM RESEARCH PAPER

CRFM Research Paper Collection, Vol. 1, No. 11.
[CRFM Series title, volume and paper number in header, in italic font on first page only, TNR 12 pt]

**TITLE OF RESEARCH PAPER
THAT MAY CONTINUE FOR SEVERAL LINES
[TNR, BOLD, 16 PT, centred]**

[2 lines]

Jack B. Nimble, and Paula G. Barrow¹

[Authors' names, title case, TNR 12 pt, centred]

¹ *Biologist, CRFM Secretariat, Princess Margaret Drive, Belize City, Belize. Email: crfm@btl.net*

[Authors' addresses, title case, TNR 12 pt, Italics, centred]

[3 lines]

Abstract

The text of the Abstract should be in regular font. The Abstract must be no more than 200 words in length and should not contain any citations. [TNR 11pt]

KEYWORDS: keyword 1, keyword 2, keyword 3
[TNR 11 pt, Limited to 5 words, centred]

[start new page for main body of report]

ANNEX 3 – (V) FORMATTING TEXT FOR THE CRFM RESEARCH PAPER COLLECTION AND INDIVIDUAL RESEARCH PAPERS

COLLECTION VOLUME

Foreword / Explanatory Note

A Foreword or Explanatory Note may be prepared for the Collection Volume when compiled for publication.

Table of Contents

A Table of Contents is required for each Collection Volume, listing research papers in numerical ascending order, together with their first page numbers.

INDIVIDUAL CRFM RESEARCH PAPERS

Page Setup

The top, bottom, left and right margins for the CRFM Research Paper should be set at 2.5 cm.

Abstract

An abstract is necessary for the CRFM Research Paper.

Text of Main Report

The report should be prepared in English, using Times New Roman font, with size being 11 point. Both British and American English forms of spelling are acceptable, but the choice must be consistent throughout the report. In the case of workshop reports, headings should be numbered, where appropriate, and also formatted as exemplified below:

1. LEVEL 1 HEADING

1.2 Level 2 Heading

1.1.1 Level 3 heading

1.1.1.1 Level 4 heading

The body of the CRFM Research Paper should include as major headings, the subject categories typically expected of these types of articles: *Introduction, Methods, Results, Discussion, Acknowledgements, and References.*

Traditional scientific guidelines for writing numbers should be followed. This means that numbers below 10 should be spelt out, except those used with units of measurement such as volume, length, weight, etc. All acronyms, abbreviations and technical terms should be written in full the first time that they are used. Calendar dates should follow the format day, month, year, e.g. 15 November 2006. Zeroes should

precede all decimal points for values less than one. All units of measurement should be in metric format. The correct scientific names must accompany common and local species names when used, and must be italicized.

Tables / Figures / Illustrations

Tables and figures must be numbered, and the text font should be Times New Roman, 11 point. Both table and figures must be placed at the end of the report, or at the end of each individual analysis report, if it represents a compilation of such reports. Tables and figures must be cited in numerical order in the text. Table titles should be short but ample enough to allow the table to be intelligible on its own. Tables should be designed to fit within a printed page. Symbols must be explained in the table/figure legend. Outline rules should not be used around graphs. The first letter of the first word in all labels within figures should be capitalized.

References

All references cited in the text must appear in the list of references, and all works included in the list of references must be cited in the text. The following examples illustrate the style and format of references for CRFM publications.

Article in a Journal (note that journal title is italicized, spelled in full [not abbreviated], and the volume is in bold type)

Verspoor, E. & Jordan, W. C. (1989). Genetic variation at the Me-2 locus in the Atlantic Salmon within and between rivers: evidence for its selective maintenance. *Journal of Fish Biology*, **35** Suppl.A, 205-213.

Wright, S. (1931). Evolution in Mendelian populations. *Genetics* **16**, 97-159.

Article in Chapter of a Book (note that for the book title, the text is italicized and title case is used)

Balon, E. K. (1980). Early ontogeny of lake charr, *Salvelinus (Cristivomer) namaycush*. In *Charrs, Salmonid Fishes of the Genus Salvelinus* (E. K. Balon, ed.), pp. 485-562. The Hague: Dr. W. Junk Publishers.

Sparre, P. (1987). A method for the estimation of growth, mortality and gear selection/recruitment parameters from length-frequency samples weighted by catch per effort. In *Length-Based Methods in Fisheries Research* (D. Pauly & G.R. Morgan, eds), pp. 75-102. ICLARM Conference Proceedings 13, Manila.

Book or Special Report - not in a series (note that the book title is italicized, important words capitalized and title case is used)

Fienberg, S. E. (1980). *The Analysis of Cross-Classified Categorical Data*, 2nd Edition. Cambridge, MA: MIT Press. 198 pp.

Sokal, R. R. & Rohlf, F. J. (1981). *Biometry*. 2nd ed. San Francisco: W. H. Freeman. 859 pp.

Book or Report in a series (note that the book/report title is written in title case, and the series title is italicized, spelled in full [not abbreviated], and the volume, where applicable, is in bold type)

CFRM. (2005). Report of the First Annual CFRM Scientific Meeting. *CRFM Fishery Report*, No. 11, 318 pp.

Anon. (1965). The North Sea Herring. *ICES Cooperative Research Report*. No. 4. 57 pp.

Thesis (note thesis title is italicized, and sentence case is used)

Boyce, I.A. (1988). *The production of biogas and its environmental consequences*. Ph.D. Dissertation, CERMES, University of the West Indies, Barbados.

Unpublished manuscript (note brackets around dates)

Williams, R. O. (1996). Public Hearing Document for amberjack management workshops. Florida Marine Fisheries Commission, 2540 Executive Center Circle West, Suite 106, Tallahassee, Florida 32301, 10 pp. Unpubl. Ms.

Article or Book in Press

Manooch, C. S. III & Potts, J. C. Age, growth, and mortality estimates of greater amberjack, *Seriola dumerili*, from the U.S. Gulf of Mexico headboat fishery. *Bulletin of Marine Science*. In Press.

Article from the Internet

d'Auvergne, C. & Eckert., K.L. 1993. WIDECAST Sea Turtle Recovery Action Plan for St. Lucia (Karen L. Eckert, Editor). CEP Technical Report No. 26. UNEP Caribbean Environment Programme, Kingston, Jamaica. Internet-
http://www.cep.unep.org/pubs/Techreports/tr26en/content.html#_Toc457793991

ANNEX 4 – (I) SAMPLE FRONT COVER OF A CRFM TECHNICAL & ADVISORY DOCUMENT

(Report cover to be white)



ISSN XXXX-XXXX
[ARIAL, BOLD, 9 PT]

CRFM Technical & Advisory Document
Number 2006/2
[Arial, Bold, 14 pt]

[8-10 lines]

**TITLE OF DOCUMENT
THAT MAY CONTINUE FOR SEVERAL LINES
[ARIAL, CAPS, BOLD, 18 PT]**

Sketch or photo to be included in this space

CRFM Secretariat,
Belize and St. Vincent and the Grenadines [ARIAL Bold 12 PT]

ANNEX 4 – (II) SAMPLE TITLE PAGE OF CRFM TECHNICAL & ADVISORY DOCUMENT

[3 lines]

**CRFM Technical & Advisory Document –
Number 2006/2 [Arial, Bold, 18 pt]**

Edited / Prepared / Compiled by

Paula. G. Barrow [Author's name, Arial, 14 pt]

Biologist, Fisheries Division, Kingstown, St. Vincent and the Grenadines. Email:
fishdiv@karibcable.com [Authors' contact information, title case, Arial 12 pt]

and

Jack D. Nimble¹ [Author's name, Arial, 14 pt]

Biologist, CRFM Secretariat, Princess Margaret Drive, Belize City, Belize. Email:
crfm@btl.net [Authors' contact information, title case, Arial, 12 pt]

CRFM Secretariat,
Belize and St. Vincent and the Grenadines [ARIAL, 14 PT]

ANNEX 4 – (III) SAMPLE INFORMATION PAGE OF CRFM TECHNICAL & ADVISORY DOCUMENT

CRFM TECHNICAL & ADVISORY DOCUMENT –Number 2006/2 [TNR, 14 PT]

[4 spaces]

Copyright [Insert YEAR] by
Caribbean Regional Fisheries Mechanism [TNR, Italics, 12 Pt]

Correct Citation:

Barrow, P.G., & Nimble, J.D. 2006. This is sample title for the citation of a CRFM Technical & Advisory Document. CRFM Technical & Advisory Document, No. 2006/2, 19 pp. [TNR, 12 Pt]

ISSN # [TNR 10 PT]
ISBN # [TNR 10 PT]

Published by the Caribbean Regional Fisheries Mechanism Secretariat,
Belize & St. Vincent and the Grenadines. [TNR, 11 Pt]

ANNEX 4 – (IV) FORMATTING TEXT FOR A CRFM TECHNICAL & ADVISORY DOCUMENT

Page Setup

The top, bottom, left and right margins for the CRFM Technical & Advisory Document should be set at 2.5 cm.

Foreword

A foreword may be included, as required.

Executive Summary

An executive summary is necessary for the CRFM Technical & Advisory Document.

Table of Contents

A Table of Contents is required for the CRFM Technical & Advisory Document. The Table of Contents should be prepared so that the numbers or headings of sections of the report are listed with the relevant page number identified in the document.

Text of Main Report

The report should be prepared in English, using Times New Roman font, with size being 11 point. Both British and American English forms of spelling are acceptable, but the choice must be consistent throughout the report. In the case of workshop reports, headings should be numbered, where appropriate, and also formatted as exemplified below:

1. LEVEL 1 HEADING

1.3 Level 2 Heading

1.1.1 Level 3 heading

1.1.1.1 Level 4 heading

The subject categories for the CRFM Technical & Advisory Document are not as restricted as for the CRFM Research Paper, but like the CRFM Research Paper, should include the subject categories titled *Acknowledgements* and *References* at the end of the main text of the document:

Traditional scientific guidelines for writing numbers should be followed. This means that numbers below 10 should be spelt out, except those used with units of measurement such as volume, length, weight, etc. All acronyms, abbreviations and technical terms should be written in full the first time that they are used. Calendar dates should follow the format day, month, year, e.g. 15 November 2006. Zeroes should precede all decimal points for values less than one. All units of measurement should be in metric format. The correct scientific names must accompany common and local species names when used, and must be italicized.

Tables / Figures / Illustrations

Tables and figures must be numbered, and the text font should be Times New Roman, 11 point. Both tables and figures must be placed at the end of the report, or at the end of each individual analysis report, if it represents a compilation of such reports. Tables and figures must be cited in numerical order in the text. Table titles should be short but ample enough to allow the table to be intelligible on its own. Tables should be designed to fit within a printed page. Symbols must be explained in the table/figure legend. Outline rules should not be used around graphs. The first letter of the first word in all labels within figures should be capitalized.

References

All references cited in the text must appear in the list of references, and all works included in the list of references must be cited in the text. The following examples illustrate the style and format of references for CRFM publications

Article in a Journal (note that journal title is italicized, spelled in full [not abbreviated], and the volume is in bold type)

Verspoor, E. & Jordan, W. C. (1989). Genetic variation at the Me-2 locus in the Atlantic Salmon within and between rivers: evidence for its selective maintenance. *Journal of Fish Biology*, **35** Suppl.A, 205-213.

Wright, S. (1931). Evolution in Mendelian populations. *Genetics* **16**, 97-159.

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Balon, E. K. (1980). Early ontogeny of lake charr, *Salvelinus (Cristivomer) namaycush*. In *Charrs, Salmonid Fishes of the Genus Salvelinus* (E. K. Balon, ed.), pp. 485-562. The Hague: Dr. W. Junk Publishers.

Sparre, P. (1987). A method for the estimation of growth, mortality and gear selection/recruitment parameters from length-frequency samples weighted by catch per effort. In *Length-Based Methods in Fisheries Research* (D. Pauly & G.R. Morgan, eds), pp. 75-102. ICLARM Conference Proceedings 13, Manila.

Book or Special Report - not in a series (note that the book title is italicized, important words capitalized and title case is used)

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Sokal, R. R. & Rohlf, F. J. (1981). *Biometry*. 2nd ed. San Francisco: W. H. Freeman. 859 pp.

Book or Report in a series (note that the book/report title is written in title case, and the series title is italicized, spelled in full [not abbreviated], and the volume, where applicable, is in bold type)

CRFM. (2005). Report of the First Annual CRFM Scientific Meeting. *CRFM Fishery Report*, No. 11, 318 pp.

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Thesis (note thesis title is italicized, and sentence case is used)

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Article or Book in Press

Manooch, C. S. III & Potts, J. C. Age, growth, and mortality estimates of greater amberjack, *Seriola dumerili*, from the U.S. Gulf of Mexico headboat fishery. *Bulletin of Marine Science*. In Press.

Article from the Internet

d'Auvergne, C. & Eckert., K.L. 1993. WIDECASST Sea Turtle Recovery Action Plan for St. Lucia (Karen L. Eckert, Editor). CEP Technical Report No. 26. UNEP Caribbean Environment Programme, Kingston, Jamaica. Internet-
http://www.cep.unep.org/pubs/Techreports/tr26en/content.html#_Toc457793991

ANNEX 5 – (I) SAMPLE FRONT COVER OF THE BOUND CRFM ANNUAL REPORT

(Report cover to be white except for blue vertical bar on left hand side)



ISSN: XXXX-XXXX
ISBN: XXXXX-XXXXX
[ARIAL, Bold, 9pt]

CRFM ADMINISTRATIVE REPORT
[ARIAL, BOLD, 14PT]

[8-10 lines]

CRFM ANNUAL REPORT

[SPACE 11 PT]

April 1st XXXX to March 31st XXXX
[ARIAL, BOLD, 20 PT]

Sketch or photo to be included in this space

*Towards Sustainable Development of Fisheries
For the People of the Caribbean [Arial, Italics, 14 pt]*

ANNEX 5 – (II) FORMATTING TEXT FOR CRFM ADMINISTRATIVE REPORTS

Page Setup

The top, bottom, left and right margins for the CRFM Administrative Report should be set at 2.5 cm.

Mission Statement

The first page contains the mission statement of the CRFM.

Foreword

A foreword is included, usually prepared by the Secretariat's Executive Director.

Table of Contents

A Table of Contents is required. The Table of Contents should be prepared so that the numbers and / or headings of sections of the report are listed with the relevant page number identified in the document.

Text of Main Report

The report should be prepared in English, using Times New Roman font, with size being 11 point. Both British and American English forms of spelling are acceptable, but the choice must be consistent throughout the report. In the case of workshop reports, headings should be numbered, where appropriate, and also formatted as exemplified below:

1. LEVEL 1 HEADING

1.4 Level 2 Heading

1.1.1 Level 3 heading

1.1.1.1 Level 4 heading

The subject categories for the CRFM Technical Document are not as restricted as for the CRFM Research Paper, but like the CRFM Research Paper, should include the subject categories titled *Acknowledgements* and *References* at the end of the main text of the document:

Traditional scientific guidelines for writing numbers should be followed. This means that numbers below 10 should be spelt out, except those used with units of measurement such as volume, length, weight, etc. All acronyms, abbreviations and technical terms should be written in full the first time that they are used. Zeroes should precede all decimal points for values less than one. All units of measurement should be in metric format. The correct scientific names must accompany common and local species names when used, and must be italicized.

Tables / Figures / Illustrations / Photos

Tables, figures, illustrations and photos are included immediately adjacent or below the associated text, and should have clear explanatory captions with the text font being Times New Roman, 11 point.

References

When references are cited in the text, these must appear in a list of references, prepared in the style and format noted in Annex 2(IV).

Section 5.4 Communications

5.4.1 Internal Communications

5.4.1.1 Intra Unit

Monthly staff meetings are to be held in each unit during which activities for the previous month are discussed, upcoming activities are planned and minor operational adjustments made. Point form reports of these meetings should be distributed to all staff and to the other units. The Unit Leader is responsible for convening these meetings and ensuring that the minutes are prepared and circulated. Routine intra unit communication including requests, instructions, and circulation of information should be supported by written memoranda.

5.4.1.2 Inter Unit

Official communication between a Unit and the Executive Director should be through the Unit Leader. All matters pertaining to conduct of the technical work of the Unit should be reported through the Deputy Executive Director or the Unit Leader. The CRFM Secretariat (Headquarters) and the Eastern Caribbean Office communicate via regular tele-conferences.

Staff are encouraged to communicate regularly on programme and administrative matters utilizing the most economical means available to them. Minutes of each unit's monthly staff meeting are circulated amongst Units.

5.4.1.3 Technical Activities / Teams

Communication amongst staff within and between Units working on connected activities will occur on a needs basis. All staff involved in the implementation of a particular activity must be kept informed and involved in discussions related to that activity. Responsibility for ensuring effective communication and participation rests with the Assignment Leader.

Staff and consultants are free to communicate with the technical staff in the Fisheries Departments for the purpose of planning and implementation of activities. The Assignment Leader is to be kept informed of such communications.

5.4.1.4 Decision-Making and Approvals

Communications related to CRFM Secretariat and/or administrative decisions are submitted to the Executive Director and/or Corporate Services Manager via reporting relationships. All staff are involved in communicating with other staff in order to disseminate or gather information/data required to support the decision making process. Communications are copied to all relevant staff.

5.4.2 External Communications

5.4.2.1 Official

Official external communication between the CRFM Secretariat and Permanent Secretaries and higher level Government Officials in the countries and as well as with other agencies and organisations, including CARICOM Secretariat, shall be the responsibility of the Executive Director. The Executive Director may delegate such responsibility for official communication to other members of staff as appropriate.

5.4.2.2 Operational

Functional communications between Programme Managers and Member States is first defined through official communication and then operationalised by the relevant staff. Communications with consultants is the responsibility of the staff member responsible for the contract.

5.4.2.3 Non Written

Non written communication with Member States and/or other agencies or organizations may be documented by either a “Memo to File” and/or an exchange of letters between the parties involved.

5.4.3 Communication of general programming and related matters

The newsletter is produced quarterly, and will focus on the following areas:

| | |
|---------------------------|---|
| Editorial: | CRFM Secretariat commentary on important policy or other issues |
| Updates: | on the CRFM Secretariat activities, projects, workshops |
| CRFM Fishery news: | information on significant events within the region |
| Feature Article: | by CARICOM or other experts |
| International: | major events of importance to the fishery sector |
| Reader’s Forum: | selected feed-back from the Newsletter’s readership |
| New Publications: | from the CRFM Secretariat and other sources. |

Material for the newsletter should come from a variety of sources including: Program staff; Fisheries Division staff; Institutional staff; publications and documents.

5.4.3.1 Distribution and Availability

CRFM Fishery Reports are distributed, free of charge, to the following:

- Government Fishery Divisions in the wider Caribbean;

- Selected university libraries with priority given to those in the wider Caribbean;
- Regional organizations involved in fisheries (e.g. OECS, CCA, IRF, CDB, Pole Caraibe, CFMC);
- Selected aid agencies operating in the region (e.g. CIDA, USAID, IDRC, OAS, UN organizations);
- Selected extra-regional organizations involved in fisheries (e.g. ICLARM, ICCAT, FFA, FAO, ICES; and
- Major abstracting services.

Other institutions and individuals requesting copies of these reports may be required to pay for them.

CRFM Fishery Research Documents will only be distributed to Fishery Divisions and institutions working on fisheries in participating countries, but are openly available on request. Material considered to be confidential will not be documented in this series unless permission to do so has been granted by the Member State or States concerned.

CRFM Fishery Advisory Documents are distributed to fishery managers in participating countries, but will be openly available on request. Material considered to be confidential will not be documented in this series until permission to do so has been granted by the Member State or States concerned.

The CRFM Secretariat should aim for a wide circulation of the Newsletter, including:

- National Fisheries Administrations;
- Fisheries Associations and Co-operatives; and
- Regional and National organizations involved in fisheries.

Section 5.5 Procurement

When utilized as source of funding, Member States contributions, procurement within the CRFM Secretariat will follow the CARICOM Secretariat's policy and procedures for material and equipment procurement. Under this policy, responsibilities are delegated to CRFM Secretariat's staff as follows:

- The Executive Director is responsible and accountable for: reasonableness of purchases, availability of funding, awarding of tenders on a fair basis within established limits, determining where the acquisition will be made, and delegation of the procurement function to designated staff within the CRFM Secretariat.

5.5.1 Acquisition of Consultant Services

5.5.1.1 Process

CRFM Secretariat employs standard consultant selection procedures to engage specialists on a short term basis. Selection of consultants is based on merit.

When appropriate expertise is available in the CARICOM Region, regional consultants will be engaged. When such expertise is not available or when the duration or schedule of the task is such that it is more effective and efficient to engage consultants from outside the region, they will be used. Consultants are expected to collaborate with staff of the Secretariat and national fisheries authorities, and transfer technology, as appropriate.

A Consultant Register with the name, specialty, file number and work completed for the CRFM Secretariat is maintained by the Corporate Services Manager.

The identification of consultant needs normally originates from the Programme Manager or senior technical staff who prepares the Terms of Reference and develops a preliminary short list of consultants. The Secretariat's Business Team acting as a Selection Review Committee approves the final selection of consultants from the recommended short list within 10 working days. The Selection Review Committee comprise the Executive Director, Deputy Executive Director, Corporate Services Manager, the Programme Managers / senior technical staff. The Corporate Services Manager is responsible for preparing the appropriate contract. The Executive Committee of the Forum is made aware of the consultant selected before the contract is signed.

Contracts from US \$10,000-US \$25,000 shall be approved by the Executive Director.

Contracts for more than US \$25,000 – Terms of Contract shall be approved by the Executive Committee.

Specifically, the procedure for issuing service contracts is as follows:

1. The approved Annual Work Plan and Budget is the reference document identifying such contracts.
2. Draft Terms of Reference prepared by assignment leader and submitted to the Executive Director, along with preliminary list of consultants.
3. CRFM Secretariat input provided to TOR.
4. TOR finalized and incorporated into contract.
5. For contracts in excess of US \$25,000 the approval of the Executive Committee will be sought prior to the selection of the Consultant.
6. Consultant Selected
7. Contract signed and issued.
8. Briefing of Consultant (ED, DED or Programme Managers) will be in attendance at briefing).
9. Implementation of consultancy, with assignment leader as contact person to consultant.
10. Consultant's report forwarded to:
 - (a) Executive Director with copy to assignment leader
 - (b) Programme Manager with copy to assignment leader

Consultancy assignments should not be designed in a manner that would allow the circumvention of the approval process by breaking a single cohesive assignment into smaller components.

5.5.1.2. Rates

The purchase of skills by the CRFM Secretariat in fulfillment of service contracts is done in a structured manner. Rates applied to the purchase of skills are not personalised, but rather relate to the quality, value to the CRFM Secretariat, and expected level of technical input needed to satisfactorily address the activity.

The CRFM Secretariat does not apply rates based on a consultant's nationality. Rather, the CRFM Secretariat seeks to promote national and regional high level technical skills by making them worthy of global (international) evaluation. The CRFM Secretariat also recognizes contributions that technically qualified Ministry staff can make. While being conscious of this however, CRFM Secretariat does not promote or support Ministry staff implementing work

programme activities in their own countries. This may be interpreted as paying them to do their own work.

Per diem, travel costs and other expenses related to carrying out an assignment are common to all service and consultancy arrangements. The rates proposed below and rate ranges are presented to guide professional staff in recommending consultants and consultancy rates.

1. Senior Consultants

Scale A United States Dollars 500 - 550 per day

2. Other Consultants

Scale B United States Dollars 300 - 400 per day

3. Ministry staff under Technical Cooperation Among Developing Countries

United States Dollars 150 - 250 per day

A civil or public servant who is on vacation and whose services are offered to the CRFM Secretariat under a service contract arrangement is not treated as though his or her relationship is under a TCDC (Government sponsored or Government approved) assignment. Since s/he is a Government servant on vacation his/her rate should be classified as Scale B.

5.5.2 Acquisition of Goods

Only authorized persons may purchase supplies and equipment in the name of CRFM. No employee whose regular duties do not include purchasing shall incur any expense on behalf of CRFM or bind CRFM by any promise or representation without written approval.

All assets owned by CRFM will be *clearly marked*, coded as such, and recorded in a Fixed Assets Register. The information provided therein will be arranged as per the type of asset; date of acquisition/disposal; acquisition price; accumulated depreciation; location; source of asset (donation, purchase using donor funds, etc); and disposal date and price.

The Corporate Services Manager is CRFM Secretariat's Purchasing Officer.

5.5.2.1 Requesting Bids

Following receipt of an appropriate completed Purchase Requisition, the responsible officer (i.e., normally the Corporate Services Manager) will obtain bids according to the procedures noted below.

Financial limitations shall dictate the method of acquisition and the soliciting of bids:

- **Less than US\$250** - the solicitation of quotations, orders of this value is routinely single-sourced by administrative staff and passed on to the Corporate Services Manager for approval.
- **Over US\$250 - US\$2,500** - The Corporate Services Manager will solicit by telephone or in writing a minimum of three bids and passed over to the Executive Director for approval.
- **Over US\$2,500 - US\$50,000** - Items with an estimated value in this range require that a minimum of three vendors be requested in writing to submit written quotations.
- **Over US\$50,000 - Us\$250,000** - will require endorsement of the Forum.

For record purposes the CRFM Secretariat's Purchase Order is cross-referenced on the relevant CRFM Secretariat Purchase Requisition.

5.5.2.2 Single Sourcing

Constraints such as time, limited number of qualified vendors, the need to acquire compatible or unique items, or the low cost of some items may make it impossible or impractical to solicit quotes in the above manner. For practical purposes, goods with estimated values which do not exceed US\$250 are routinely single-sourced by the appropriate staff. When the estimated value of goods exceeds US\$250, but does not exceed US\$2,500, the Executive Director may award the purchase order on a single-source basis. Single-source purchases shall normally be restricted to items with estimated values which do not exceed US\$2,500. In special circumstances, single-source purchases may be approved up to US\$50,000 after consultation with the Forum.

Where the need for single-source has been determined, the Executive Director shall provide written justification and attach it to the requisition for processing.

5.5.2.3 Recommendation for Tender Award

In making a recommendation, factors other than price (e.g., delivery time) may be considered. When possible, such criteria shall be included when requesting bids or tenders. The Corporate Services Manager shall consider the legal implications of the proposed purchase, such as warranties, liability concerns, insurance coverage, etc., and consult with counsel as may be appropriate.

Where quality, delivery, etc., are comparable, a recommendation for award to the lowest bidder will normally be made at the discretion of the Executive Director.

If the purchase is US\$2,500 or less, and the purchase is to be awarded to the low bidder, the Corporate Services Manager will approve the CRFM Secretariat's Purchase Order without the use of a Recommendation for Award.

If factors dictate an award other than the low bidder, the Recommendation for Award is forwarded for approval as follows:

- Not exceeding US\$50,000 Executive Director
- Exceeding US\$50,000 Forum

5.5.2.4 The CRFM Secretariat’s Programme Purchase Order

Acquisitions estimated at less than US\$50,000 shall require preparation and approval of a CRFM Secretariat’s Purchase Order and the issuance of the Purchase Order to the approved vendor.

The Project Purchase Order is triple-copy form:

- Copy #1 is forwarded to the successful bidder;
- Copy #2 is forwarded by the relevant Unit to the CRFM Secretariat with its financial records;
- Copy #3 is maintained on file for reference purposes.

5.5.2.5 Receiving

When an invoice is received, the invoice should be agreed with the purchase order for description and prices, checked for mathematical accuracy, and checked for goods and services received before payment is made.

If an order is incomplete, (e.g., items on back order) or incorrect, the receiver shall notify the Corporate Services Manager and forward a copy of the receiving slip for further follow-up as required. When the last item is received and final payment is to be made, the original receiving slip is forwarded with the pay documents.

Disposal of Assets

| <i>Procedures</i> | <i>Responsibility</i> |
|--|-----------------------|
| <ol style="list-style-type: none"> 1. Evaluate Fixed Assets in use. 2. Document justification for the disposal of the Fixed Asset upon notification. 3. Approve / disapprove disposal. If disapproved, return documents to FO with explanation. 4. If disposal approved, initiate proceedings for the disposal of the asset. | |

CRFM should avoid conflict of interest in disposal of assets. Detailed guidelines should be provided in the Staff Rules.

5.5.3 Travel

Approval Procedures

These procedures apply to both CRFM Secretariat's staff and consultants.

5.5.3.1 Staff Travel

Travel Plans for staff are identified during the annual work planning session and are based upon travel requirements for planning and implementation as defined in Annual Work Plans.

CRFM Secretariat staff must submit a Travel Authority and Advance form - see Appendix 5.6 - to the Executive Director detailing the purpose of the travel, destination and proposed mode / route of travel. All travel requests must be approved by the Executive Director who is responsible for ensuring that the proposed travel is in keeping with the annual work plan and budget.

Requests for travel which have not been included in the annual work plan must be supported by a memorandum defining the purpose and budget implications of the travel and must be approved by the Executive Director.

Staff vacation travel does not fall within this policy. However, vacation days taken by staff while on travel status must not result in increased expenses to the CRFM Secretariat. This should be clearly detailed in writing with the Travel Authority and Advance form.

The Secretary / Administrative Officers are responsible for co-ordinating arrangements for all CRFM staff travel.

5.5.3.2 Consultants' Travel

Consultant's travel must be approved by the staff member responsible for managing the consultant's inputs in accordance with the CRFM Secretariat's travel policy.

5.5.3.3. Advances

Accountable advances for travel are issued to cover normal travel expenses. Requests for Advances are based upon the estimated hotel expenses and meal rates for the planned number of travel days. An additional amount to cover reasonable transportation expenses can be included.

Requests for advances should be indicated on the Travel Authority and Advance form. After approval by the Executive Director, advances are arranged by the Corporate Services Manager.

Requests for advances to a consultant must be supported by an accompanying memorandum from the staff member responsible for the consultant contract. At the request of the Programme Manager, a lump sum, non accountable travel advance may be approved by the Executive Director provided it does not exceed normal travel rates.

5.5.3.4 Allowance Expenses

A standardized table of allowances for travel to different destinations should be maintained by the CRFM Secretariat. The table should be systematically reviewed and updated at least once every two years or as necessary.

5.5.3.5 Airfares

All travel should be via the most direct and economical route. Business and first class travel will not be permitted on travel within the Caribbean or for travel between the Caribbean and other countries except in emergency situations where economy class travel is not available. In such cases, the Executive Director may approve Business Class travel.

5.5.3.6 Hotels

Every effort should be made to use reasonable priced hotels. Hotel rates exceeding agreed rates are permitted only if alternative accommodations are not available. A list of acceptable hotels with known rates is available from the Corporate Services Manager.

5.5.3.7 Ground Transportation

Taxis may be used for business purposes. Rental of a car or boat will only be permitted if it is the most economical mode of transportation. If vehicles are rented, they must be fully insured. In case of accident, liability shall be determined by the Executive Director.

5.5.3.8 Hospitality Costs

For the most part, use of CRFM Secretariat funds for hospitality will not be permitted as such expenses have not been included in calculating travel budgets. In special circumstances and at the discretion of the Executive Director, a request for use of funds for hospitality will be considered. Requests must be submitted in writing prior to travelling.

5.5.3.9 Long Distance Telephone Calls

Long distance business calls are reimbursed. Only one personal long distance telephone call, of less than 10 minutes, will be reimbursed by the CRFM Secretariat for each five consecutive days of travel away from home.

5.5.4 Travel Claims

5.5.4.1 Travel Claim Forms

Travel Expense Claim form - see *Appendix 5.7* must be completed by all travellers to account for travel advances or to request reimbursement for out-of-pocket expenses. This form is also available on diskette as an Excel Spreadsheet.

All expenses should be recorded in the currency used on the Travel Expense Claim form and is converted to United State's dollars on the form.

Original receipts for accountable expenses must be included with travel claims. Accommodation, meals, taxi fares, etc. should be detailed and recorded on a chronological daily basis rather than lumped together.

5.5.4.2 Currency Exchange Costs

Original receipts for all currency exchange must be included with travel claims. If exchange receipts are not available or lost, conversion of foreign currency expenses to United States dollars is based on the rate used by the CRFM Secretariat's bank. If expenses are paid via credit card, the exchange rate used by the credit card company is used. Indication on the hotel receipt of exchange rates used by the hotel is accepted for hotel bills paid in cash.